

ual university
of the arts
london

Research Degrees
Handbook and
Regulations

2017/18

Section A: Handbook
Section B: Regulations
Section C: Annexes

research

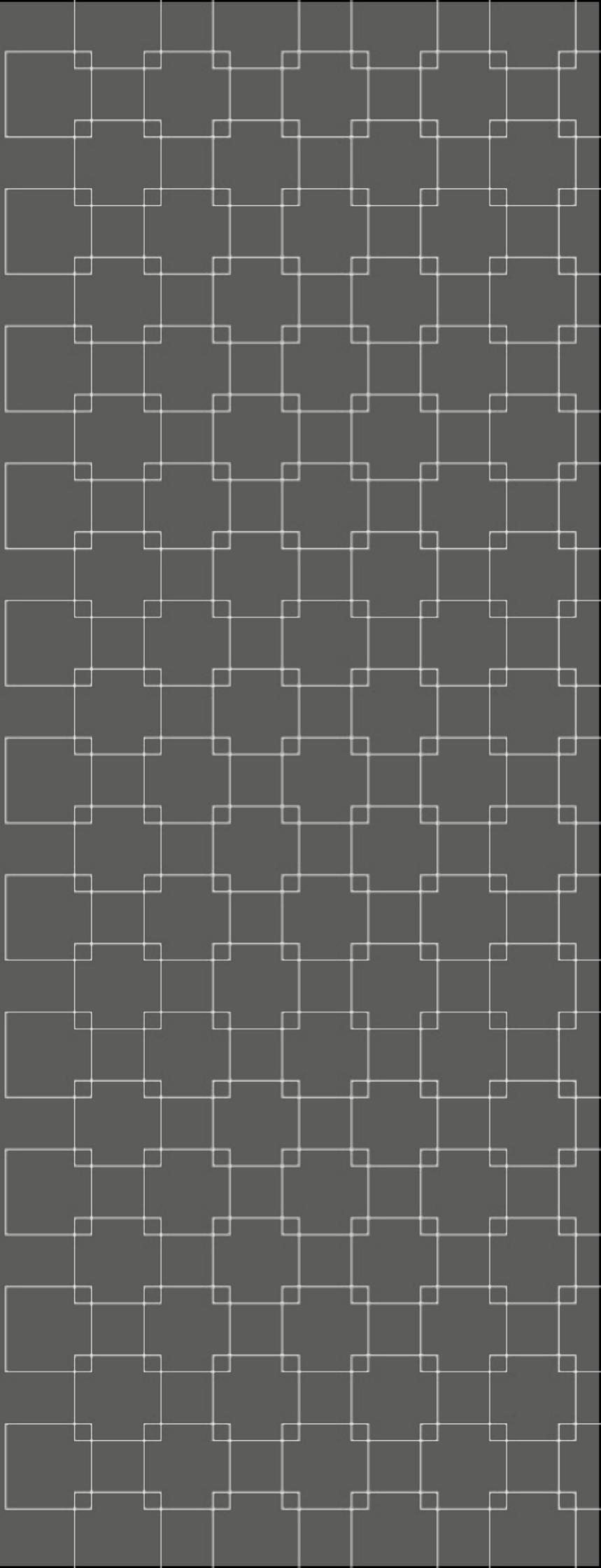
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The information in this Research Degrees
Handbook and Regulations is correct at time
of publication.

Edition 16



Research Degrees Handbook and Regulations 2017/18

16th edition

The regulations and procedures contained in this document replace all previous regulations and procedures, and apply to all PGR students enrolled on the research degrees programme at University of the Arts London (UAL).

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

Section A: Research Degrees Handbook

Section A is a comprehensive source of information for all processes relating to the Research Degrees Programme. It contains:

- Advice about the nature of Research Degrees;
- What it means to be a research student at University of the Arts London;
- How research is conducted
- Who will help students throughout their studies;
- Other support available at University of the Arts London
- How to keep in touch with other researchers
- All of the essential regulations and procedures which you will need to refer to.

The format of this section follows the life cycle of the MPhil/PhD at UAL.

Section A should be read alongside the regulations which govern the Research Degrees Programme and are included in Section B of this handbook.

Section B: Research Degrees Regulations

Section B contains the full regulations relating to the Research Degrees Programme at University of the Arts London.

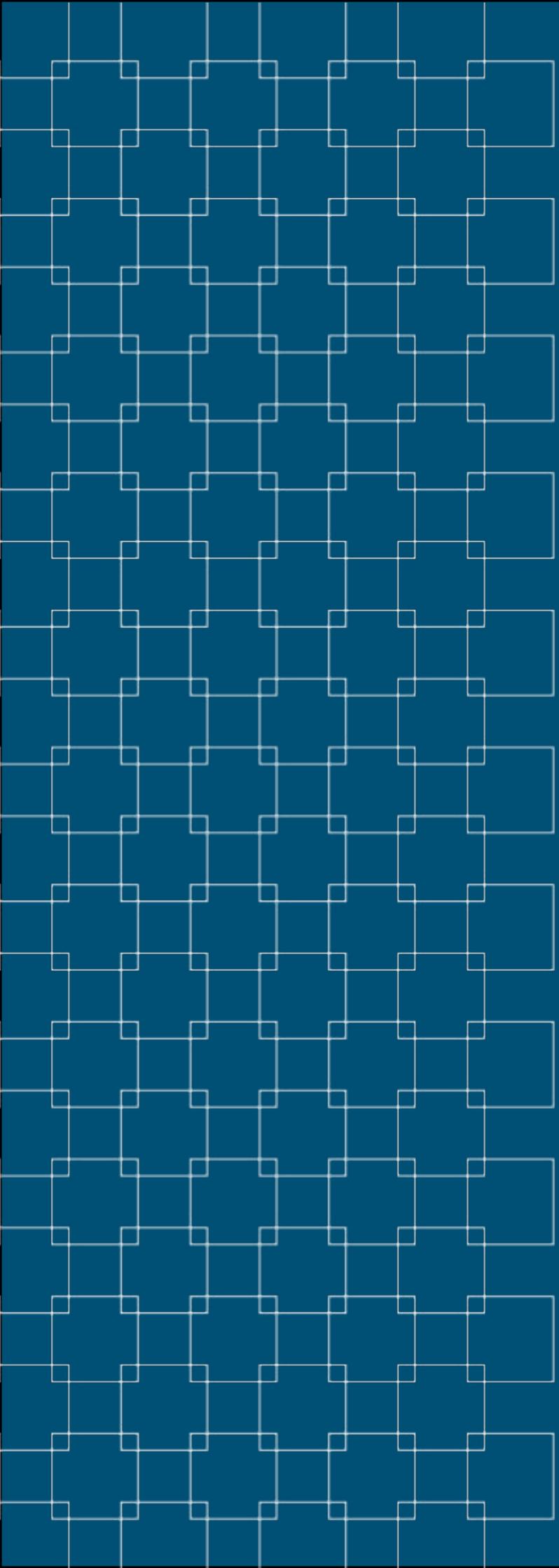
Section C: Annexes

Section C includes Annexes relating to Sections A and B of this handbook.

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Section A

Research Degrees Handbook

A1 Welcome to UAL Research Degrees

1 UAL's Colleges and research community

University of the Arts London's six world-renowned Colleges form a vibrant and broad-based community of researchers and practitioners. As a research degree student at UAL you will be based in one of four Colleges: Camberwell, Chelsea and Wimbledon Graduate School (comprised of Camberwell, Chelsea and Wimbledon Colleges of Arts), Central Saint Martins (CSM), London College of Communication (LCC), or London College of Fashion (LCF).

You will normally enrol at the College where your Director of Studies is based. You will be integrated into the research environment of the College where you are enrolled; UAL also offers you the opportunity to make cross-College connections to participate in and attend the variety of research events and initiatives that are organised during the academic year.

The University is led by an Executive Board and Academic Board, both chaired by the Vice Chancellor, Nigel Carrington. Responsibility for research at UAL falls within the remit of the Deputy Vice-Chancellor, (Academic) and the Pro Vice Chancellor (Research). Heads of Colleges and the Associate Deans of Research are responsible for the academic leadership of research in the Colleges.

The University's Dean of Research has overall responsibility for research degrees and the Research Skills Training Programme, Research Network UAL (RNUAL) is overseen by the RNUAL Convenor. The Research Management and Administration (RMA) department, led by the Director of RMA, provides administrative support for all matters relating to research degrees.

2 Research structure

2.1 Central Services

2.1.1 Dean of Research

Professor Oriana Baddeley is the UAL Dean of Research. She provides academic leadership for the management of the University's research and leads on the development and implementation of the University Research Strategy, including its Research Centres and the Research Degrees Programme.

Professor Baddeley is also Chair to the UAL Research Degrees Sub-Committee (RDSC), which is responsible for ensuring that the University regulations, policies and procedures in relation to its research degrees is informed by codes of practice, guidelines and policies of relevant external organisations such as the Quality Assurance Agency (QAA), the Higher Education Funding Council for England (HEFCE) and the Research Councils (RCUK).

2.1.2 RNUAL Convenor

Dr Lucy Steeds, as the RNUAL Convenor, is responsible for the development and delivery of research student training within the RNUAL programme. RNUAL includes generic and transferable skills training, along with some subject specific skills, which supports each stage of your research degree.

2.1.3 Research Management and Administration (RMA)

The Research Management and Administration (RMA) department is the central service that provides all administrative support for research students, externally funded research projects, research finance and research communications (such as the UAL research website) as well as the UAL research centres. The service is based on the 5th floor of the Granary Building at the CSM campus at King's Cross.

2.1.4 Research Student Team

The Research Student Team supports all aspects of the Research Degrees Programme, providing guidance and support to research degree students and supervisors. The team is based on the 5th Floor of the Granary Building at King's Cross.

Each team member is secretary to one of the College Research Degrees Sub-Committees (CRDSCs) and works closely with the Associate Dean of Research and the Chair to the CRDSC in each College. To ensure close contact with students and supervisors, each team member is also the RMA/College liaison for one of the Colleges and you can contact the person for your College if you need advice. The team can also be contacted via researchdegrees@arts.ac.uk.

The team members are:

Jane Nobbs, Research Manager (PGR Students) - j.nobbs@arts.ac.uk

Jane manages the Research Student Team and is Secretary to the University Research Degrees Sub-Committee.

Beth Bicher, Research Student Administrator - e.bicher@arts.ac.uk

Beth is College Liaison and CRDSC Secretary Camberwell, Chelsea, Wimbledon and Research Network UAL (RNUAL) Administrator.

Eloise Cameron-Smith, Research Student Administrator - e.cameronsmith@arts.ac.uk

Eloise is College Liaison and CRDSC Secretary for LCF
(maternity cover for Hope Freeman until January 2018)

David Greene, Research Student Administrator d.greene@arts.ac.uk

David is College Liaison and CRDSC Secretary for CSM

Emily Ruff, Research Co-ordinator, PGR - e.ruff@arts.ac.uk

Emily is College Liaison and CRDSC Secretary for LCC

2.2 The Colleges

2.2.1 Associate Deans of Research (ADR)

Each College has an Associate Dean of Research (ADR) who leads its research and who is responsible for research staff and students in the College. The ADRs are part of the Research Management Group (RMG) which is chaired by the Dean of Research, and of the management structure in the Colleges. The ADRs are supported by administrators who are the first point of contact if you have College rather than course related questions (for example, for College-specific facilities or resources).

2.2.2 Chairs of College Research Degrees Sub-Committees (CRDSCs)

Each ADR has nominated another academic to chair the relevant College Research Degrees Sub-Committee, which oversees the provision of the Research Degrees Programme at that College. The Chair of CRDSC in the first instance and the ADR in the second is available to provide additional support if you encounter issues during your study at UAL which your Director of Studies cannot address.

Contact details for the principal research contacts at each of the Colleges are as follows:

Camberwell, Chelsea, Wimbledon Graduate School

- Professor Malcolm Quinn, Associate Dean of Research
- Professor Paul Coldwell, Acting Chair to Camberwell, Chelsea, Wimbledon CRDSC (Sabbatical Cover for Dr Athanasios Velios)
- Nick Tatchell, Camberwell, Chelsea, Wimbledon Graduate School Research Administrator - n.tatchell@arts.ac.uk

Central Saint Martins

- Professor Janet McDonnell, Associate Dean of Research
- James Swinson, Chair to CSM CRDSC - j.swinson@csm.arts.ac.uk
- Debi Kenny, Research Co-ordinator, CSM - d.kenny@csm.arts.ac.uk

London College of Communication

- Dr Pratap Rughani, Associate Dean of Research
- Dr Russell Bestley, Chair to LCC CRDSC - r.bestley@lcc.arts.ac.uk
- Professor Patrick Sutherland, Graduate Tutor LCC - p.sutherland@lcc.arts.ac.uk
- Matthew Coleman, Academic Administrator Research - research@lcc.arts.ac.uk

London College of Fashion

- Professor Jane Harris, Associate Dean of Research
- Professor Ian King, Chair to LCF CRDSC - i.king@fashion.arts.ac.uk
- Dr Veronika Kapsali, PhD Co-ordinator - veronika.kapsali@fashion.arts.ac.uk
- Charlene Smith, Research Administrator, LCF - c.a.smith@fashion.arts.ac.uk

2.3 Committees

A number of research related Committees provide the formal structure for the approval, monitoring and assessment of programmes of research:

- University Research Committee (URC) is concerned with the overall strategy, policy and resourcing of research at UAL, including research degrees.
- University Research Degrees Sub-Committee (URDSC) is responsible for the quality assurance of all research degrees at UAL and reports to URC.
- College Research Degrees Sub-Committees (CRDSC) maintain an overview and advice on all matters related to research and research degrees in the Colleges.
- Research Ethics Sub-Committee (RESC) considers and advises, as appropriate, on legal, moral and ethical issues related to research for both academics and students.

URDSC, CRDSC and RESC are the Committees that are most relevant for you. URDSC and CRDSC consider approval of all the forms and milestones related to research degree students. RESC monitors all research projects and can call a project for review at any time. If CRDSC has decided that your project is deemed to represent more than minimal ethical risk it will be referred to RESC and you will not be able to carry out field work until your project has been approved by RESC. Substantial changes proposed to, and deviations from, the original project should be reported to your CRDSC for consideration and possible referral to RESC.

Committee dates and deadlines for submission of paperwork for 2017/18 can be found in Annex 5.

2.3.1 University Research Degrees Sub-Committee (URDSC)

URDSC is responsible for overseeing the provision of the Research Degrees courses provided by the University of the Arts London. The Sub-Committee is chaired by the Dean of Research and its membership comprises senior academics and members of staff from across the University.

URDSC's remit is to:

1. Consider all documents and forms related to research degree students for approval, taking into account the Research Degrees Regulations and academic standards;
2. Discuss and decide on issues relating to the Research Degrees Programme at a university-wide level and advise the University Research Committee on matters relating to research degrees.

2.3.2 College Research Degrees Sub-Committees (CRDSC)

Each College has a College Research Degrees Sub-Committee (CRDSC) which is comprised of senior academics who supervise students and other members of staff at the College, such as a library representative, and is responsible for overseeing the provision of the Research Degree Programme at its respective College.

The CRDSC's remit is to:

1. Monitor student progress and consider annual reports at the conclusion of each academic year;
2. Discuss issues relating to research degrees at the College;
3. Assess and approve Applications for Registration before final approval by RDSC. This involves ensuring that:
 - A suitable programme of research can be defined, supervised and resourced;
 - Arrangements with any collaborating establishment are clearly defined and documentation is attached to the application;
 - The mode and length of study have been agreed and suitable research methods training made available;
 - The student and supervisors are aware of and have agreed to the Code of Practice and the University's student charter;
 - The application meets the Code of Practice on Research Ethics and that, if required, ethical approval is being sought.
4. To consider and approve recommendations made by the Confirmation panel in the Confirmation reports and to advise RDSC of this recommendation.

2.3.3 University Research Ethics Sub-Committee (RESC)

The University's Research Ethics Sub-Committee (RESC) is Chaired by Professor Malcolm Quinn and is comprised of senior academics both internal and external to the University.

It is the responsibility of RESC to:

1. Consider and advise as appropriate on legal, moral and ethical issues relating to research;
2. Be responsible for the provision of infrastructure which facilitates adherence to the principles of beneficence and non-maleficence, and thereby safeguards the interests of researchers, participants and those on whom the research might impact, directly or indirectly;
3. Establish the Code of Practice on Research Ethics and to insure that this is promoted within the University;
4. Review on a regular basis and recommend changes to the Code of Practice on Research Ethics in the light of external and internal practice and developments;
5. Decide on applications for research ethics approval that are assessed as more than minimal ethical risk by College Research Degrees Sub-Committees;

6. Advise the University Research Committee or the Research Degrees Sub- Committees as appropriate on legal, moral or ethical issues relating to research;
7. Oversee the Research Ethics training provided for research degrees students at UAL.

You can find the Code of Practice on Research Ethics in [Annex 6](#) and additional information can be found on the Research Degrees Moodle page.

3 Communication

3.1 University email

As soon as your email address has been generated we will send you an email to instruct you how to activate the account and from then onwards this will be the address we will use to contact you. All messages from UAL, including those from the Research Student Team, will be sent to this address only. It is therefore very important that you familiarise yourself with your UAL email account.

If you prefer to use a personal email account to manage your messages, you will need to set up a forwarding rule from your UAL account. You will receive information on how to forward your email when you enrol, but if you have any questions, please consult the IT services website.

3.2 Research Student Mailing List

Soon after enrolment, the Research Student Team will add your UAL email address to the Research Student Mailing List. This mailing list is used to inform students of research events, groups, research activities and issues relating to research degrees study at UAL as well as RNUAL updates and external opportunities. If you would like us to circulate anything to this mailing list, please submit it to researchdegrees@arts.ac.uk and, if appropriate, we will post it to the list.

3.3 Virtual Learning Environments (VLEs)

A Virtual Learning Environment (VLE) is a collection of platforms and tools used to deliver learning materials to students via the internet.

The tools used by UAL that are most relevant to research degree students are:

3.3.1 Moodle

Moodle is a learning platform designed to provide educators, administrators and learners with a single robust, secure and integrated system to create personalised learning environments. See section 3.4 below for more information about Moodle.

3.3.2 Workflow

[Workflow](#) is UAL's customised version of the Mahara electronic portfolio (e-portfolio) tool. An e-portfolio is a digital collection of artefacts that can be used by students and staff to demonstrate/document their learning and development, and share this with various audiences. E-portfolios facilitate the recording of personalised, life long, reflective and evidential learning. A significant characteristic of the e-portfolio is the degree of ownership and control provided to the student who decides who can view their portfolios and what aspects are visible.

3.3.3 myblog.arts

[myblog.arts](#) is a tool for documenting creative processes and encouraging reflection in a social context.

Students and staff can comment on each other's' blog posts, which allows them to connect and share feedback across disciplines and roles. A range of privacy options are available, so students and staff can stay in control of who sees what.

3.4 Moodle

Information about and dates for RNUAL workshops and events (including course materials and video recordings), research degree forms that you will need to complete at various times during your studies, and general guidance and information, are all posted to Moodle by the Research Student Team. If you would like to see anything else added to the Moodle page, please let us know.

To access the 'UAL Research Degrees' Moodle course, visit moodle.arts.ac.uk and click 'Log in to Moodle' in the top right-hand corner. You can then log in using your UAL network account details. You should then have the option to select 'UAL Research Degrees' from the list of courses available to you.

Please contact researchdegrees@arts.ac.uk if you cannot see the 'UAL Research Degrees' course after logging in; however, please contact the IT Service Desk on +44 (0) 20 7514 9898 if you are unable to log in at all.

Some Colleges also have a College Research Moodle page where information about College-based events is posted; you should have access to the page of the College where you are enrolled and if you would like information about events at the other Colleges, please contact the Research Student Team or your College administrator directly.

3.5 Website

Once you complete Registration in your first year, you will be contacted by a member of the RMA Communications Team to invite you to submit a short statement on your research project, and a profile will be created on the Student Research Projects page. Your profile can include an image and links to your personal website if you have one. If during your degree at UAL you would like changes to be made to your profile, please contact the RMA Communications Team. You can see currently published projects at [Current Research Student Projects](#).

4 Facilities

4.1 College research spaces

Each of the Colleges has a space for research degree students which is equipped with computers and printers. Please contact the Research Student Team at Researchdegees@arts.ac.uk if you wish to use a space in a College other than your own and we will contact the relevant college to facilitate this.

4.2 Student Support Fund

Each College has a limited fund available to assist research students with funding for conference attendance or study trips. This is not normally an allocated amount per student but requires completing and application. If you are enrolled at Camberwell, Chelsea, Wimbledon, CSM or LCC you can find the application form and guidance on the Research Moodle page; LCF students should apply directly to the LCF Graduate School.

4.3 Library and learning resources

Library Services provides outstanding print and online collections in arts, design and communication, study spaces for independent and group learning, and staff who are happy to help you make the most of these resources.

There is a library in each of our colleges plus Learning Zones at CSM and LCC for social and activity based learning, and the University Archives and Special Collections Centre (ASCC) located at LCC.

Please consult the [Library Services website](#) for more information about the facilities and services provided by UAL libraries. The RNUAL Guide (available from Moodle and the website) also contains lots of useful information about library services.

4.4 IT

The UAL computer network links together all sites and provides access to the intranet and the internet. On the Student Intranet pages you should be able to find information on IT training offered to students by the Teaching and Learning Exchange, Library Services and IT services. RNUAL also provides some training for Research Degrees Students on the use of InDesign and Zotero; please check the RNUAL Guide for more information.

4.5 Technical assistance, room booking, studio and exhibition space

As part of your College Induction you will be given a tour of the technical facilities, you will then also be told how to access the resources in your College and what training you need to undertake in order to use the facilities if applicable; if you would like to use technical facilities or materials in other Colleges, please contact the College Administrator for contact details.

Due to the individual nature of research degree study, UAL does not provide dedicated studio or exhibition space for research degree students. If you do need to use a studio or workshop, you should discuss this with your Director of Studies and they may be able to negotiate temporary use of space. If you wish to book a space to exhibit your work, you should contact the room booking service in your College to see what spaces are available and when.

If you need to book a room for other reasons, such as supervision meetings or for group work, please contact the room booking service in your College for availability. If room booking does not allow you to book directly with them, the College administrator or Research Student Team will be able to assist you.

4.6 Health and Safety

Studio-based research can depend on the use of specialised workshops and studios. You will be expected to be familiar with the relevant Health and Safety regulations and procedures, which apply in all UAL 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 that of your fellow students and staff. In addition to this, Colleges have a legal responsibility to ensure that students comply with all its safety rules.

You can find more information on [UAL's Health and Safety policy online](#).

5 Student support

5.1 Student Services

Research degree students, like all students at UAL, have access to the support provided by Student Services. Student Services includes the Student Advice Service, the Counselling, Health Advice and Chaplaincy service and the Disability Service.

Student Services staff provide a professional, confidential, and free service to UAL students and also, where appropriate, to prospective students from the UK or abroad who are considering applying for courses at the University. Staff are based at each of the main College sites, and at the central office building in Holborn. (Details of UAL main sites can be found in Annex 11).

The different teams provide an integrated service, which makes sure that the support and advice given to students is appropriate and relevant, equipping and enabling them to succeed.

Student advisers are money and immigration specialists. They provide guidance on how to fund costs related to studying in the UK, and can assist International students with enquiries about visas and other

immigration matters.

Counsellors, health advisers and chaplains support the health and well-being of students by listening to them and helping them with issues and concerns such as depression, anxiety and illness, and by providing pastoral and spiritual care.

Disability advisers, dyslexia coordinators and dyslexia support tutors support the University's commitment to inclusion and equality. They aim to remove the barriers that students may face, and support them to work as independently as possible.

Support is also available for students who are care leavers and have been in local authority care for three months or more. See [Support for Care Leavers](#) for more information.

Student Services works in conjunction with colleagues responsible for academic support as well as with the student welfare monitors at halls of residence. See [Student Welfare Monitors](#) for more information.

You can also find more at [Student Services](#).

5.2 Disability and Dyslexia

The UAL Disability Service arranges adjustments and provides support for students who are disabled, dyslexic or have another Specific Learning Difficulty (SpLD). Advice is available at any stage of the student journey, even before an application has been made.

Prospective and current students are encouraged to tell the University about their impairment, health condition or specific learning difficulty. This is called disclosure.

Disclosure enables the University to make adjustments and put support in place for disabled students. Contacting the Disability Service early, even before applying for a course, means that support can be provided at the right time. Sharing information about an impairment, condition or Specific Learning Difficulty does not affect decisions about admission onto a course. The University assesses students' applications to study solely on the basis of academic merit.

It is not unusual for students to be diagnosed for the first time with dyslexia or dyspraxia during their research degree, so please contact the Disability Service in your College for more information or to arrange an appointment.

For more information please visit [Disability and Dyslexia](#)

A2 Research Degrees Programme

1 The nature of research degrees

University of the Arts London encourages a range of research degree applications, based on creative practice, theoretical/historical analysis, and experimental work. A research degree may be taken in any subject area where UAL can provide appropriately qualified supervision. The subject range at UAL 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 and creative context. UAL also supports interdisciplinary projects and if art and design projects are combined with scientific or social sciences subjects collaborations may be arranged with other Universities.

2 Overview

2.1 Type of research degrees

Research degrees at UAL include the awards of Master of Philosophy (MPhil) and Doctor of Philosophy (PhD).

2.1.1 MPhil

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.

Learning outcomes for an MPhil

On completion of your research degree programme you 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;
- Present and defend research outcomes which extend the forefront of a discipline or area of professional practice;
- Demonstrate a systematic understand and mastery of the knowledge, concepts information and techniques relevant to research at the forefront of the discipline or area of professional practice;
- Exhibit mastery and innovation in the exercise of generic and subject-specific intellectual abilities;
- Take a proactive and self-reflective role in working and to develop professional relationships with others;
- Proactively formulate ideas and hypothesis and to design, develop, implement and execute plans by which to evaluate these;
- Critically evaluate current issues, research and advanced scholarship in the discipline.

2.1.2 PhD

A PhD degree is awarded in recognition of the creation and interpretation of new knowledge through original research or other advanced scholarship.

Learning outcomes for a PhD

On completion of your research degree programme and in your relation to your practice in art, design and communication, you 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;
- Present and defend research outcomes which extend the forefront of a discipline or relevant area of professional practice;

- 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;
- Exhibit mastery and innovation in the exercise of generic and subject-specific intellectual abilities;
- Take a proactive and self-reflective role in working to develop professional relationships with others;
- Independently and proactively formulate ideas and hypotheses and to design, develop, implement and execute plans by which to evaluate these;
- Critically and creatively evaluate current issues, research and advanced scholarship in the discipline.

2.2 Postgraduate research study

The format of study for a research degree is very different from a taught degree. As a research degree student, you will engage in a programme of independent research with guidance from your supervisors. Meetings with supervisors take place at regular intervals throughout your study and students and supervisors normally agree at the start of each academic year the frequency of these meetings.

All UAL Research Degree students are required to comply with the Disciplinary Code for Students (Annex 8) as well as the Code of Practice on Research Ethics (Annex 6) and the Code of Practice for Supervisors and Research Students (Annex 7).

UAL offers generic research and skills training through the Research Network UAL (RNUAL) programme; RNUAL covers induction, research methods and offers seminars and workshops on research in the arts, design and communication fields and on topics such as preparing a research proposal, presentation and writing skills.

More information on RNUAL is provided in [Section 4](#) of part A2 on Research Student Training and in the RNUAL Guide, which is available on Moodle.

In addition to the central Research Degrees training the Colleges provide more subject specific training and College-based communities of practice; this training is sometimes reserved to students from the College only, but can also be open to all research degree students. Please check Moodle for more information about the training provided.

2.3 Duration of research degree

The minimum, expected, and maximum durations for MPhil and PhD students at UAL are as follows:

Type of degree	Minimum duration	Expected duration	Maximum duration
MPhil (full-time)	1 year and 3 months	1 year and 9 months	3 years
PhD (full-time)	2 years	2 years and 9 months	4 years
MPhil (part-time)	2 years	3 years	6 years
PhD (part-time)	3 years	5 years	8 years

2.4 Term Dates

The academic year for the Research Degrees Programme runs from 1st October to 30th September each year; the 12-month structure reflects that your degree is based on independent research rather than taught elements and supervision can therefore take place outside of UAL term time

2.4.1 UAL Term dates for 2017/18

Autumn Term: Monday 25th September 2017 – Friday 8th December 2017

Spring Term: Monday 8th January 2018 – Friday 16th March 2018

2.5 Work and study

Full-time research degree students are expected to commit an average of 35 hours a week to your research. Subject to availability of positions you may be able to add to your income by working as a Graduate Teaching Assistant or technician in your College. However, it is important to note that during term time no more than 6 hours of paid work per week (including preparation time) is acceptable.

Part-time research degree students are expected to commit an average of 17.5 hours a week to your research. You can undertake paid employment, but UAL advises that this is within reason and does not interfere with your study; i.e. normally no more than 23.5 hours paid work per week.

If you are an overseas research degree student on a study visa, this may limit the hours you can work legally in the UK; please consult the UKVI website for your specific visa regulations and restrictions as these are prone to change: UKVI Website.

3 Supervision

The relationship between you and your supervisory team is crucial to the success of your studies. During your degree at UAL you will normally have a team of two supervisors, a Director of Studies (DoS) and a Co-Supervisor. In some cases a second Co-Supervisor may be added if a particular area of expertise is needed for the project or in a mentoring role for a less experienced supervisory team.

Your DoS will be a member of UAL academic staff, based in one of the Colleges; wherever possible your Co-Supervisor will also be drawn from UAL, either from the same or a different College than the DoS. If the required supervisory expertise is not available internally, it is possible to appoint an external Co-Supervisor. It is the responsibility of UAL to ensure a suitable supervisory team is in place for each student and though you can discuss preferences with your DoS and Chair to CRDSC, it is the institution that ultimately appoints and approves the team.

Led by the DoS, your supervisory team is responsible for guiding you through the programme and for the development of your research degree study. Your DoS is also the first point of contact for any questions you may have about any aspect of your study. If you feel unable to discuss the situation with your DoS, then you can contact the Chair of your CRDSC or the ADR at your College.

It is your DoS' responsibility to manage the supervisory team and agree the division of labour at the start of each year, as at different stages of your research you may need more or less support from each member of the team. Your DoS is also required to keep the Research Student Team informed of any issues relating to your progress and of any absences from the team (including their own) and measures put in place to cover these, if necessary.

During the Registration period changes in supervisory teams are quite common, as the project may shift in focus needing adjusted expertise in the team, which will only be formally confirmed once your Registration is approved.

The frequency and variety of contact with each individual member of the team will vary depending on the requirements of your research; during Registration and just before Confirmation contact may be more intensive than at other times, for example.

Supervision can be formal, with a Supervision Record Sheet completed during or straight after the supervision, or informal. Full-time students should submit ten formal supervisory records per academic year and part-time students five records.

Formal supervision may consist of:

- Written comments or guidance on your work;
- Face-to-Face meetings, the venue and timing of these meetings is a matter of agreement between you and your supervisor(s);
- Telephone, email or Skype/Facetime or similar communication.

You are expected to complete a Supervision Record Sheet (available from Moodle) for each formal supervision and forward this to the supervisor(s) with whom you had the meeting/correspondence for their comments. It is your responsibility to send the completed document to the Research Student Team for your file and to the other member(s) of your supervisory team for information.

3.1 Supervisor's duties

The duties of Directors of Studies and Co-Supervisors are set out in the Code of Practice for Supervisors and Research Students ([Annex 7](#)) and in [Section B4](#) of the regulations. Please read the Code of Practice very carefully, as it sets out your responsibilities as a student as well as what you should expect from your supervisors.

The Associate Deans of Research are responsible for ensuring that supervisors are aware of the contents of the Code of Practice for Supervisors and Research Students when they start supervising Research Degrees students.

4 Research training

The centrally organised research training is offered on a cross-College basis for all research students at UAL through Research Network UAL (RNUAL).

4.1 Research Network UAL (RNUAL)

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4.1 Research Network UAL (RNUAL)

All first-year students must undertake the three intensive RNUAL 'Blocks' offered in their first year:
 Block 1, 'Induction' in September 2017, with compulsory attendance all week;
 Block 2, 'Spring Conference' in February, with compulsory attendance two of the five days;
 Block 3, 'Summer Conference' in June, with compulsory attendance 3 of the five days. Details regarding particular content and obligations for these Blocks are in the RNUAL Guide.

If you are unable to attend any of the compulsory RNUAL elements this will need to be approved, so please contact researchdegrees@arts.ac.uk as soon as possible.

In addition to the Blocks, there are three RNUAL Study Days:

Registration Study Day in November is focused on completing the Application for Registration and Research Ethics training for first-year students;

Confirmation Study Day in January considers the Confirmation process and is targeted at full-time second year and part-time third year students, but it may well have elements of interest to first-years;

Completion Study Day in April covers submission and examination, intended mainly for those in the final stages of their research degree.

In addition to the RNUAL research skills training, Colleges organise their own subject specific training.

Information on College research training is available from the College ADR and can be found on Moodle.

College sessions will be prioritised for students registered at the College but are also available cross-College. Additional opportunities for training in teaching for research students are offered by the UAL Teaching and Learning Exchange (TLE).

The RNUAL Guide also provides you with information about other formal courses that are available at UAL such

as English Language training and access to some MA course units.

4.2 Personal and Professional Development Plan (PPDP)

The University recognises that Research Degrees programmes support personal development as well as the development of subject knowledge and subject specific research skills. The development of generic and transferable skills is important to the development of the 'effective researcher' (<http://bit.ly/1BGnwM>). personal record may prove useful for future employment, writing CVs and grant/jobs applications.

Though a purely academic career is a possibility for some, more and more research degree graduates find that they need to look outside of academia for employment, so it is important for you to recognise the transferable skills you will develop as part of the research degree programme.

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 needs to be no tension between the concept of employability and the academic curriculum (see for example the Researcher Development Framework on the Vitae website at <http://bit.ly/1QiUkKQ>).

As part of your study at UAL you should develop a Personal and Professional Development Plan (PPDP). The Quality Assurance Agency (QAA) advises that Universities ensure that 'Research students have appropriate opportunities for developing research, personal and professional skills. Each Research student's development needs are identified and agreed jointly by the student and appropriate staff at the start of the degree; these are regularly reviewed and updated as appropriate' (QAA 2013)

Personal and Professional Development planning (PPDP) is essentially a process of:

- Thinking about where you are now;
- Reflecting on your strengths and improvements you would like to make;
- Planning where you want to get to and what skills and knowledge you will need to develop;
- Undertaking your plan of work;
- Recording your development;
- Identifying when you have reached your goal;
- Reflecting on your learning and achievement;
- Planning where you want to go next.

A key outcome of PPDP is to enable you to progress towards becoming an independent, autonomous and self-aware learner. Identifying your strengths and weaknesses, reflecting on your activities and achievements and planning your next steps are integral to successful PPDP. In the context of your research degree, your PPDP should be developed in and through discussions with your supervisory team, first upon initial enrolment and subsequently when you complete the annual report and Training Needs Analysis (TNA). This structured approach should be guided by the learning outcomes for your research degree and result in the generation of a Personal Record, listing your goals, achievements and training undertaken.

Throughout your research degree you should reflect upon your own learning, performance and/or achievements as part of your Personal Record to identify gaps in your knowledge and/or ability and to plan how your training needs will be met. Although discussion with your supervisory team is essential to 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.

4.3 Training Needs Analysis (TNA)

It is your supervisory team's responsibility to ensure that you receive appropriate training. They should also support and encourage you to identify your training needs, through the use of PPDP, and decide on actions to be taken to address these needs. You should be asked to consider your training needs at the first meeting with your supervisors and again prior to the completion of the annual report. The completion of

the Training Needs Analysis is part of the Annual Report form and you can complete this together with your supervisors at the Annual Report meeting.

You will have access to a varied programme of formal training through RNUAL, which is designed to support your personal development and competence in general research skills. These skills may be present when you start your studies, explicitly taught, or developed during the course of your research. It is likely that even if you are an experienced student, you will still need further training in certain areas, whether these relate to your subject or are more general research and transferable skills. The University regards training in research skills and techniques as a key element in your development as a research student that will contribute to the successful completion of your thesis.

4.4 MPhil and PhD skills development

The skills you will be asked to discuss with regard to your PPDP and TNA are as follows:

4.4.1 Academic and research skills

- **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;
- **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);
- **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);
- **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;
- **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. Ensuring you have the audio-visual or information technology skills to present your research;
- **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;
- **Teaching and Learning Skills:** the ability to convey structured information in an appropriate form indifferent learning environments by stating clear objectives, being aware of individual's learning needs and their assessment.

4.4.2 Key transferable skills

- **Managing your Project over Time:** the ability to schedule multiple and specific research tasks within a designated research period, and monitor progress;
- **Personal Communication:** the ability to converse effectively with individuals, to appreciate their point of view, and to give and receive constructive feedback;
- **Problem Solving:** the ability to define and apply appropriate strategies for the solution of conceptual and/or practical problems, and to demonstrate self-reliance;
- **Critical Thinking:** the ability to develop theoretical concepts and to think in a purposeful, original, reasoned and focused way;
- **Team Work:** the ability to work in co-operative and productive partnerships with supervisors, fellow graduate students, fellow teachers and support staff;
- **Foreign Languages:** the ability to develop knowledge of foreign or classical languages to an appropriate level;
- **IT and Computer Skills:** the ability to use word processing, bibliographical databases and presentation packages effectively;
- **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.

Key transferable skills for PhD students are also defined as:

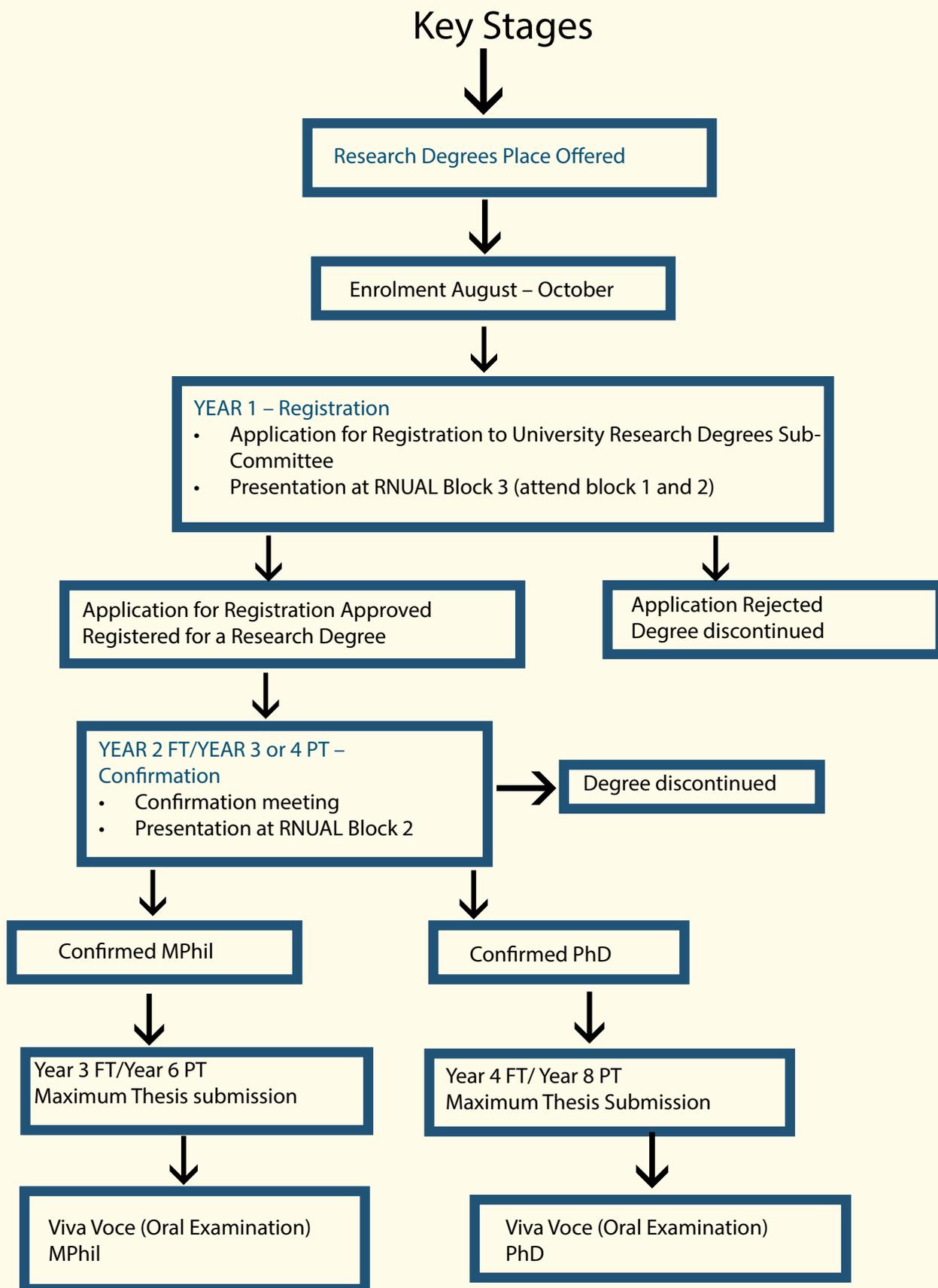
- The skills necessary for a career as a researcher and/or for employment in a senior and leading capacity in a relevant area of professional practice or industry;
- Evaluating their own achievement and that of others;
- Self-direction and effective decision making in complex and unpredictable situations;
- 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.

Key transferable skills for MPhil students are also defined 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 that ensures continuing professional development;
- Critically to engage in a contribution to the development of professional/disciplinary boundaries and norms.

A3 Research degree lifecycle

1 Key stages



2 Full-time and part-time study timelines

2.1 Full-time study

The table below gives a detailed description of research study for full-time students by year of the normal pathway from enrolment to examination. Transfer, changes of mode, periods of suspension or extension will alter this pathway.

Year	Event	When	Responsibility
1	Enrolment and RNUAL Block 1	September	Student
	Application for Registration first submission to CRDSC	November/January	Student and Supervisory Team
	Attend RNUAL Block 2	February	Student
	Present at RNUAL Block 3	June	Student and Supervisory Team
	Annual Report submission	Early July	Student and Supervisory Team
2	Confirmation Document Submission planning meeting	October	Student and Supervisory Team
	RNUAL Block 2 presentation	February	Student and Supervisory Team
	Confirmation meeting and Report	January - March	Student and Supervisory Team
3	Annual Report submission	Early July	Student and Supervisory Team
4	Examination Panel Application to RDSC	June (if submission in September, otherwise 3 months before planned submission)	Supervisory Team
	Thesis Submission	Before the end of September at the latest	Student and Supervisory Team
	Viva Voce Examination	Normally within 3 months of submission	Research Student Team

2.2 Part-time study

The table below gives a detailed description of research study for part-time students by year of the normal pathway from enrolment to examination. Late enrolment or transfer, changes of mode, periods of suspension or extension will alter this pathway.

Year	Event	When	Responsibility
1	Enrolment and RNUAL Block 1	September	Student
	Application for Registration first submission to CRDSC	January/February	Student and Supervisory Team
	Attend RNUAL Block 2	February	Student
	Present at RNUAL Block 3	June	Student and Supervisory Team
	Annual Report submission	Early July	Student and Supervisory Team
2	Annual Report submission	Early July	Student and Supervisory Team
3	Confirmation Document Submission planning meeting	October	Student and Supervisory Team
	RNUAL Block 2 presentation	February	Student and Supervisory Team
	Confirmation meeting and Report	March-June	Student and Supervisory Team
4	Annual Report submission	July	Student and Supervisory Team
5	Annual Report submission	July	Student and Supervisory Team
6	Annual Report submission	July	Student and Supervisory Team
7	Annual Report submission	July	Student and Supervisory Team
8	Examination Panel Application to RDSC	June (if submission in September, otherwise 3 months before planned submission)	Supervisory Team
	Thesis Submission	Before the end of September at the latest	Student and Supervisory Team
	Viva Voce Examination	Normally within 3 months of submission	Research Student Team

3 Enrolment

Enrolment is the process by which you are formally recorded as a UAL student. The process takes place each year between August and October and includes fee payment and confirmation of return to study (or start of study).

Depending on your circumstances you will be able to complete the full enrolment process online or you may have to complete a paper form, or come to an enrolment event. You will be notified in advance of what you need to do to enrol on time by the Research Student Team via your UAL email account.

The University has a formal cut-off date of 31st October for student enrolment and re-enrolment each year. Any student, new or continuing, who has not completed enrolment by the 1st October will be contacted via email by the Research Student Team with a warning that failure to enrol by 31st October may result in withdrawal.

It is important to contact the Research Student Team as soon as possible if you are unable to enrol on time so we can discuss options available to you; if we do not hear from you, we are required to start withdrawal procedures. You must also keep your supervisory team informed of any problems that might impede or delay enrolment.

3.1 New student enrolment

As a new student at UAL you will first be asked to activate your UAL email account and in August you will receive an invitation to complete 'Online Enrolment'. The link in the email will take you to the UAL online enrolment system, which is linked to the UAL student records system. You can check and change some information in the system if it is incorrect, but other amendments can only be made by the Research Student Team. Please contact researchdegrees@arts.ac.uk if your course code or mode of study is incorrect. You can also upload a passport-sized photo for your student ID card when you are completing your online enrolment.

Payment of your fees is the second element of your online enrolment; the Research Student Team will have informed you of your fees for the year and how to pay in the letter offering you a place on the Research Degrees programme.

The third element of enrolment for new students is the 'Enrolment Event' that takes place every year in September. All first year students are required to come in with their passport, degree certificates and other documents that may be requested. At this event we will check your documents for authenticity and provide you with your Student ID card, if you have paid your fees and are fully enrolled.

About 24 hours after your enrolment is completed, you will have access to UAL's learning resource facilities such as the libraries and you will be entitled to appropriate supervision to develop your research proposal and plan of work.

3.2 Student ID card

All enrolled students are given a UAL Student ID card upon first enrolment, which you will keep for the duration of your degree. This card allows you access to University buildings and facilities, and is also your library card. If you lose your Student ID Card you will need to buy a new one at the [UAL eStore site](#) and then forward the email confirming your payment to researchdegrees@arts.ac.uk so that the Research Student Team can print a new card for you.

If your card does not cover the full period of your course please contact the Research Student Team when it is due to expire and we will print a new card for you without additional cost.

3.3 Continuing student enrolment

As a continuing student (i.e. a research student in your second or further year of study), you will normally be able to enrol online but there are some notable exceptions to this:

- If you were on suspension of study up to the date of enrolment you will be asked to complete a paper enrolment form and to come in to the University to complete your enrolment (this is the same if you come back from suspension during the year);
- If you Confirmed in the previous year, you will be asked to complete a paper enrolment form and return this to the Research Student team, who can then complete your enrolment without you having to come in to the University;
- If you changed Mode of Study you will be asked to complete a paper enrolment form and return this to the Research Student Team, who can then complete your enrolment without you having to come in to the University;
- If you are an Overseas student in the UK on a visa, you will be able to enrol online, but you will have to come to the 'Enrolment Event' each year for us to check your visa and address details and to confirm that you are returning to study;
- If your Annual Report advised discontinuation and this is approved by RDSC you will be withdrawn from the course.

Once you have completed enrolment and paid your fees, the Research Student Team will complete your enrolment on the University's records system and you will receive an automated email from central registry confirming that your enrolment is complete.

3.4 Tuition fees

As a UAL student you will be required to pay a tuition fee, which is set by the University on an annual basis; fees may change annually, so please check [Research Student Fees](#) for the most up-to-date fees.

You will have been informed of your student fee status in the letter offering you a place and this will be your status for the duration of your study. For more information about how fee status is assessed, please see [Fee Assessment](#). If you are assessed as Home/EU, your fees will increase annually; if you are assessed as Overseas you will pay the same fee each year of your study.

Tuition fees for 2017/18 are as follows:

Fee type	Home/EU	Overseas
Full-Time	£5,100	£17,920
Part-Time	£2,550	N/A
Writing-up	£800	£800

*Writing up fee for students starting in 2017/18. 4 instalments of £200 to be paid 1 October, 1 January, 1 April, 1 July (Requirement to pay instalments ceases on submission of PhD).

You are required to pay your tuition fees in full at the start of each academic year (by 1st October each year). Alternatively, you can pay your tuition fees according to the research degree (PhD/MPhil) instalment plan, as follows:

1. 50% of your fees paid by 1 October 2017
2. 30% of your fees paid by 1 February 2018
20% of your fees paid by 4 May 2018

Please note that your debit or credit card will be debited by UAL on or before the dates above for the second and third instalments, so make sure you have enough funds in your account to cover the fees and let us know if you change bank or if the card you used expires between instalments.

If you miss a payment, UAL will send you three reminders after which you may be suspended, so please contact the Research Student Team via researchdegrees@arts.ac.uk if you think that you will be unable to pay your fees.

3.5 Pro-rata tuition fees

If you study for only part of the year because of suspension, extension, or thesis submission, please contact researchdegrees@arts.ac.uk in good time and we will discuss whether you can get a refund or if credit can be carried over into the next academic year.

If you decide to withdraw from the course during the year, you will be liable for full fees unless there are extenuating circumstances. As these are decided on a case by case basis, we advise you to assume that it is most likely that you will be charged full fees, even if you study only for three months, and that unpaid instalments will be charged.

3.6 UAL Fee Policy

It is currently University policy for a student who withdraws three weeks or more after starting their course to be liable for the full year's fee, except, subject to the Enrolment Terms and Conditions, in specified circumstances as set out below:

a) Where a student with a Student Loans Company (SLC) tuition fee loan withdraws from their course, the University will only receive the relevant proportion of the SLC fee loan triggered by the student's attendance on the specified census date(s). For example the University will only receive the Spring term fees payment if the student is continuing to attend during that term. The fee liability of an SLC-sponsored student who withdraws from their course will therefore be restricted to the amount of fee payable by the SLC, and the student will not be liable to pay the balance of the course fee not met by the SLC. This applies equally to FE students taking out an FE SLC loan.

b) Where an Overseas student is prevented from continuing on a course due to refusal of their visa application.

c) Where a student is prevented from continuing on a course due to medical or other exceptional reasons outside their reasonable control, or where a curriculum-related student complaint against the University has been upheld. In both these situations the relevant Dean must endorse and submit a refund request to the University Secretary and Registrar for consideration. The student may be asked to provide satisfactory evidence of the circumstances or events outside their control which is the reason for their withdrawal.

d) In the unfortunate event of the death of a current student there is an entitlement to a full refund of any tuition fees paid by the student for the academic year in question. The normal requirement to produce evidence will be waived where it would be inappropriate in the University's reasonable opinion.

Please see the UAL Fee Policy <http://www.arts.ac.uk/study-at-ual/academic-regulations/student-regulations/student-fees-policy/>

3.7 Writing-up fee

Students who have completed their primary research (including the practice element), and have submitted a full draft of their thesis, can apply for Writing-up Status at any time during the academic year. Writing-up Status is granted for a maximum of 12 months.

Students commencing writing up on 1 October will be charged the writing up fee. If your writing up status has not been approved to commence on 1 October you should pay fees as normal in accordance with UAL regulations (see section 3.4). If your writing up status is approved before the end of the academic year and the credit on your account exceeds the writing up fee you will receive a refund.

4 Registration

Registration is the process in the first year of your degree when you develop your research degree proposal for approval by the College Research Degrees Sub-Committee (CRDSC). All students are required to successfully register within the first 12 months of their degree. Failure to register within the first 12 months of your research degree may result in your place on the course being terminated. It is good practice to agree a timetable for submitting your Application for Registration to your CRDSC with your supervisory team at the first supervision meeting after enrolment at the earliest opportunity.

Your final submission date is calculated from your enrolment date, so late Registration means that you will have less time afterwards to focus on Confirmation and final submission.

The purpose of Registration is for you to define your research project and for UAL to assess that:

- Your project is a valid research project;
- Your project can be achieved in the maximum time set for your degree;
- UAL can provide the support you need to complete your project;
- You have access to the resources needed to complete your project;
- You have considered the ethical implications of your project and UAL deems the ethical risks are in line with the UAL Research Ethics Code of Practice.

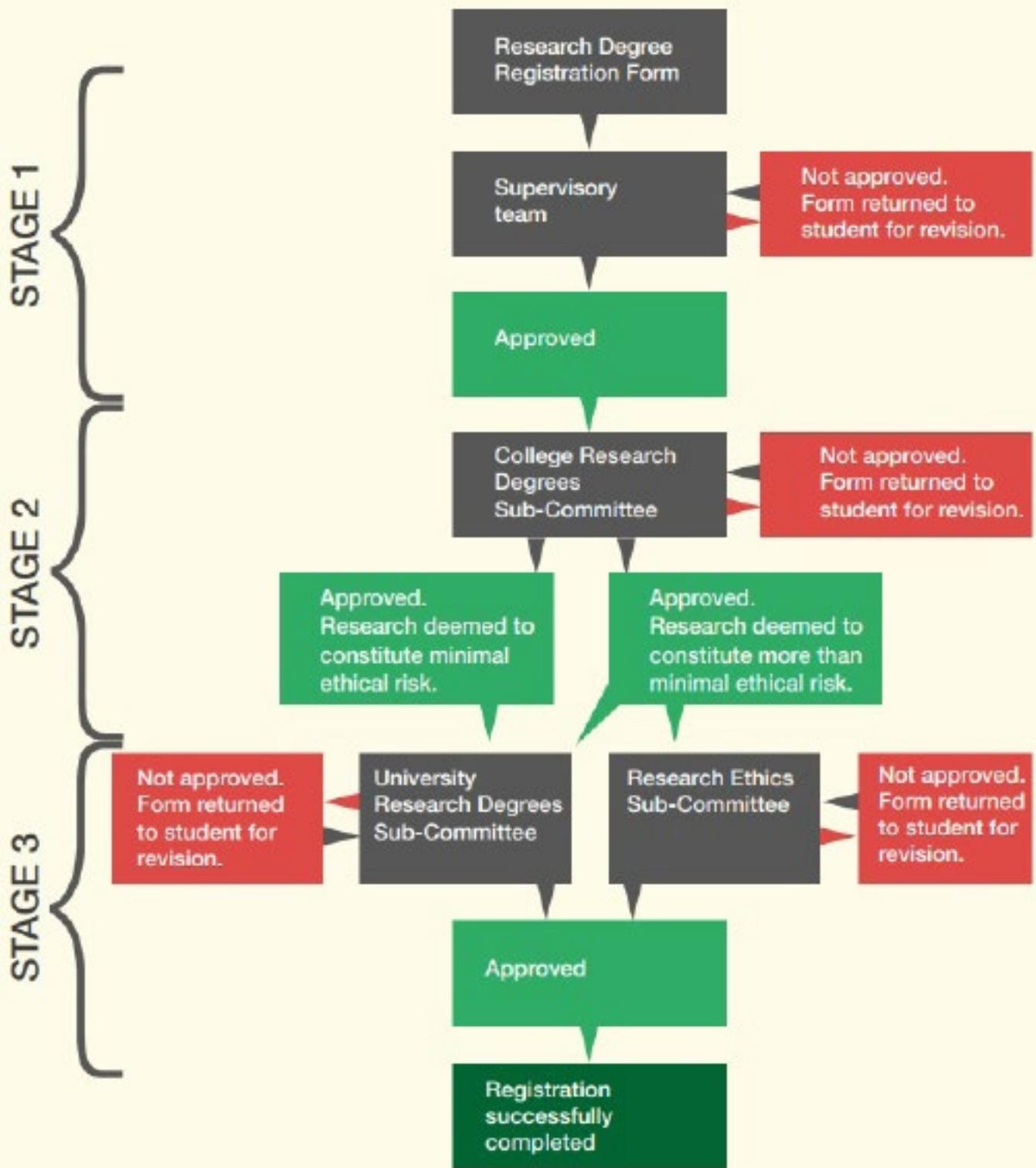
4.1 The Registration process

After enrolment and induction you will start working with your supervisory team to develop your Application for Registration. Your supervisors will help you through the process to ensure you can submit your Application for Registration form to your CRDSC as soon as possible (normally in the autumn term for full time students and spring term for part time students).

CRDSC reviews your Application for Registration and may ask you to make some amendments if parts of your application are underdeveloped or unclear. You will then have to re-submit your amended application to CRDSC. Once it has been approved by CRDSC it will go to University Research Degree Sub-Committee for final approval and to Research Ethics Sub-Committee if the College Committee has deemed that your project represents more than minimal ethical risk.

If you fail to register within 12 months, either because you did not submit early enough during the year, or because CRDSC has not approved your final version by September, you may be withdrawn for lack of academic progress.

4.2 Approval Process for Registration



4.3 Application for Registration Form

You can download the Application for Registration Form and accompanying guidance notes for completing the form from the Research Degree Moodle site. It is your responsibility to complete the form and to ask your supervisors to complete their section. The Research Student Team will ask all supervisors to submit a new Supervisor Details Form at the start of the academic year and we will add this to the form if we receive it. We will let you know if we do not have an up-to-date Supervisor Details Form for one of your supervisors so you can ask them for it. Please note that without the Supervisor Details Forms, your Registration cannot be completed.

On the Research Degrees Moodle site you can also find the UAL Research Ethics Code of Practice, which we advise you to read carefully as it is important to consider the ethical implications of your research project. Your CRDSC will make an assessment on the ethical risk of your project and if it is deemed to represent more than minimal ethical risk, the Application for Registration will need to be considered by Research Ethics Sub-Committee (RESC) as well as RDSC before it can be approved.

The Application for Registration form captures some basic information about your degree which CRDSC needs to know to assess your project, such as the degree you intend to finally qualify with (MPhil or PhD) and whether you study full-time or part-time. However, the main part of the form concerns your project and its details, such as the ethics, bibliography and examples of your practice if applicable.

You are requested to use the headings below to define the sections of your proposal:

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 or issue of the project. Unnecessary over-long or technical words should be avoided as should phrases such as 'an investigation into...'

Subject area, aims and objectives

You should briefly define your subject and the main concerns of the investigation, including a set of aims and objectives that will guide your research. If the proposal is primarily practice based, this section should also be used 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 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 answers. The aims and objectives are important because they declare, in a sense, the criteria for investigation, against which the success or failure of the project can be assessed. If you find it difficult to articulate your aims and objectives you might find it helpful to think of the aim as the most significant questions or problems which you hope to tackle. The objectives are the steps by which you will meet this aim. The proposal should normally have one or two aims, followed by a series of around six objectives. The idea is that by the time all the objectives are met, the aim should be achieved.

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 you are able, you should define the contemporary work that relates to your field of investigation. You must do this so as to:

- demonstrate awareness of the field in which you are working;
- demonstrate that the proposed research will have distinct feature which will make it potentially original;
- form the basis of links with other research work to which your research will contribute or on which your research 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 practice based work. You should be able to demonstrate the ways in which you evaluate their own work and that of others, and the sources that you use to inform your evaluation. A theoretical context will help 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 a proposal is entirely theoretical and critical, only the first and possibly the second might apply:

- Critical Theory: definition of the critical concept and terms used in order to evaluate or critique 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 that you will do.

Methodology

It is important to make a distinction between 'methodology' and research 'methods'. Methodology is concerned with the theoretical framing of the methods (techniques) used in a field of study: qualitative, quantitative, or mixed methods or techniques, which are sometimes described as research 'tools'. Methodology provides a theoretical underpinning for understanding which methods can be used in a particular project. Your methodological approach and the research tools which will be deployed will need to be addressed 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 rationale for using particular methods and procedures they 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 be used?;
- how will they record what they do and keep track of what they 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

The completed Application for Registration Form must be accompanied by Supervisor Details Form for each member of your supervisory team.

The research ethics section of the Application for Registration Form must be completed and registration will not be complete until any ethical issues have been addressed and final approval has been obtained either at the CRDSC and, if the research is deemed to constitute more than minimal ethical risk, at RESC. The DoS is the main source of advice for completion of the ethics and health and safety risk assessment aspects of the Application for Registration Form.

4.4 Research Ethics

Enrolling as a research degree student at UAL means you sign up to UAL's Code of Practice on Research Ethics, which you can find in Annex 6 of this Handbook, on the Research website as well as the Research Degrees Moodle site. You should read the Code carefully, give proper consideration to whether your proposal meets the requirements of the code and whether your proposal has any ethical considerations. Your Application for Registration needs to reflect that you have given due consideration to the research ethics of your project and you must address all the issues fully in your application.

Your Registration will not be completed until you have received ethics approval for your project, either by CRDSC confirming your project represents minimal ethical risk, or by RESC if CRDSC thinks it represents more than minimal ethical risk.

You must not undertake any 'field' research until you have received ethics approval for the research you intend to complete. You should not present any research material that has not received ethics approval either at RNUAL Block2 or 3 or outside UAL. If you are unsure of your status, please contact researchdegrees@arts.ac.uk.

Note: The research ethics dimension of any project may evolve over time, whether or not it was considered minimal risk at the time of Registration. If this is the case, you may have to seek post-Registration approval – your DoS will be able to advise. Please be aware that RESC has oversight of all planned and ongoing Research Degree student projects and can call them for review at any time.

4.5 Registration Period

Once your Application for Registration has been approved by RDSC, the Research Student Team will write to you to confirm that you are now registered as a Research Degree student with the intention to complete as either MPhil or PhD, depending on what you indicated on your form. You will then also receive the dates of the other key milestones of your degree: Confirmation and Submission for Examination. Your registration date is backdated to your date of enrolment, so it is in your interest to complete Registration as quickly as possible to have the maximum amount of time for the subsequent stages of your degree.

Full-time students need to have their Confirmation meeting within 18 months of enrolment and part-time students within 30 months of enrolment. The maximum period of enrolment before submission for examination is 48 months (4 years) for full-time students and 96 months (8 years) for part-time students.

5 Confirmation

As stated above, you enrol on the Research Degrees programme at UAL as a student for an unspecified research degree with the intention to complete as either PhD or MPhil. Confirmation decides which of these degrees you will submit your thesis for examination, though the panel can also recommend discontinuation. Please be aware that if you intend to study for an MPhil you will still need to go through Confirmation to ensure that your project meets the criteria for MPhil as specified above.

Confirmation consists of two parts:

1. A meeting with your supervisory team and an independent academic, for which you should submit papers to your Director of Studies in advance;
2. A presentation at RNUAL Block 2 in February.

The purpose of Confirmation is to decide whether:

- You have the knowledge and skills appropriate to complete your research programme;
- You have completed work of a quality to justify continuation and that your research methods are appropriate and practical;
- Your 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 MPhil is more appropriate;
- A realistic plan is in place for completion of your research within the expected timeframe.

Your Confirmation report should be submitted to your College Research Degrees Sub-Committee (CRDSC) within 18 months of first enrolment if you are a full-time student or 36 months if you are a part-time student. You should discuss the timeline for the submission of the material for Confirmation with your supervisory team shortly after your Application for Registration is approved by your CRDSC. The agreed deadline will help your DoS to arrange for an independent academic to be part of your Confirmation panel.

The independent academic is normally a member of UAL academic staff at a different college from the one you are based in and who has experience of supervising research degrees to completion. It is important to note that the independent academic is not eligible to be the internal examiner for your thesis.

5.1 Confirmation documents

Once your application for Registration has been approved you should agree a deadline with your supervisory team to submit the following documents to your DoS:

- 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 written part of the thesis. If you intend to submit a body of creative, practical work for the final examination, the contextual review needs to include a practice review as well. A practice review explains the significance of our own work in the appropriate historical, critical and theoretical context and should include documentation of the project. You can also include evidence of your practice with the submission in the same format as for your Application for Registration;
- A detailed plan of the research project to completion and chapter outlines for the written part of your submission (and, if the project 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);
- An abstract outlining the main thesis of your work;
- A comment on any new ethical considerations since Registration;
- If applicable, a written health and safety risk assessment.

If practice is to form a major component of your thesis, the documents submitted need to:

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

The complete written document should normally not be longer than 10,000 words in total.

It is your responsibility to submit all the paperwork to your DoS by the agreed deadline. It is the responsibility of your DoS to forward the documents to the other members of the Confirmation panel in good time.

5.2 Confirmation meeting

Before your Confirmation meeting, your supervisory team needs to complete the first part of your Confirmation Report Form. As the Confirmation Report Form takes the place of the annual report for that academic year, your supervisory team is required to provide:

- An assessment of your work and your progress since Registration;
- Details of any concerns that the team has about your performance and ability to successfully complete your research degree by your maximum thesis submission date;
- Comments on the details of the supervisory arrangements (including the division of responsibilities between the supervisors) in relation to the assessment of your written work, frequency and approximate duration of supervisory sessions, and the date of the most recent contact;
- An assessment of the Ethical implications of your project;
- Comments on the health and safety risk assessment of your work (if applicable).

Your DoS is responsible for arranging a time and room for your Confirmation meeting and to ensure all participants are aware of this. The Confirmation panel will normally be your supervisory team and the independent academic; if for exceptional circumstances it is impossible to get all supervisors to the meeting, one of your supervisors can participate via Skype or submit a report to your DoS on your Confirmation document together with the issues they would like to see raised.

At your Confirmation meeting you will be invited to make a short presentation to introduce your project and the work you have achieved to date. Your DoS will normally be the Chair of your Confirmation meeting and the independent academic will lead the questions the panel asks about the work presented. After the meeting you will be offered the opportunity to discuss your supervisory arrangements with the independent academic in private. If there are issues, the independent academic will discuss with you whether you want to raise them with the team or with the Chair to your CRDSC or the Associate Dean of Research.

Following your Confirmation meeting the panel will discuss their considerations and will tell you their recommendation. The possible recommendations are:

1. That the degree for which you will be examined will be MPhil.
2. That the degree for which you will be examined will be PhD.
3. That your probationary period (i.e. the period between Registration and Confirmation) is extended to make changes to the documents submitted either with a maximum of 3 months for full-time students or 6 months for part-time students. The probationary period can only be extended once and the panel will tell you whether they require there to be a second Confirmation meeting or not.
4. That your Registration with UAL is discontinued for lack of academic progress.

The panel then completes the report section of the Confirmation Report Form; the report has to be from the

panel as a whole and will comment on the Confirmation meeting, the documents provided, your ability to answer the questions posed by the panel and any other observations the panel thinks pertinent.

If your probationary period is extended, the panel assessing your Confirmation should stay the same and the panel will make it clear on the report form what they expect you to do and who will assess the amended document if there is no second Confirmation meeting.

When the report is completed it is the responsibility of your Director of Studies to submit it for approval by the College Research Degrees Sub-Committee.

- If the panel's recommendation is that your probationary period is extended, then the CRDSC Secretary will send you the report approved with the deadline for resubmission to your DoS (the period for resubmission starts from the Committee's approval).
- If the recommendation is MPhil or PhD and CRDSC approves the report, it is then forwarded to the URDSC for final approval and the CRDSC Secretary will send you a confirmation email of the progress. The Secretary of URDSC will send you the report and Confirmation letter after approval by URDSC.
- If the recommendation is that your Registration is discontinued, the report will be forwarded to URDSC and you will receive a letter via email confirming that your CRDSC approved the recommendation made by the panel and that URDSC will make the final decision as to whether you will be withdrawn as recommended. URDSC may request additional information from your supervisory team or you as part of this process. The Secretary to URSDC will email you the letter with the final outcome.

If you disagree with the Confirmation outcome, you can appeal using the UAL Appeal Process as laid out in the [Appeals section](#) and in [Annex 9 of this handbook](#).

5.3 RNUAL Block 2 presentation

As part of the Confirmation process you will need to present at RNUAL Block 2, normally in February. At the beginning of the year the Research Student Team will contact you if you are due to Confirm in that academic year and you will also receive more information on what is required as part of the presentation (which lasts 20 minutes). For more information on RNUAL, please consult the RNUAL Guide.

5.4 Changes to Confirmed degree status

If, following Confirmation, you are enrolled to complete as PhD and you are unable to complete the work for this degree, you can request to URDSC to be allowed to complete as MPhil as long as the maximum period for MPhil submission (3 years for full-time students and 6 years for part-time students) has not expired yet. It is not possible to change from MPhil to PhD if your Confirmation was approved for MPhil.

5.5 Suggested timetables for Confirmation planning

5.5.1 Standard full-time students

This is a suggested timetable for full-time students who are following the standard trajectory. If you have taken suspension of less than a full year, you may need to adjust the period of the year to reflect this changed submission schedule.

Year of Study	What	When
1	Application for Registration approved by CRDSC	By April
	Confirmation preparation: meet with your supervisory team to agree a plan of work leading up to the Confirmation paperwork submission. This meeting should include an overview of the nature and extent of work you are required to do for Confirmation and your supervisory team should be able to advise you on this. At this meeting a date for submission should also be pencilled in so your DoS can use this when approaching colleagues within UAL to request accepting the role of Independent Academic.	Following Registration approval
2	Confirmation planning: for you to agree the submission date of the confirmation documents with your supervisory team	October
	Meeting arrangements: for your DoS to contact the independent academic to agree a date for the Confirmation meeting and to inform you and the other supervisors of this date	October / November
	Confirmation preparation: you work on your Confirmation document and prepare for the RNUAL Block 2 presentation	October-February
	RNUAL Block 2 presentation	February
	Confirmation Meeting: to take place and report to be completed and submitted to CRDSC	January-March
	Confirmation Report approval: Report shared with you by the Secretary to either CRDSC (if probationary period extended) or URDSC (if approved MPhil or PhD or discontinued)	April / May

5.5.2 Standard part-time students

This is a suggested timetable for part-time students who are following the standard trajectory. If you have taken suspension of less than a full year, you may need to adjust the period of the year to reflect this changed submission schedule.

Year of Study	What	When
1	Application for Registration approved by CRDSC	By September
2	Confirmation preparation: meet with your supervisory team to agree a plan of work leading up to the Confirmation paperwork submission. This meeting should include an overview of the nature and extent of work you are required to do for Confirmation and your supervisory team should be able to advise you on this. At this meeting a date for submission should also be pencilled in so your DoS can use this when approaching colleagues within UAL to request accepting the role of Independent Academic.	October

3	Confirmation planning: for you to agree the submission date of the Confirmation documents with your supervisory team.	October
	Meeting arrangements: for your DoS to contact the independent academic to agree a date for the Confirmation meeting and to inform you and the other supervisors of this date.	January-February
	Confirmation preparation: you work on your Confirmation document and prepare for the RNUAL Block 2 presentation	October-April
	RNUAL Block 2 presentation	February
	Confirmation Meeting: to take place and report to be completed and submitted to CRDSC	May-June
	Confirmation Report approval: Report shared with you by the Secretary to either CRDSC (if probationary period extended) or URDSC (if approved MPhil or PhD or discontinued)	July-September

6 Submission

Following Confirmation you will be working towards the submission of your thesis for examination and part of that is ensuring the administrative part of your submission is on track as well as completing your thesis.

6.1 Examination Panel

It is good practice to discuss who the most appropriate examiners for your project would be with your Supervisory team early in your programme of study, so that you can ensure that you do not have too close contact with them during your degree. This is particularly relevant if your research is conducted in a small field where relatively few people may be qualified to examine a research degree. Anyone who has given you expert advice or supervised any aspect of your thesis will be ineligible as an examiner for your project. In addition to this, examiners are ineligible if they intend to employ or collaborate with you in the future.

Directors of Study will be required to indicate the proposed examination panel on the Confirmation Report.

Each research degree student is examined by at least one internal (UAL) examiner and one external examiner; if you are employed by UAL for over 6 hours per week during term time threshold you will need a second external examiner. Exceptionally it is possible to add an experienced second internal examiner to the examining team but this will always only be approved if you agree with this in writing. Approval of the examination panel is the decision of URDSC.

Your DoS should submit the Application for Examination Panel Form complete with an Examiner Details Form for each examiner at least three months before you plan to submit your thesis. This is to allow enough time for URDSC to consider the proposed examination panel and to make changes if the panel is not approved. The form asks for a brief outline of your project and information on the proposed examiners' expertise and experience to allow URDSC to judge the appropriateness of the panel to be appointed.

To be qualified, the examination panel normally needs to have experience of at least three previous examinations between them and if a proposed examiner has not previously examined at MPhil/PhD (as appropriate to your thesis), they normally need to have the experience of supervising at least one research degree to completion to be eligible to be an examiner.

The internal examiner is normally from a UAL or partner College other than your registered College, unless no suitable person can be found at one of the other Colleges. If this is the case, your DoS will have to make a case on the Application for Examination Panel Form stating why the proposed examiner is the most suitable person for your panel.

You must not contact examiners directly at any point outside the viva voce examination. Your supervisory team will initially liaise with the examiners and after submission all contact must be via the Research Student Team and the Chair of the examination.

Once the panel has been approved, URDSC will nominate a Chair of the examination. The Chair will be a member of academic staff at UAL with expertise of at least three (3) previous research degree examinations normally from a different College than your registered College and that of the internal examiner(s). It is the role of the Chair to advise the examiners in the operation of UAL research degree regulations, and to ensure that the examination is conducted fairly. The Chair will get a copy of your thesis for reference but does not ask questions or make judgements during the viva voce examination.

6.2 The thesis

The thesis is the total work you submit for examination and therefore includes the practice if your project is practice-based. The examiners will examine both written text and creative work accompanying this.

There are different minimum and maximum word limit requirements for PhDs and MPhils and for practice-based and text-based degrees, so it is important to keep this in mind when you are working towards the completion of the written part of your thesis. Minimum and maximum word lengths are inclusive of footnotes and end notes, but exclude appendices, the bibliography and translations from texts that do not exist in another format.

Degree Type	Text-based thesis	Practice-based thesis
MPhil	Minimum length: 40,000 words	Minimum length: 15,000 words
	Maximum length: 60,000 words	Maximum length: 60,000 words
PhD	Minimum length: 60,000 words	Minimum length: 30,000 words
	Maximum length: 100,000 words	Maximum length: 100,000 words

As a guide, the standard length for the written part of a text-based PhD thesis is 80,000 words and a text-based MPhil is 50,000; for a practice-based PhD it is 40,000 words and for a practice-based MPhil 25,000 words.

You are asked to submit the written part of your thesis in a particular format and it is important to familiarise yourself with this format from an early period of your study. The details of the cover, printing and layout are indicated below. Recognised systems for constructing tables of contents, references and bibliographies can be found in the publications listed in the RNUAL Guide.

The first version of your thesis submitted for examination does not have to be bound as for your final submission. You do, however, need to submit it in a suitable format that gives at least an indication of its appearance of your final submission. You would normally submit your first thesis in a soft bound version, and an example of what this would look like can be found in [Annex 3](#).

The format of the thesis must follow these requirements:

- i. The thesis shall normally be in A4 format, though URDSC may give permission for a thesis to be submitted in a different 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 and the paper shall be white and within the range of 70 g/m² to 100 g/m²;
- iv. The margin on the left-hand binding edge of the page shall not be less than 40mm; other margins shall be 15mm or more;
- v. Double or one-and-a-half spacing shall be used in the typescript except for indented quotations or foot/endnotes 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. Citations must be consistent and adopt a recognised standard system, for example, Harvard, Numeric or Running Notes;
- viii. The title shall give the following information:

- a) The full title of the thesis;
- b) The full name of the author;
- c) That this is 'A Thesis submitted in partial fulfilment of the requirements for the degree of [Name of Degree] at the University of the Arts London';
- d) The Collaborating Establishment(s), if any;
- e) The month and year of first submission.

Your thesis will also include an abstract of approximately 300 words on the page following the title page, which will provide a synopsis of the thesis, state the nature and scope of the work undertaken and the contribution made to knowledge.

If your thesis is practice-based, the practice element needs to be recorded in a standard retrievable form. You should discuss and agree all these matters with your supervisors and ensure that once you have chosen a method that you use it consistently throughout the thesis.

6.3 Submission

As part of the letter you receive when your Registration is approved, you will receive the dates that Confirmation and final submission are due. If you change mode of study, take suspension or extend you will be notified by the Research Student Team of the amended deadlines for the key milestones in your degree. You have to submit your thesis by the final submission date, but are welcome to submit earlier as long as you have been enrolled for the minimum period required.

The number of printed copies you have to submit depends on the size of your examination panel. Normally this will be two examiners, so you need to submit three copies (one for each examiner and one for the Chair), though sometimes panels of three are appointed, in which case you would need to submit four printed copies. With the thesis you need to submit a completed Thesis Submission Form that is signed by your supervisory team. On this form you confirm:

- The length of the thesis (if your thesis goes beyond the word count limit, you will need to make a case to RDSC before submission);
- The contribution others have made to its content, if any;
- Details of any parts of the thesis which you have already published, exhibited or submitted for another qualification.

Your supervisory team are asked to confirm the submission statement by signing and dating the form. You have the right to submit your thesis without your supervisors' approval, though it is considered unwise to submit against the advice of your supervisors. Please be aware, however, that approval of your thesis by your supervisors for submission does not guarantee the award of a degree.

You will also be asked to submit a digital copy of your thesis to the Research Student Team to hold as a record and as a backup if delivery of the printed copy to one of the examiners fails.

Once you have submitted your thesis you will no longer have student status and will not be charged tuition fees from the month of submission, but you will still be liable for any outstanding fees at this point. Your Student ID card should still give you access to UAL buildings and libraries and your UAL email account should continue to work until your research degree has been awarded. If you experience any problems, please contact researchdegrees@arts.ac.uk.

Between submission and examination it is good practice for your supervisory team to organise a mock viva voce for you so you can familiarise yourself with the viva process. The mock viva will also assist you in the preparation for the actual examination.

All contact with the examiners, including your supervisors' contact with them, during this period should be through the Research Student Team to ensure the objectivity of the examining panel.

7 Examination

Following submission of your thesis, and provided that your examination panel has been approved by URDSC, the Research Student Team will send your thesis to your examiners. When contacting the examiners the Research Student Team member will also ask for the examiner's availability for the viva, usually for a period between 6 to 8 weeks after sending out the thesis. The standard period for the examination is normally within 3 months of submission of the thesis.

If you want to show your work at the time of your viva, it is your responsibility with your DoS to arrange a suitable space, though the Research Student Team can assist you with room booking if necessary. As space booking at UAL is often quite competitive, you may need to arrange space well before the viva. If this is the case, please ensure that your examination panel is approved far in advance of your submission. You should also keep the Research Student Team informed of your arrangements, so we can notify you of any problems between your plans to present your work and the viva voce examination.

The presentation of practice work should not normally take the form of an exhibition, but may take the form of a display, demonstration or performance appropriate to your subject matter. The purpose of displaying your work is for the examiners alone, so that they can determine the extent to which you have achieved the objectives you have set for yourself. If your thesis' aims and objectives require an exhibition before submission where, for instance, audience response would be gathered, then you can organise this, but UAL cannot guarantee that the examiners will attend this exhibition.

As part of the examination process, your examiners are requested to submit a preliminary report in which they discuss their considerations with regard to the examination of your thesis. They may also give an indication of what they think the result of the examination will be and whether they are prepared to allow the viva to go ahead. The report is submitted to the Research Student Team who forward it to the Chair of your viva. The Chair compares the reports and circulates them among the examiners on the day of the viva; this will be the first time the examiners will see each other's evaluation on your thesis.

In the unlikely case that one of the examiners is of the opinion that the viva should not go ahead, they will need to outline clearly in the report what they perceive the deficiencies in the thesis are. The Chair will then compare the report with that of the other examiner(s) and consult with all examiners before deciding whether the viva will go ahead or not. If the decision is for the viva not to go ahead, the complete examination panel will be asked to prepare a joint report with a list of required amendments, which will be forwarded to URDSC for approval before being sent to you. An examination panel cannot fail a student without a viva, so if the viva is cancelled, the examination without viva counts as a first examination and the result will be 'Resubmission with a viva. As soon as the decision is made for a viva not to go ahead the Research Student Team will let the student and supervisory team know and will inform all involved of the timeline for resubmission.

7.1 The viva

The viva voce examination starts with the examiners' pre-meeting when the Chair and examiners discuss the preliminary reports and agree on the questions they will ask you during the viva. You will then be invited to join the examination panel with your observer (usually your DoS but it can be another member of your supervisory team) and the Viva Voce ('with living voice' or oral examination) will commence.

Some students start with a short presentation on their project; if you wish to do this, please let the research student team know in advance so suitable presentation equipment can be organised and the Chair can inform the examiners that the viva will start with a presentation.

The viva should cover all aspects of your thesis, but in particular the points selected by the examiners at their pre-meeting. You may be given an opportunity to comment on any adverse points and on any amendments of substance examiners want to recommend. In some cases, the examiners will give an indication at the start of the viva of their initial opinion of your thesis to allow you the opportunity to challenge it, but this is not always the case. The examiners are also allowed to request an inspection of practical work, demonstration of software, viewing of original data or anything else that is considered reasonable by the Chair, as long as they request this advance via the Research Student Team.

You may bring an annotated copy of your thesis into the viva and your observer can take notes (although the observer is not allowed to speak during the viva, unless specifically addressed by the panel).

Following the viva voce, the examination panel will discuss how you performed and defended your thesis and on the basis of that combined with the submitted thesis, they will decide the result of your examination. The examiners will normally tell you the result and write their joint report under supervision of the Chair. If, for any reason, they do not tell you the result on the day, you should normally be told the next day at the latest by your Director of Studies.

The possible results at first examination are:

1. Unconditional Award

If the thesis fulfils the criteria for the PhD degree set out in Section 7 of these regulations and the student satisfies the examiners in all other parts of the examination, the examiners will recommend to URDSC that the candidate should be awarded the PhD.

2. Minor Amendments

If the thesis otherwise fulfils the criteria for the PhD degree set out in Section 7 of these regulations, but requires minor amendments, and the student satisfies the examiners in all other parts of the examination, the examiners may recommend to University Research Degrees Sub-Committee that the PhD be awarded subject to the student successfully completing specified minor amendments within two months of these being notified in writing. 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.

Minor amendments are restricted to required changes that are typographic or grammatical in nature or to required changes to the presentation of practice that are of a similar scale. Minor amendments can also include minor changes to references, re-writing of small sections of the text where this improves existing explanations or descriptions or limited amendments to the presentation of the practice that is of a similar scale. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them for confirmation that the amendments are satisfactory. If the amendments are satisfactory, the examiners will report to the URDSC that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to University Research Degrees Sub-Committee for consideration.

3. Major Amendments

If the thesis otherwise fulfils the criteria for the PhD degree set out in Section 7 of these regulations, but requires amendments to address errors of substance or omission, and the student satisfies the examiners in all other parts of the examination, the examiners may recommend to URDSC that the PhD be awarded subject to the student successfully completing specified major amendments within six months of these being notified in writing.

The examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management and Administration Office. This option is not available to examiners re-examining a thesis. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them, for confirmation that the amendments are satisfactory, without the requirement to conduct a further viva. If the amendments are satisfactory, the examiners will report to the University Research Degrees Sub Committee that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to URDSC for consideration.

4. Resubmission

The examiners may recommend to University Research Degrees Sub-Committee URDSC that the student should not be awarded the degree but be permitted to re-submit the thesis in revised form and be re-examined by all examiners, with or without an oral examination (to be agreed by the examiners), within twelve months of the notification in writing. This option is not available to examiners re-examining a thesis. The examiners shall not make such a decision without first submitting the candidate to an oral 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. The examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management

and Administration Office.

5. MPhil

In the case of a PhD examination, the examiners may recommend to URDSC that 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.

6. No Award

The examiners may recommend to URDSC that 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 URDSC and to the student.

For each of the outcomes the examiners will complete the Examiners' Joint Final Report which covers your conduct at the viva voce, the presentation and style of the thesis, how much publishable material there is in the thesis, whether the panel considers you ready to conduct further independent research and any other matters the panel would like to comment on. If applicable the report will also include a clear list of amendments the examiners request you to make to be awarded a degree.

The report will be completed within 5 days of the date of the viva and to be submitted to the Research Student Team by the Chair of the examination panel. In most cases the examiners will agree on the outcome of the examination, but if the examiners cannot agree, they are required to submit separate reports.

The report needs to be approved by URDSC before it can be sent to you, so there is a period of delay between the viva and the official confirmation of your result. URDSC needs to approve the report to check the clarity of the report and list of amendments (if necessary) as appropriate. If anything is unclear, the report is sent back to the Chair and examiners for clarification. Once the Examiners' Joint Final Report is approved, the Secretary to URDSC will send it to you with instructions on what you need to do next. If you have to make amendments, the period for making these start from the date of the letter from URDSC, not from the date of your viva.

7.1.1 Unconditional Award

If the result of your viva is an unconditional award, you will be sent the Examiners' Joint Final Report and asked to submit one hard bound thesis as per UAL instructions ([Annex 3](#)), the final submission form, a digital copy of your thesis and a copy of your passport.

7.1.2 Minor Amendments

If the result of your viva is Degree Awarded subject to Minor Amendments, then you will be sent the report with the list of required amendments as agreed by your examination panel. You will normally then have two months to make the changes. You must keep track of page numbers and the changes you have made on a separate sheet, so you can submit this with the amended thesis and the resubmission form (which needs to be signed off by your DoS). Having a detailed list of changes with page numbers makes it easier for the examiner(s) to check your amended thesis. You will normally submit the amended thesis in a soft bound format and digital format (the same as for first submission), unless the examiners have specified in the report that a digital version (with or without tracked changes) would be sufficient.

Once you have submitted your amended thesis to the Research Student Team, we will send it to the examiner(s) specified in the report and they will normally have a month to check it. If they are unable to check the amended thesis in this period, we will inform you of any delay. If the examiner(s) approve the amendments made, we let you know and then the final submission process is the same as for the Unconditional Award above. If the examiner(s) does not approve the amended thesis, their considerations will go to URDSC for a final decision.

7.1.3 Major Amendments

If the result of your viva is Degree Awarded subject to Major Amendments, then you will be sent the report with

the list of required amendments as agreed by your examination panel. You will normally then have six months to make the changes. You must keep track of page numbers and the changes you have made on a separate sheet, so you can submit this with the amended thesis and the resubmission form (which needs to be signed off by your DoS). Having a detailed list of changes with page numbers makes it easier for the examiner(s) to check your amended thesis. You will normally submit the amended thesis in a soft bound format and digital format (the same as for first submission), unless the examiners have specified in the report that a digital version (with or without tracked changes) would be sufficient.

Once you have submitted your amended thesis to the Research Student Team, we will send it to the examiner(s) specified in the report and they will normally have a month to check it. If they are unable to check the amended thesis in this period, we will inform you of any delay. If the examiner(s) approve the amendments made, we let you know and then the final submission process is the same as for the Unconditional Award above. If the examiner(s) does not approve the amended thesis, their considerations will go to URDSC for a final decision.

7.1.4 Resubmission

If the result of your viva voce examination is for the Degree to not be awarded, but for you to be allowed to resubmit for re-examination, then you will be sent the report with the list of required amendments as agreed by your examination panel and with clarification whether a second viva will be required or not. You will normally then have 12 months to make the changes. You must keep track of page numbers and the changes you have made on a separate sheet, so you can submit this with the amended thesis and the resubmission form (which needs to be signed off by your DoS). Having a detailed list of changes with page numbers makes it easier for the examiner(s) to check your resubmitted thesis.

Once you have submitted the amended thesis to the Research Student Team (in soft bound format as for first submission, unless specified otherwise in the examiners joint report), we will forward it to the examination panel for re-examination. If the resubmission is without a second viva, the examiners will be asked to prepare an Examiners' Joint Re-examination Report which will go to URDSC for approval before it is sent to you.

If the resubmission is with a second viva, the examiners are requested to submit a re-examination preliminary report and, following the viva, to submit an Examiners' Joint Re-examination Report. Normally the examination panel will be the same for the second viva as it was for the first one, but if this is impossible, URDSC will make a decision for a suitable replacement and will state their considerations to you and your supervisory team before the second viva voce examination.

The result of your re-examination can be one of the following:

1. Unconditional Award;
2. Degree awarded subject to minor amendments
3. Degree not to be awarded, but MPhil to be awarded (possibly with additional minor amendments);
4. Degree not to be awarded.

In case 1 and 2 the report can be approved by the Chair to URDSC, but in cases 3 and 4 it will go to URDSC for approval before it gets sent to you.

7.1.5 Recommendation for the Award of MPhil (PhD students only)

If the result of your examination is that you should be awarded an MPhil instead of a PhD, the examiners will clarify on the report whether that award should be unconditional or if amendments are needed. The report will also make clear why the thesis could not be revised to meet the criteria for PhD and additionally confirm that the thesis meets the criteria for an MPhil.

If no changes need to be made, you will receive the same instructions as for an unconditional award above (except that MPhil theses are not submitted to the British Library) and if you are requested to make changes the process is the same as for minor amendments above.

7.1.6 No award and no resubmission

If the result of your examination is that you should not be awarded a PhD or MPhil and that you should not be allowed to resubmit for examination, you will receive the report after it has been approved by URDSC and you will not receive a degree from UAL. You will also not be allowed to submit the thesis in similar form for examination at a different institution. If you disagree with the outcome of your examination, you can appeal using the University Appeals Procedure, which is outlined in [Annex 9](#).

8 Completion

Once your thesis has been approved, you will be required to submit a hardbound copy of your thesis, a digital copy, the final thesis submission form, and a copy of your passport.

The hardbound copy goes to your College Library, if you have granted permission, or into storage. With your permission the digital copy goes to UAL Research Online (UAL's research repository) and the British Library; if you do not grant permission the digital is held in the University's repository and not made public. For more information check [Annex 3](#). You may change your mind at any time and grant or deny permission for any of the above, just contact researchdegrees@arts.ac.uk.

The copy of your passport is used to ensure we have recorded your name exactly as it appears on your passport. UAL policy requires degrees to exactly match passport information for your degree certificate.

On the final submission form we ask you for your current address, so we can ensure that your Award Letter arrives at the correct address, and for your personal email address (ie. not your UAL email address). This is because about one month after you complete your degree your UAL email address will stop working and after three months your email account will be deleted completely and cannot be reinstated. This means that we can no longer contact you on your UAL email address after final submission but also that you will need to make sure you have copied all relevant contacts and emails from your UAL account before you finish the course.

When you have submitted all forms and copies, we will issue an Award letter to be signed by the Vice-Chancellor, Nigel Carrington, and his office will send you the hard copy of this. The award letter states the degree you have been awarded plus the date and the title of your thesis and you can use this letter as proof of your degree before the certificate is issued. Once you receive the Award letter you can also start using the title of Doctor/Master of Philosophy. Please be aware that the date of the award is the date of final submission, as long as you have no outstanding fees and not the date of approval of your (amended) thesis.

The Research Student Team will forward a copy of the signed Award Letter to Central Registry who will issue your Certificate and invite you to the next Graduation Ceremony; these happen each year in July and are organised by College rather than by course, i.e. if you are a LCC student you will be invited to the LCC College ceremony - there is no separate PhD cross-College ceremony.

9 Monitoring and progression

9.1 Supervision Record Sheets

The key element to formal supervision is that it is recorded on a Supervision Record Sheet as a discrete episode with an agreed record of the issues discussed and any actions arising. It is your responsibility to complete the record sheet with points discussed and actions agreed and for the appropriate supervisor(s) to comment and sign the sheet as an accurate record. You keep a copy for your records and you forward the signed copy to researchdegrees@arts.ac.uk so the Research Student Team can add it to your file.

It is sound practice to have a meeting early each academic year to agree dates for your supervisory meetings and deadlines for submission of work with your supervisory team. As stated before, at different times during your degree you will need different levels of engagement from your supervisors and it is advisable to assess your needs at the two meetings in the year where the complete team should be present, the first one in October and the Annual Report meeting in June.

You are encouraged to be pro-active in the supervision process by setting the agenda for meetings (taking

into account your mode of study and recommended number of formal supervisions) and completing the supervision record as part of your development as an independent researcher.

You should also record details of meetings of a more informal nature, such as phone calls or email, and confirm your understanding of the discussion with the supervisor(s) involved.

9.2 Annual Report

To ensure that you are progressing without problems, an annual report needs to be submitted every year for the CRDSC meeting in July. If your Confirmation report was approved between July and June of any year this will be used instead of the annual report, but that is the only exception. If you submit your thesis for examination before July then a report will not be needed, though it can be submitted as good practice.

We recommend that you plan a meeting with your complete supervisory team in May/early June to complete the annual report in time for submission to CRDSC. Both you and your supervisors need to complete sections on the form and it is the responsibility of your DoS to submit the form to the Research Student Team. If you disagree with the section completed by your team, or you prefer for them not to see your comments you can submit a separate report which will be considered by CRDSC alongside the report submitted by your DoS.

The annual report gives your Supervisory team the following options in relation to your registration as a research degrees student at UAL:

1. For your Registration to be continued;
2. For your Registration to be discontinued;
3. For your Registration to be continued for a certain number of months, subject to certain conditions as specified by the supervisory team.

You will not be able to progress to the next year and re-enrol unless we have received a completed Annual Report confirming that your Registration should be continued.

If the recommendation is for your registration to be continued subject to conditions, you will be informed of this formally by the Secretary to CRDSC following CRDSC in July.

If the recommendation is for your registration to be discontinued, you will be informed of the CRDSC's recommendation with regard to your report and if the recommendation is approved, then the form will go to RDSC in September for a final decision.

The Secretary to URDSC will confirm in writing (email) the decision of URDSC and if your registration is discontinued you will be withdrawn from the course. If you disagree with the outcome and want to appeal, you can do this through the University Appeals Procedure ([Annex 9](#)).

10 Changes to Registration

10.1 Changing supervisors

If at any point during your degree it becomes clear that your supervisory arrangements need to change, for example because your project has changed and a different expertise is needed for completion, you can apply for a change of supervisory arrangements. The first person you will discuss this with is your DoS or if this is impossible you should contact the Chair to your CRDSC or your College ADR. You can make recommendations for a replacement supervisor, but the supervisory team is the University's decision.

Once you and the new team have come to an agreement, you need to submit a completed Request for Change in Supervisory Arrangements Form, signed by all parties involved. You also need to ensure that a Supervisor Details Form is submitted for any newly requested supervisors, so that Chairs to CRDSC and RDSC can assess that the new team is appropriate and qualified to supervise your research degree.

The Research Student Team will confirm the new arrangements to all parties involved once the new team is approved.

10.2 Supervisor absence

Supervisors may be unable to perform supervisory duties at times for various reasons, and to ensure that you are not disadvantaged by this, UAL has agreed the following solutions:

- If one of your supervisors is absent for one term or less, you should ensure that you meet with the other member(s) of your supervisory team during this period.
- If a supervisor is going to be absent for more than one term, then arrangements should be made by the supervisory team together with the ADR or Chair to CRDSC for a suitable temporary replacement. If this happens, you need to let the Research Student Team know, with a copy of the Supervisor Details Form for the new member of the team, but no approval is needed from RDSC.
- If the supervisor is going to be absent for more than one year, permanent replacement on the team would be appropriate in which case the process to change the supervisory team will start as outlined above.

10.3 Change of Mode of Study

If you want to change your mode of study from part-time to full-time or vice versa, UAL will want to satisfy itself that you are able to commit enough time to the project and that suitable adjustments can be made to the timetable for the work to be submitted on time.

You can normally only change mode of study once during your research degree at UAL and this can only happen at re-enrolment, so before 1st October of any year. To do this, you will need to complete a Request for Change of Mode of Study Form and submit this to the Research Student Team before the start of September for the change to take place from October.

You should discuss the possibility of the change of mode of study first of all with your supervisory team before completing the form and, submit the completed form signed by your supervisory team to the Research Student Team who will seek approval for the change of mode from the Chair of your CRDSC and the Chair of URDSC.

If the change is approved, you will receive confirmation of any changes in your milestone deadlines (Confirmation, if applicable, and final Submission) from the Research Student Team. The team will also confirm your tuition fees prior to enrolment.

10.4 Writing-up Status

If you have completed all your research, including any practice, and have a complete first draft of your thesis (including introduction and conclusion) and you only have to re-write the chapters before submission, you can apply for Writing-up Status.

In order to be eligible to apply for Writing-up Status, you need to have been enrolled on your research degree for a minimum of two years full-time or three years part-time if Confirmed as PhD, or one year full-time or two years part-time if you are studying towards an MPhil.

Writing-up lasts for a maximum period of 12 months, regardless of whether you are a full-time or part-time student (writing up fees are detailed in Section 3.4 of this document). You can apply for Writing-up Status at any point during the year using the Application for Writing-up Status Form. To qualify for Writing-up Status, your DoS needs to confirm on the form that in their opinion the draft you have given them constitutes a complete first draft and that no more research or practice needs to be undertaken. Once they have signed the form, you should to send the form and the complete draft to the Chair of your CRDSC for their approval. The form requires you to enter an estimated submission date and your DoS needs to confirm that a plan for regular contact points has been agreed during the writing up and examination period.

The Research Student Team needs to receive the approved form from the Chair to CRDSC by the 20th of the month before the month that you want to change to Writing-up Status. You should therefore check with your DoS and the Chair to CRDSC when they need to receive your draft by, in order for them to have time to check and consider it to allow you to submit the signed form to researchdegrees@arts.ac.uk in time.

It is important to consider that during writing-up you will receive less supervision than when you were paying normal fees and that only your DoS will receive time to supervise you at this stage; you therefore have to be sure when you apply that your research is ready and that you will be able to complete your thesis with reduced supervision

Writing-up Status does not change your final submission date. This means that:

- If your final submission date is before the end of the 12 months writing-up period, you will have to submit your thesis for examination before the 12 months are over. If you are unable to submit on time you will need to request an extension of your registration period. In this case your writing-up fee will cover your fees until the 12 months are finished; if the extension to your registration period exceeds the 12 months writing-up period, you will then have to pay normal tuition fees again pro-rata for the period between the end of your writing-up period and submission.
- If your final submission date coincides with the end of the 12 months, you will have to submit by that date. If you are unable to submit on time you will need to request an extension. You will then have to pay normal tuition fees again pro-rata until submission.
- If your final submission date is after the end of the 12 months, you are expected to submit by or before the end of the 12 months. If you are unable to submit by this point, you will need to pay normal tuition fees again pro-rata until submission.

A4 International students

1 Overseas fee status

Overseas students are students who have been assessed as having Overseas fee status rather than Home or EU fee status.

If you are assessed as having Overseas fee status you will most likely fall in one of the following three categories:

1. British citizens who have not spent the past three years in the EU area and who are therefore classified as having Overseas fee status. If you fall into this category, you will not need a visa to study in the UK and you can study in full-time or part-time mode, but you will not be eligible for UK Research Council or UAL studentships. Your fee status will not change during the period of study, so though you may be living in the UK for more than 3 years while doing your degree, you will continue to be liable for the overseas tuition fee rate for the duration of your study.
2. Overseas students who do not need a visa to study in the UK; these are usually students who are based in countries outside the EU but who have an EU passport. If you fall into this category, you can study either full-time or part-time, but you will not be eligible for UK Research Council or UAL studentships.
3. Overseas students who need a visa in order to study in the UK; usually this would be a Tier 4 student visa, but it may also be a work visa, dependent visa or independent visa. Students who need a Tier 4 visa must study full-time, however, if you have a different immigration status that permits study, you may be able to study part-time

If you have Overseas fees status, UAL regulations require you to pay a £2,000 non-refundable deposit when you accept the offer of a place on the course.

2 Visas and UKVI policy: students based in the UK

If you are an Overseas student with a non-UK passport and you want to study in London, then as soon as you are offered a place on the Research Degrees Programme you should check the UAL Immigration & Visas webpage at Immigration and Visas, to see which type of visa you will need in order to study at UAL.

The Research Student Team are not trained to give visa advice so if you have questions about your visa and how to apply for or extend one, you should book an appointment with a student adviser in Student Services, <http://www.arts.ac.uk/study-at-ual/student-services/student-advice-service/>

Overseas students at UAL studying on a visa usually fall into one of four categories:

1. Dependent visa: you are here because you are staying with a member of your family and they can sponsor your visa. If you are here on a Family visa you can usually study either full-time or part-time, but you will have to come in each year to show your passport and the visa (as it needs to be renewed regularly). You will also be made aware that if your situation changes, UAL can't guarantee that you will be successful in obtaining a Tier 4 visa.
2. Sponsored visa: you are here because you have an employer or other establishment which is sponsoring you. In this case you would usually study part-time if you have a sponsored visa you will be asked to come in for enrolment annually so we can check your passport and visa and you will be informed that if your sponsor withdraws their visa sponsorship then UAL cannot guarantee that you will be successful in obtaining a Tier 4 visa. Your sponsor must also agree to you studying with us during their sponsorship.
3. Tier 4 (General) student visa: most of the Overseas students who need a visa to be in the UK fall in this category.
4. Independent visa: if your visa is not dependent on another person and is not being sponsored you can study either full-time or part-time. You will have to come in each year to show your passport and the visa (as it

needs to be renewed regularly). You will also be made aware that if your situation changes, UAL can't guarantee that you will be successful in obtaining a Tier 4 visa.

2.1 Tier 4 students

If you need a Tier 4 (General) student visa there are various administrative regulations that the UKVI and UAL force you to adhere to. Information about requirements for a Tier 4 Visa can be found on the [UK Government website](#).

Once you have received an unconditional offer and you have paid the £2,000 deposit, UAL will issue you with a CAS (Confirmation of Acceptance of Study), which you will need as part of your Tier 4 visa application. When you enter the UK you will need to collect your Biometric Residence Permit from the post office indicated in the collection letter and register your address with the police, depending on your country of origin. Please consult your offer letter for more information. This must be done before you come for enrolment. We will also invite you annually to the enrolment event so we can check your passport and visa.

2.1.1 Tier 4 monitoring during your studies

UKVI regulations require universities to monitor Tier 4 (General) student visa engagement and attendance through academic contact points across the year. At UAL this means that research students studying on Tier 4 visas need to have at least one documented contact point per month. As the Research Degrees Programme is annual and not termly, this means that by September we need to have 12 documents confirming your academic engagement with UAL for the academic year in your file.

Academic Contact points for research degree students can include:

- In-person enrolment events;
- RNUAL attendance: Blocks 1-3 & weekly seminars;
- Your Confirmation Meeting (submitted by your DoS);
- Your Annual Report (submitted by your DoS);
- Supervisory Meetings (submitted by you).

Each month a member of the RMA Student Team checks that we have evidence of one of the items mentioned above for all Tier 4 students. If you do not submit evidence in one month then you will receive an email asking you to confirm if you intend to continue your studies. If you miss a second consecutive contact point you will receive a warning email and you will be asked to comply with the next contact point or risk being suspended from your course. If you miss a third consecutive contact point you will be asked to attend a meeting with the relevant member of staff to explain your non-compliance. Failure to attend the meeting will result in suspension from the course and could then lead to withdrawal from the University and UAL ceasing sponsorship of your visa.

Please remember that if your attendance and engagement is sporadic and you receive repeated notifications from the research student team, you will be at risk of being suspended from your course.

2.1.2 Temporary absence

Sickness or other unforeseen absences

- 1 to 2 weeks: you must inform your Director of Studies and the Research Student Team (researchdegrees@arts.ac.uk); evidence (e.g. a doctor's certificate) may be required.
- Over 2 weeks: You need to submit an Application for Authorised Absence Form (available on Moodle) to the Research Student Team (researchdegrees@arts.ac.uk) together with supporting evidence and written confirmation from your Director of Studies in support of the absence.
- Planned absences (e.g. research trips, conference attendance etc.) of more than two weeks
- Must be requested no later than one month before the absence begins using an authorised absence form. Requests made after this time will not be authorised.
- Academic-related absences must be approved by your Director of Studies. An Application for Authorised Absence Form (available from Moodle) must be completed stating the date of departure and the date

of return along with an agreement that contact will be made with your Director of Studies at least once during the absence.

Please note absences of longer than 60 days will not be considered. If you would like to discuss your plans for an authorised period of absence please contact the Research Student Team at researchdegrees@arts.ac.uk.

2.1.3 Suspension of studies

A formal suspension of registration can be for a period no shorter than 3 months and if you need to request this time out from your research degree studies this will mean that:

- Your Tier 4 visa will be curtailed.
- You will need to leave the UK and reapply for a new Tier 4 visa from overseas following suspension.

This will not have a negative impact on your visa history. However, there may be restrictions on your making a new application for a Tier 4 visa (e.g. due study time limit). Before submitting an application for suspension of registration, therefore, you should plan this carefully with:

- Your supervisory team.
- A Student Adviser (Student Services) – student.services@arts.ac.uk

Please remember that retrospective suspensions of registration will not be allowed, so if you need to take time out, do contact the Research Student Team as soon as possible to discuss your options.

2.1.4 Extension of Study

If you need an extension of your study period and therefore an extension of your Tier 4 visa, it is important that you contact the Research Student Team as soon as possible. Because each situation is different when it comes to Tier 4 visa students, we cannot provide you with guidance here, but will have to discuss your situation with you in person and you will also need to consult Tier 4 compliance in your college.

2.1.5 Working in the UK

Please note that your Tier 4 visa will limit the number of hours that you are allowed to be in paid employment during term time, and that you are not allowed to be self-employed when you are here on a Tier 4 visa. For more information, please see [Tier 4 Visa](#).

3 International students not based in the UK

Students should aim to visit only once a year for approximately two weeks after their first year of study (attendance at RNUAL Block 1-3 is mandatory in year 1). Tutorials and supervisory meetings outside of these visit should take place by skype. Progress should be monitored closely to enable students to complete on time.

Directors of Study and Students should plan in advance of the start of the academic year (ideally as part of the Annual Report process) to identify when the visit for the next academic year should take place.

A plan of work to be completed in advance of the visit should be clarified and timetabled, including an approximate schedule for skype supervisory meetings. Training, tutorials and other research related activities that should take place during the visit should be identified and scheduled in advance. This plan should be recorded using a Supervision Record Form.

During the visit, a follow up plan/schedule of work and skype supervisory meetings should be agreed and recorded in a Supervision Record Form.

The RMA Student Team should be advised of the dates of the proposed visit and schedule in order for accurate records to be kept. Students will need to confirm their dates of entry and departure to the UK and provide copies of their STS visa stamps and Supervision Records.

The RMA Student Team will provide Students with letters they can use to support their visa applications and a Short-term Study Visa Guidance Document. If Supervisors or Students require any assistance, they can contact the Student Team at researchdegrees@arts.ac.uk. Visa application advice can be obtained from UAL's Student Advice Service at student.advisors@arts.ac.uk

4 Doctorate Extension Scheme

University of the Arts London intends to implement this scheme in 2017/18 academic year. Details will be communicated to students when they are ready.

General information about the scheme can be found at www.ukcisa.org.uk

A5 Student representation and quality assurance

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 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.

1 Student representation on committees

Research student representatives are present on the University Research Committee, University Research Degrees Sub-Committee, College Research Degrees Sub-Committees, and Research Ethics Sub-Committee, and their responsibility is to report on issues and concerns relating to the research student community at both College and University-wide level. Research Student Representatives are also encouraged to lead on research student initiatives within their Colleges, such as the research student exhibitions, events and discussion forums.

To play an effective part in quality assurance the election of student representatives should be taken seriously. You are asked to support and make your views known to your representatives. You should also be prepared to be consulted and to help your representative to understand your views.

Details on current research student representatives can be found on the Research Degrees website and the Research Degrees Moodle site.

If you are interested in becoming a research student representative, please email the Research Student Team at researchdegrees@arts.ac.uk.

2 Research student feedback

The research student team will ask you to complete an anonymous online feedback questionnaire each year. 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 Research Student Team if you would not like your comments to be reported in this way. It is particularly important that you make full use of your Director of Studies and supervisors as issues arise, and do not rely solely on the annual feedback mechanisms. In most cases these individuals will be your first point of contact for any difficulties. If the problem is outside their scope they will direct you to the relevant individual or service.

The University also runs regular student focus groups. For further information please contact your student representative (see 'Student representation on committees' or the Research Student Team.)

Students attending the three RNUAL compulsory weeks, RNUAL Study Days and the special external workshops are provided with feedback sheets which are collected by the RNUAL Research Students administrator. These are sent to the RNUAL Convener and the seminar or workshop leader concerned for direct student feedback so that the following year's programme can address the key points which the students made.

3 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.' University of the Arts London is fully committed to maintaining a high standard of support and service to research students and adheres to the QAA Quality Code (Part B: Chapter B11 Research Degrees) which can be found at [QAA](http://www.qaa.ac.uk).

4 University of the Arts London Regulations

All students are bound by the University of the Arts London Research Degrees Regulations. The Disciplinary Code for Students is made under Article 12 of the Articles of Government, approved by the Court of Governors in 1992. Please see sections [B11](#), [B12](#), and [B13](#) for the procedures for appeals, grievances and complaints, and the Disciplinary Code for Students.

5 Intellectual property rights

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. 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 Research Student Team for details.

A6 Complaints and grievances

This section details the procedures and regulations involved should a research student wish to appeal against a decision or have a grievance or complaint. 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, relating to academic matters and appeals related to assessments. Students are encouraged to raise any difficulties that they are experiencing with their study at an early stage. This is particularly important since delay may create problems in the subsequent investigation of a complaint, grievance or appeal. Further details concerning these procedures are included below and should be read alongside sections [B11](#) and [B13](#).

1 Complaints

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
- 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.

2 Grievances

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.

A7 Appeals

You have the right to appeal the following decisions:

1. Withdrawal from the programme of research before it has been completed on the grounds of unsatisfactory academic progress.
2. The outcome of Confirmation.
3. The degree outcome at Examination.

If you wish to appeal the University Appeals Procedure will be followed (see [Annex 9](#)).

Section B

Research

Degrees

Regulations

B1 Principles

- 1.1 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 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).
- 1.7 University Research Degrees Sub-Committee

Academic Board has delegated power to the University Research Degrees Sub-Committee to confer the award of degrees. The Committee also has delegated authority to:

- i. set and maintain standards for the award of research degrees through the approval of procedures;
- ii. consider and approve the applications to register for research degree study;
- iii. maintain an overview of students' progress, including the extension and suspension of registrations, ensuring that the guidelines and regulations for research degrees of the University are followed;
- iv. appoint internal and external examiners and Chairs for viva voce examinations;
- v. award research degrees on the basis of the report and final recommendation of the examiners;
- vi. ensure that the general arrangements under which the research of each student are carried out are satisfactory and meets the requirements of the University. These arrangements to include supervision and the provision of research training and other resources needed to enable students to complete their research to a satisfactory standard;
- vii. ensure that appropriate information relating to research degrees is available to students and supervisors;

- viii. consider confirmation reports and confirm the registration of students for the specific degrees of MPhil and PhD;
- ix. exercise all other responsibilities in relation to the registration of research degree students;
- x. monitor College's provision of resources for research degree students;
- xi. monitor the operation of College Research Degrees Sub-Committees.

1.8 College Research Degrees Sub-Committees

It is the responsibility of College Research Degrees Sub-Committees to:

- i. advise on the programme of work, registration and any ethical or health and safety issues of the applicant's research prior to their consideration by the University's Research Degrees Sub-Committee;
- ii. monitor student's progress, notable achievements and the effectiveness of the operation of quality assurance procedures;
- iii. assess Applications for Registration and approve these subject to RDSC ratification
- iv. ensure that the arrangements and infrastructure within the college under which students carry out their research meet the requirements of the University;
- v. be the first point of approval for applications for registration and confirmation reports and has devolved authority from the Research Ethics Sub-Committee for the approval of research ethics approval forms;
- vi. to advise on the nomination of examination teams for MPhil and PhD examination;
- vii. monitor the recruitment, registration and completion rates of research degree students.

1.9 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 recommend 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 deemed to be more than minimal risk;
- vi. advise University Research Committee, the Research Degrees Sub-Committee or College Research 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;
- viii. monitor College Research Degrees Sub-Committees' operation of devolved responsibility for the approval of research considered as 'minimal risk'.

B2 Admissions

Entry requirements

- 2.1 An applicant seeking admission to the degree of MPhil or PhD are expected to hold a Master's degree in an appropriate subject, although the normal minimum entry requirement for a research degree is an upper second class honours degree of a British University or recognised institution of higher education.
- 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 the 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:

- adequate facilities are available to the applicant to carry out their proposed programme of study;
- the supervisory arrangements enable regular and sufficient contact with supervisors based in the UK via electronic communication;
- if the student is working abroad there will be regular contact with the supervisory team and the student will do at least 3 weeks study in the UK.

2.7 Members of University staff will normally be registered to a College other than their place of work.

The selection process

- 2.8 The process of selecting appropriately qualified and/or experienced applicants for admission to a research degree is the responsibility of the individual Colleges.
- 2.9 The Associate Dean of Research of the College to which the student has applied 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.
- 2.10 After consulting potential supervisors on suitability of the proposals, the Associate Dean of Research of the Colleges or a senior member of academic staff who they have deputised this role to, informs the Research Student Team which students will be invited for formal interview.
- 2.11 The interviews will be conducted by at least two members of academic staff, of which one is the Associate Dean of Research of the College or a senior member of academic staff nominated by them. The other members on the panel would normally be potential supervisors for the research.
- 2.12 The interview panel is required to complete an interview pro-forma, which will be provided by the

Research Student Team and will indicate their decision to either offer or decline the student a place on the research programme.

2.13 Selection criteria

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.

B3 Registration

- 3.1 Following enrolment students must make their Application to Register for a research degree to the College Research Degrees Sub-Committee for consideration and approval within the first year of study. Once approved by CRDSC the Registration is then ratified by the University Research Degrees Sub-Committee, which samples 10% of the approved Applications for Registration to ensure the quality standard and due process is followed. The Application for Registration should also address any ethical issues and will either be approved by the College Research Degrees Sub-Committee, if deemed to represent minimal ethical risk, or escalated to the Research Ethics Sub-Committee if deemed to represent more than minimal ethical risk.
- 3.2 A student may register on a full-time or part-time basis.
- 3.3 College Research Degrees Sub-Committees will consider applications to register for an unspecified research degree and decide whether:
- to refer the proposal back to the student and supervisors for further information or specified modifications; or
 - to approve the proposal and forward it to University Research Degrees Sub-Committee for ratification.
 - to recommend the withdrawal of a student if they fail to make sufficient progress within their first year of study. In this case, the College's decision will be passed to the University Research Degrees Sub-Committee for approval.
 - there are any ethical issues raised by the project that constitute more than minimal risk. If this is the case, the student's ethics application will be forwarded to the Research Ethics Sub-Committee for approval.
- 3.4 University Research Degrees Sub-Committee will ratify registration of applications for registration and will sample 10% of all application for registration approved by the College Committees and decide:
- to confirm the students registration; or
 - to reject the application and withdraw the student if they have not made sufficient progress within their first year of study.
- 3.5 When considering an application for registration, CRDSC 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 CRDSC 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, URDSC may impose conditions on registration to safeguard the standard of the award.
- 3.8 If there are any ethical issues, 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 constitutes minimal risk or more than minimal risk. If the former, the CRDSC 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 Research Ethics Sub-Committee for approval (see [Annex 6](#) of these Regulations).

- 3.9 As part of the registration process it is compulsory for the research student to present their research at RNUAL Block 3. If it is not possible for a student to attend for reasons such as ill-health, then alternative arrangements need to be discussed with the Dean of Research.
- 3.10 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) from the date of enrolment 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.
- 3.11 Students who do not successfully register within 12 months may be withdrawn from the programme. The decision to withdraw a student will be that of the University Research Degrees Sub-Committee.

Registration periods

- 3.12 Registration periods are as follows:

Mode of study	Minimum duration	Expected duration	Maximum duration
MPhil (full-time)	1 year 3 months	1 year 9 months	3 years
PhD (full-time)	2 years	2 years 9 months	4 years
MPhil (part-time)	2 years	3 years	6 years
PhD (part-time)	3 years	5 years	8 years

- 3.13 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.
- 3.14 Changes of mode of study will normally only be permitted once during the registration period, and will only take effect from the beginning of an academic year.
- 3.15 The date of formal registration will normally be backdated to the date of enrolment.
- 3.16 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.
- 3.17 Students may not normally enrol for other degrees while they are registered for MPhil or PhD.
- 3.18 Where a student is prevented, by ill health or other good cause, from making progress with the research, the enrolment 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. Students are not normally allowed subsequent suspensions for the same reason and retrospective suspensions are not normally approved.
- 3.19 University Research Degrees Sub-Committee may exceptionally extend the period of registration beyond the maximum period.

Writing Up Status

- 3.20 Students can apply for Writing Up status when they have completed their research and practice and a complete first draft of their thesis, including introduction and conclusion, has been approved by their Director of Studies and the Chair to their College Research Degrees Sub-Committee.
- 3.21 Writing Up status can start at any point during the year and normally starts on the 1st of the Month after the Application for Writing Up Status has been approved by the Director of Studies, Chair to College Research Degrees Sub-Committee and Chair to UAL Research Degrees Sub-Committee.

- 3.22 The maximum period for Writing Up is 12 months regardless of the mode of study of the student and does not change the student's final submission date.
- 3.23 For students who commenced their research degree in 2016/17 or earlier. The Writing Up Fee covers the period of Writing Up and is not calculated pro-rata, regardless of when the student submits.
- 3.24 If a student is unable to submit at the end of their Writing Up Status they will return to paying normal fees and may have to request to extend the period of registration beyond the maximum period.
Students commencing their research degree in 2017/18 or later will pay their writing up fee in 4 instalments to be paid on 1 October, 1 January, 1 April, 1 July. (Requirement to pay instalments ceases on submission of PhD.)
- 3.25 During the Writing Up period the student will have full student status, however, only the Director of Studies will receive hours for the supervision.

B4 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 co-supervisor will also be drawn from the University's staff, although external co-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 co-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 co-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 (such as line management) 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 7](#) of these Regulations).
- 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. If a supervisor has successfully completed the SEDA accredited Supervising A Research Degree elective unit from the MA Academic Practice which is co-ordinated through the University's Teaching and Learning Exchange (TLE) or an equivalent SEDA accredited course at another University, this will be counted as the equivalent of one completion, though this is only the case when the other member of the team holds one full completion.

B5 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 36 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 (normally in a document of no more than 10,000 words):
- 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.
 - v. 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 the University's academic staff normally from a different College than the student; exceptionally an external may be included if the topic is very specialised. The independent academic is required to have the experience of at least one Research Degree completion. 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 co-supervisor(s) are required to provide in writing:
- 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;
 - vii. 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 the College and University Research Degrees Sub-Committees as to whether the student's registration for either MPhil or PhD should be confirmed; the probationary period extended by a maximum of 3 months for full-time and 6 months for part-time students (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 Director of Studies is responsible for submitting the final report to the relevant 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 University Research Degrees Sub-Committee has approved it. The student has the right to appeal against the confirmed recommendation, according to the procedure laid out in the Section 11 of these Regulations.
- 5.10 As part of the confirmation process it is compulsory for the research student to present as part of the RNUAL Block 2. If it is not possible for a student to attend for reasons such as ill health, then alternative arrangements need to be discussed with the Dean of Research.

Criteria to be considered

- 5.11 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 MPhil is more appropriate;
 - iv. that a realistic plan is in place for completion of the research within the expected timeframe.
- 5.12 For those students where practice is to form a significant 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).

B6 Monitoring progress of the research

Annual Reports

- 6.1 Each year the supervisory team will produce an annual report for their student regardless of registration or writing up status. An annual report is not required for students who have submitted or will submit their thesis, or have completed Confirmation during the academic year.

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):

- i. an assessment of the student's progress over the past year;
- ii. details of any academic contributions made by the student to publications, seminars, conferences, etc;
- iii. details of any formal training undertaken;
- iv. details of any concerns about the student's performance and ability to complete their research degree successfully within the appropriate maximum registration period;
- v. details of any changes in ethical considerations;
- vi. any changes that require a review of the health and safety risk assessment;
- vii. 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;
- viii. a recommendation:
 - that the student's registration should be continued for a further year; or
 - that registration should be continued for a limited period subject to specified conditions, etc; or
 - that registration should be discontinued.

- 6.2 Annual reports for continuing students need to be submitted on the 1st of July each year to the College Research Degrees Sub-Committees and referred to University Research Degrees Sub-Committee only where there are matters of significant concern.

- 6.3 Annual reports for first year students need to be submitted after RNUAL Block 3 on 1st July of the year to include RNUAL attendance and presentation.

- 6.4 An annual report needs to be completed for each year of study apart from the year in which a student is undergoing the process of Confirmation.

Supervisory Record Sheets

- 6.5 Students are required to complete a Supervisory Record Sheet after each formal supervision (normally 10 per year for full-time students and 5 per year for part-time students) and submit this to the supervisor(s) for comments. Once agreed the record sheet needs to be submitted to the Research Student Team for filing and to be circulated to the further supervisory team for noting.

B7 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 of 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.
- 7.8 The thesis written text shall acknowledge published or other sources of material consulted and any assistance received.
- 7.9 The student must confirm that the thesis has not been submitted for a comparable academic award.
- 7.10 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.
- 7.11 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.
- 7.12 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 candidate's practice. Such a record must be in a standard retrievable form that has been agreed with the Chair to URDSC.
- 7.13 The length of the written part of the thesis includes foot- and endnotes, but excludes appendices, the bibliography and translations from texts that do not exist in another format and should be:
- i. for a PhD: not more than 100,000 words regardless of whether the research is text or practice based; the minimum word count for a text based thesis is 60,000 words whereas for practice-based thesis it is 30,000 words.
 - ii. for an MPhil: not more than 60,000 words regardless of whether the research is text or practice based; the minimum word count for a text based thesis is 40,000 words whereas for practice-based thesis it is 15,000 words.

- 7.14 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).
- 7.15 In the event that a thesis is not submitted within the timeframe as approved by the University Research Degrees Sub-Committee, the student will be required to pay additional tuition fees until submission.

B8 Examination

8.1 The examination for a research degree shall have the following 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 University Research Degrees Sub-Committee approved alternative examination.

The viva voce examination should normally be completed within three months of the formal submission of the thesis for examination as long as the examiners have indicated in their preliminary reports that they are happy for the viva voce to take place.

8.2 Students submitting a thesis that includes a body of creative work may wish to arrange a visual representation of this work for the approved examiners to view prior to the oral examination as a means of familiarising themselves with the student's practice. In this case the student would be responsible for making the practical arrangements. The normal procedure would also be that the examiners view the work 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 as well as a digital (pdf) version of the thesis are submitted to Research Management and Administration 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, the University Research Degrees Sub-Committee is satisfied that the student would be seriously disadvantaged if required to undergo an oral examination, the University Research Degrees Sub-Committee may approve an alternative form of examination.

8.6 The oral examination shall normally be held at the University and shall normally be chaired by a nominee of the University Research Degrees Sub-Committee. After receiving the thesis, the Research Student Team will arrange the location and time of the oral examination by agreement between examiners, observer (normally the Director of Studies, cf point 9.15 below) and the student taking into account the following guidance:

- i. The date should normally be within three months of the examiners' receipt of the thesis.
- ii. The place should normally be on the premises of the University, but it may be at the external examiner's place of work or elsewhere within the UK.

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.

B9 Examiners

- 9.1 One external and one internal examiner shall normally examine a candidate. Two external examiners may examine a candidate 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, advisor or external member of the student's Confirmation panel.
- 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; or if not, then to normally have the experience of supervising at least one research degree student to completion.
- 9.7 The external examiner will normally be an academic from another higher education 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 mentoring session with an experienced member of RDSC will be offered.

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;
 - v. is experienced in the examination of research students; or if not, then to normally have the experience of supervising at least one research degree student to completion;
 - vi. has not been part of the student's Confirmation interview;
 - vii. where possible is a member of staff based at a different College from the student (partner colleges are exempt from this requirement).
- 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 The University Research Degrees Sub-Committee will nominate a senior member of academic staff at the University with experience of at least 3 previous examinations to Chair the oral examination. The Chair will oversee the oral examination and the Examiners' meeting(s) and ensure that the appropriate report and recommendation is passed to the Committee. The Chair will also not normally be based at the same College as that of the candidate who is to be examined.
- 9.11 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 three 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. The total examinations of the panel exclude those of the Chair of the examination.
- 9.12 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. If s/he has not previously examined a research student then a mentoring session with an experienced member of URDSC will be offered.
- 9.13 In an examination for PhD at least one examiner shall have experience of PhD examining.
- 9.14 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.
- 9.15 One of the candidate's supervisors (usually the Director of Studies) will normally be present at the oral examination as a non-participatory 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 be appointed 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.
- 9.20 In the event that an examiner for good reasons, is not available where the viva outcome is re-examination with second viva, the Research Student Team will contact the student and supervisory team with the request to propose a new examiner, using the Approval of Examination Arrangements form with an Examiner's Details form for the new examiner, which will then be considered by URDSC. If approved the Research Student Team will send them the thesis and the report of first Examination complete with guidance on what the thesis will be judged against. If the supervisory team is unable to find a new examiner the student's abstract and first report will be taken to University Research Degrees Sub-Committee for recommendations of examiners.

B10 The viva voce

- 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:
- i. the likely outcome
 - ii. the nature of any corrections to be made
 - iii. that the examiner is happy for the viva voce to go ahead.
- 10.2 In order for the viva to take place the internal and external examiners need to be in agreement that this should be the case. If the examiners disagree on this point then the Chair will be responsible for making the final ruling and will report this back to the University Research Degrees Sub-Committee.
- 10.3 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. They should do this 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. The report approved by University Research Degrees Sub-Committee will count as first examination with the result resubmission with viva voce (see item 10.7 iii for further information) and the student will be sent the report as after first examination.
- 10.4 On the day of the oral examination the Chair and examiners, should meet beforehand to agree on the structure of the questioning.
- 10.5 The oral examination 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.
- 10.6 The oral examination 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 but this should not normally introduce material not included in the thesis; 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 such factors as the nature of the thesis, the size of the panel.
- 10.7 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 two 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). 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. Minor amendments are restricted to required changes that are typographic or grammatical in nature or to required changes to the presentation of practice that are of a similar scale. Minor amendments can also include minor changes to references, re-writing of small sections of the text where this improves existing explanations or

descriptions or limited amendments to the presentation of the practice that is of a similar scale. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them for confirmation that the amendments are satisfactory. If the amendments are satisfactory, the examiners will report to the URDSC that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to University Research Degrees Sub-Committee for consideration.

iii. The student should be awarded the degree subject to the student successfully completing specified major amendments within six months of these being notified in writing. The examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management and Administration Office. Major amendments will be required if the thesis otherwise fulfils the criteria for the PhD degree set out in Section 7 of these regulations, but requires amendments to address errors of substance or omission, and the student satisfies the examiners in all other parts of the examination. This option is not available to examiners re-examining a thesis. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them, for confirmation that the amendments are satisfactory, without the requirement to conduct a further viva. If the amendments are satisfactory, the examiners will report to the University Research Degrees Sub Committee that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments.

iv. The student should not be awarded the degree but be permitted to re-submit the thesis in revised form and be re-examined by all examiners, with or without an oral examination (to be agreed by the examiners), within twelve months of the notification in writing. This option is not available to examiners re-examining a thesis. The examiners shall not make such a decision without first submitting the candidate to an oral 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. The examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management and Administration Office.

v. In the case of a PhD examination, the examiners may recommend to University Research Degrees Sub-Committee that 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.

vi. 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.

10.8 Normally the panel is expected to inform the candidate of its recommendation on the same day of the oral examination by calling the candidate back after the examiners have adjourned for a brief discussion.

10.9 Directly following the oral examination, with the Chair's guidance the examination panel should complete and sign off the Examiners' Joint Report form indicating the panel's agreed recommendation from the options provided above and prepare a joint report. The Examiners' Joint Report form and list of required amendments will then be submitted to the Research Student Team who will forward it to the University Research Degrees Sub-Committee for consideration. The examination panel's report should therefore be sufficiently detailed to enable the 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.

In all cases the examination panel's decision will only be officially confirmed following approval of the examination panel's recommendation and report by University Research Degrees Sub-Committee with which rests the power to confer an award of either PhD or MPhil.

The Research Student Team will communicate examination panel's recommendations and reports, which have been endorsed by University Research Degrees Sub-Committee, to the candidate.

- 10.10 Where the examiners are not in agreement separate reports and each examiner should submit recommendations. In this case the University Research Degrees Sub-Committee may:
- i. accept a majority recommendation provided that this 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.

Viva results

10.11.1

Unconditional Award

In the case of recommendation unconditional award, the award of PhD will be confirmed once the candidate has submitted one hard bound copy and a digital copy (pdf) of their thesis to the Research Student Team and resolved any outstanding tuition fee debts.

10.11.2

Minor Amendments

In the case of recommendation Minor Amendments, the examiners shall jointly provide a list of the corrections and minor amendments that are required. The candidate is then required to complete these amendments within two months of official notification by the Research Student Team and return the thesis to that office. Once the revised thesis is submitted the nominated examiner/s will be required to check the amended thesis and confirm whether or not they approve the award of PhD.

If the award is confirmed the procedure outlined in 10.11.1 will apply. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to University Research Degrees Sub-Committee for consideration.

10.11.3

Major Amendments

In the case of recommendation of major amendments the examiners shall provide a list of the amendments and corrections required in writing for communication to the student by the Research Management and Administration Office. The student is required to complete these amendments within six months of official notification by the research student team. This option is not available to examiners re-examining a thesis. The amended thesis shall be submitted to the examiners, or to one of their number nominated by them, for confirmation that the amendments are satisfactory, without the requirement to conduct a further viva. If the amendments are satisfactory, the examiners will report to the University Research Degrees Sub Committee that the candidate has satisfied them in the examination for the PhD degree. In the event that the amended thesis is not approved by the examiner/s then the examiner/s' comments will be passed to University Research Degrees Sub-Committee for consideration.

10.11.4

Re-submission

In the case of recommendation re-examination, the examiners shall jointly provide the candidate with written guidance on the deficiencies of the submission. The examiners' joint examination report will indicate whether the re-examination will be with or without a second viva and will be submitted to the Research Degrees Sub-Committee for approval. The thesis should be submitted within twelve months of notification in writing. The re-examination, subject to the provisions of these Regulations, shall cover those aspects of the first examination in which the candidate's performance was not satisfactory and may cover any new or amended material included in the resubmitted thesis.

Once the candidate's revised thesis is submitted the examiners will then be required to re-examine the thesis completing the examiners' re-examination joint report form and make a recommendation to:

- i. award the degree unconditionally;
- ii. award the degree subject to minor amendments to the thesis to be completed within two 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). 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. in the case of a PhD examination, not be award the degree of PhD, but award 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;
- iv. not to award any degree and not to permit re-submission of 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.

These will also be the options available to the examiners in the event that a second viva is required or in the event that the examiners deemed the thesis submitted was not strong enough for the viva to go ahead after first submission.

If the award of PhD is confirmed the procedure outlined in 10.11.1 will then apply.

In the event that the amended thesis is not approved by the examiner/s or is not submitted within the specified deadline this will be passed to the University Research Degrees Sub-Committee for consideration.

10.11.5

Recommendation for the Award of MPhil

In the case of recommendation of Award of MPhil examiners shall jointly:

- i. Explain briefly in the final report why they consider that the thesis could not be revised to meet the criteria for the award of PhD for which it was submitted;
- ii. Confirm that the thesis (subject to any specified correction or amendment) fully meets the criteria for the recommended award of MPhil. It is not enough for a thesis to fall somewhat short of the PhD criteria; it must qualify positively for the award of MPhil;
- iii. Specify the amendments required to meet the award of MPhil.

- iv. If endorsed by the University Research Degrees Sub-Committee then the Research Student Team will inform the candidate of the examination panel's recommendation and required amendments and provide the deadline as recommended by University Research Degrees Sub-Committee for the candidate's resubmission of the revised thesis to the Research Student Team.

Once the candidate's revised thesis is submitted the nominated examiner/s will be required to check the amended thesis and confirm whether or not they approve the award of MPhil.

If the award of MPhil is confirmed the procedure outlined in 10.11.1 will then apply. In the event that the amended thesis is not approved by the examiner/s for the award of MPhil or submitted within the specified deadline then this will be passed to University Research Degrees Sub-Committee for consideration.

10.11.6

Non-award and Resubmission

In the case of recommendation 'Non-award and Resubmission' where the examiners recommend that a degree of an MPhil not be awarded, the candidate may not resubmit for a research degree (including an award of MPhil/PhD by Published Work) within a period of three years from the date of the original examination. Any further submission must include evidence of additional work.

10.12 Posthumous Awards

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

B12 Disciplinary code for students

- 12.1 There is a separate appeal procedure for student disciplinary cases ([Annex 8](#) of these Regulations).
- 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 8](#) of these regulations). The definition of plagiarism is set out in [Annex 2](#) of these Regulations.

B13 Grievances and complaints

- 13.1 The University 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:
- i. assault or serious or threatening behaviour
 - ii. sexual harassment
 - iii. racist activity or behaviour
 - iv. abusive or unreasonable behaviour
 - v. any action likely to cause injury or impair the safety of the student
 - vi. unacceptable social behavior.

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 another individual employed by the University.

Informal procedure

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

- 13.8 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

- 13.9 Any formal complaint shall be made in writing and addressed to the Chair of the Research Degrees Sub-Committee. If the complaint relates to the Chair, the complaint shall be addressed to the Deputy Vice-Chancellor, 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.
- 13.10 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 Associate Dean of Research of the College in which the student is located. If the complaint relates to senior staff, it shall be copied to the Pro Vice-Chancellor. If the complaint relates to the Pro Vice-Chancellor, it shall be copied to the Deputy Vice-Chancellor, Academic.
- 13.11 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.
- 13.12 The Chair, in consultation with the Associate Dean of Research (or Pro Vice-Chancellor 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 Associate Dean of Research (or Pro Vice-Chancellor) may determine:
- i. that the complaint is inappropriate within the grievance procedure and should be dismissed;
 - ii. that the complaint might be resolved amicably, in which case they shall endeavour to do so;
 - iii. that the complaint be upheld;
 - iv. 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 Pro Vice-Chancellor as appropriate the action to be taken. This may include, inter alia:

- i. that appropriate supervision be provided (this may involve changing the student's supervisory arrangements);
 - ii. that relevant equipment/resources be provided;
 - iii. that the focus of the project be reviewed;
 - iv. that the University take appropriate action in respect of the member(s) of staff directly involved.
- 13.13 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

- 13.14 Pro Vice-Chancellor 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 1iv) above. If the complaint relates to

the Pro Vice-Chancellor or Central Service, this shall be addressed to the Deputy Vice-Chancellor, Academic. Hereinafter, references to the Pro Vice-Chancellor shall also be read to include the Deputy Vice-Chancellor, Academic in appropriate cases. The Pro Vice-Chancellor 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.

- 13.15 The Panel shall consist of the Pro Vice-Chancellor of the relevant College, two student representatives nominated by the Students' Union and two members of staff nominated by the Pro Vice-Chancellor. At least one staff representative shall be nominated from among the members of the Committee. The Pro Vice-Chancellor 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.
- 13.16 The Panel shall be chaired by the Pro Vice-Chancellor. 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.
- 13.17 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.
- 13.18 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:
- i. that the appeal is inappropriate within the grievance procedure, or is frivolous or mischievous and should be dismissed;
 - ii. that the issue might be resolved amicably, in which case the Chair shall initiate such conciliation as seems appropriate;
 - iii. that the decision of Stage 1 be upheld.
- 13.19 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.

Section C

Annexes

Annex 1 Research degree forms

1 Application

Applications should be completed online through the UAL Applications system and submitted by the deadline published on the website.

2) Application for Registration Form

This form can be downloaded from Moodle and needs to be completed by the student and supervisory team following enrolment. More information about Registration can be found in [Section A3](#).

3) Supervisor Details Form

This form can be downloaded from Moodle and needs to be completed by academics supervising UAL students at the start of each academic year to ensure the information held by the Research Student Team is correct. The team also circulates the forms at the start of the academic year to request academics to submit an amended version. This form is added to the Application for Registration Form when that is submitted to the College Research Degrees Sub-Committee so the Committee can assess the suitability of the team to supervise the project and whether the team proposed is qualified to supervise a Research Degree at UAL.

4) Supervision Record Sheet

This form can be downloaded from Moodle and needs to be completed by the student following each formal tutorial session. The student should then request the supervisor(s) to add their comments before circulating the final document to the complete supervisory team and researchdegrees@arts.ac.uk; a member of the Research Student Team will then add it to the student's digital file.

5) Annual Report Form

This form can be downloaded from Moodle and needs to be completed by the supervisory team and the student in May or June each year, except in the student's Confirmation year, for submission to the July College Research Degrees Sub-Committee meeting. Lack of a completed Annual Report may slow down the re-enrolment process as the completed forms are used as proof of approval of progress.

6) Confirmation Report Form

College Research Degrees Sub-Committee (if the outcome is to resubmit in 3 to 6 months' time) or by the University Research Degrees Sub-Committee (if a decision, MPhil/PhD/Discontinuation, has been made), the report is sent to the student by the Secretary to the relevant Sub-Committee. The report should therefore be clear and detailed enough to reflect the student's progress and Confirmation documentation, particularly if the student is requested to make amendments to the form. If this is the case then the list of required amendments needs to be included in the document.

7) Post Registration Ethics Form

This form can be downloaded from Moodle and needs to be completed by the student and supervisory team if anything in the project changes after registration that may change the ethical implications of the project (for instance, if the student decides to do interviews as part of the research). Once completed the form and any supporting documentation needs to be submitted to the Secretary of the College Research Degrees Sub-Committee for inclusion in the Committee paperwork. If the CRDSC decides that the project now represents more than minimal ethical risk, then your form will be forwarded to the Research Ethics Sub-Committee and you will not be able to continue the newly introduced element until approved by RESC; if it is deemed to represent minimal ethical risk, then the Secretary of CRDSC will confirm this and you can

continue with your research.

8) Request for Change of Mode of Study Form

This form can be downloaded from Moodle and needs to be completed by the student and supervisory team if a student wants to request a change of mode of study either from full-time study to part-time study or vice versa. Changes of mode of study are only possible during the enrolment period and should therefore be received by the middle of September of any year at the latest. It is normally only possible to change mode of study once during your degree at UAL. If your request is approved, you will receive information on the new fees you are liable for as well as the amended timeline you will be working towards.

9) Request for Change in Supervisory Arrangements Form

This form can be downloaded from Moodle and needs to be completed when a student's supervisory arrangements change. The form needs to be signed by the student, the existing supervisory team and the proposed supervisory team to ensure all parties involved are aware of the proposed changes. The form should then be submitted to the research student team with Supervisor Details Forms for the proposed team.

10) Request for Suspension of Registration Form

This form can be downloaded from Moodle and needs to be completed by the student if, for good reasons, they need to take time out from their studies. Please note that for periods under 3 months UAL doesn't normally accept suspension requests, as it is assumed that this time can be made up later in the course. The Request for Suspension of Registration Form needs to be supported by the student's supervisory team and an amended workplan to completion needs to be included with the form. The student should also include as much supporting evidence for their suspension request as possible to ensure the Chair of RDSC has as much information as possible to make the decision to grant the suspension or not. During the period of suspension the student does not pay fees, but will also not have access to the UAL Library and should not receive supervision.

11) Application for Writing-up Status Form

This form can be downloaded from Moodle and needs to be submitted by the student with a complete (digital) copy of their thesis to their Director of Studies in the first instance so the DoS can assess that:

1. This is a complete full draft
2. All the research and practice is completed
3. The student will be able to finish the thesis within the Writing Up period or by the final submission date (whichever comes first).

Once approved by the Director of Studies, the form and thesis need to be submitted to the Chair of the College Research Degrees Sub-Committee (or the Associate Dean of Research if the Chair is also the DoS) for their approval.

Students can change to Writing-up status at any time during the year, however, the signed Writing-up Status form needs to be submitted to the Research Students Team by the 20th of the month before the student would like their Writing Up period to start for the student to change to Writing Up status from the 1st of the following month (i.e. received by the 20th of March, Writing-up status from the 1st April).

12) Request for Extension of Registration Form

This form can be downloaded from Moodle and needs to be completed by the student if, for good reasons, they are unable to submit their thesis for examination by the final submission date (which is confirmed at Registration). The form needs to be signed by the Supervisory team and the Chair of the College Research

Degrees Sub-Committee before submission to the Secretary of the UAL Research Degrees Sub-Committee for final approval by the URDSC Chair. If the application for extension is approved, the student will have to pay fees (pro rata) for the period up to submission. Normally only one extension is allowed and for a maximum of 12 months, so students are advised to be realistic in the period of extension asked for to ensure they are able to submit by the end of the extension period.

13) Examination Panel Application Form

This form can be downloaded from Moodle and needs to be completed by the student's Director of Studies (with assistance from the student and the further supervisory team). The panel needs to be approved in the first instance by the ADR of the College or the Chair of College Research Degrees Sub-Committee before submission to UAL Research Degrees Sub-Committee. It is important that a completed Examination Panel Application Form with Examiner Details Forms is submitted at least 3 months before the student will submit their thesis to allow time for the UAL Research Degrees Sub-Committee to consider the panel and, if necessary, to request changes to the examination panel. The Research Students Team cannot send the thesis to anyone before the panel has been approved.

14) Examiner Details Form

This form can be downloaded from Moodle and needs to be completed by the proposed examiners. It is the responsibility of the supervisory team to identify a suitable examination panel and to contact the proposed examiners in good time before the student submits (it is worth discussing the examination panel at Confirmation stage to avoid the student having too much contact with someone the supervisory team consider approaching for the examination). Once the potential examiner has agreed, the Director of Studies should request they complete the Examiner Details Form and the DoS should submit this with the Examination Panel Application Form.

15) Submission Declaration Form

This form can be downloaded from Moodle and needs to be completed by the student in the first instance and signed by the Supervisory team before submission of the thesis to the Research Student Team. This form confirms various aspects of the student's submission such as word count of the thesis and whether there is a practice element to the thesis. It is possible for the student to submit their thesis for examination without approval from their supervisory team, though UAL does not advise any student to do this. This form is for Research Office information only and is not shared with the examination panel.

16) Examiner's Preliminary Report Form

This form is sent by the Research Student Team to the examination panel with the thesis with the request to complete the form at least 7 days before the date of the viva voce. On the form the examiner indicates their opinions on the thesis, the aspects of the thesis they would like to discuss in the viva and whether they are happy for the viva to go ahead. The form should be submitted to the Research Students Team member who is facilitating the viva and they will then forward it to the Chair of the Examination. The Chair compares all Preliminary Reports received before the viva and circulates them to the panel on the day of the viva. The form is not shared with the student and their supervisory team.

17) Examiners' Joint Report Form

This form is sent by the Research Students Team to the Chair of the Examination and is completed following the viva voce (if the viva does not go ahead because the panel considers the submitted thesis not of a high enough standard for examination then the panel completes and Examiners' Joint Report Form – No Viva). This Report needs to be completed within 5 days of the Viva and needs to be approved by the UAL Research Degrees Sub-Committee before it can be shared with the student and supervisory team. URDSC considers the clarity of the report and required amendments, fairness of the required amendments and that the report mirrors the result of the examination.

18) Resubmission Form

This form can be downloaded from Moodle and needs to be completed by the student and Director of Studies once amendments to the thesis are made following the viva (if applicable). The form needs to be submitted with the amended thesis to the Research Students Team.

19) Final Submission Form and British Library and Research Online Declaration Form

This form can be downloaded from Moodle and needs to be completed by the student once the thesis has been approved by the examiners and the degree (MPhil or PhD) can be awarded. The student is requested to submit a hard bound copy of their thesis (see [Annex 3](#) for instructions on thesis binding) and a digital copy to the Research Students Team at King's Cross and with that the completed Final Submission Form.

This form also confirms whether the student gives permission for UAL to submit a digital copy of thesis to the British Library and whether the student gives permission for UAL to publish a copy of the thesis via the UAL Research Online repository. If the student does not give permission, UAL will inform the British Library of this and Research Online will hold a copy in its repository but will not publish it online. It is possible at any time for the student to change permissions, so if you don't give permission when you submit because you are in negotiations with a publisher about publishing your thesis then you can deny permission, but if the publisher subsequently agrees that the thesis can be made public via UAL Research Online, then you should contact researchdegrees@arts.ac.uk and request the forms again to amend your permission.

Annex 2 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 set out in the Academic Affairs Handbook.

Annex 3 Thesis binding and library access

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 in print, font size at least 11pt;
 - 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/m² to 100 g/m²;
 - iv) the margin at the left-hand binding edge of the page shall be 40mm or more; 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 (see example on the following page):
 - a) the full title of the thesis;
 - b) the full name of the author (your name);
 - c) That this is 'A Thesis submitted in partial fulfilment of the requirements for the degree of [Name of Degree] at the University of the Arts London'
 - d) the Collaborating Establishment(s), if any; and
 - e) the month and year of submission (for final submission please use submission date of first submission).
 - viii) citations must be consistent and adopt a recognised standard system, for example, Harvard (with or without footnotes), Numeric, or Running Notes.
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. For an example the format a soft bound thesis can take, please see below.
3. The permanent binding shall be as follows:
 - i) the binding shall be in dark blue or black and 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 first submission; the same information (excluding the title of the work) shall be shown on the spine of the work, reading downwards (see below for examples).
 - 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. Subject to the student's agreement, the electronic version of the thesis will be placed on the University of the Arts London Research Online (UALRO) repository and the British Library EThOS through which it will be readily available online for public access. Students for whom this may cause complications in relation to third-party material, copyright and confidentiality have the right to opt out of these schemes.

Thesis Title
By
Full Name Student

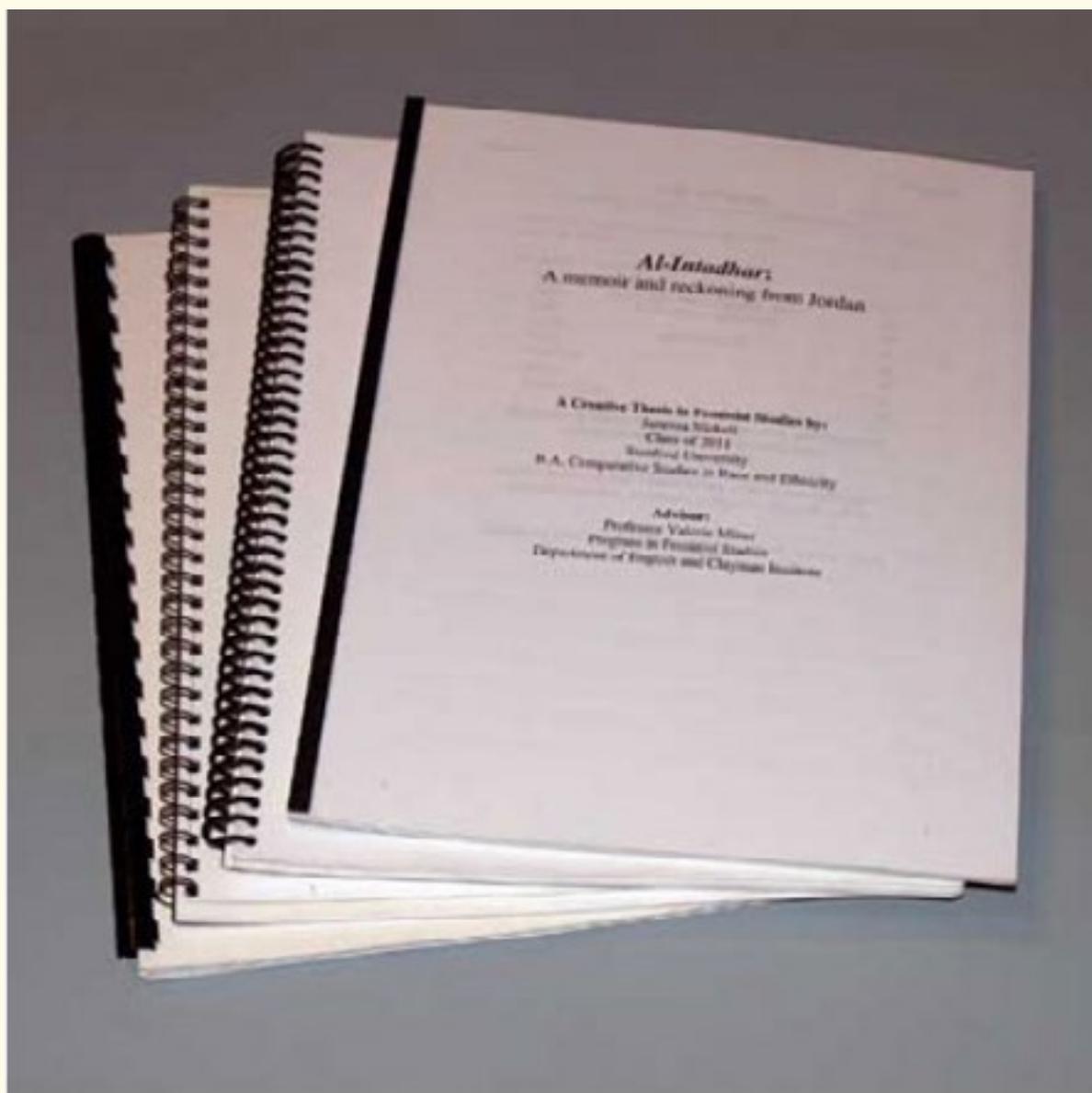
Thesis submitted in partial fulfilment of the
requirements for the Degree of Master/Doctor of
Philosophy (MPhil/PhD)*

(If applicable) In Collaboration with:

University of the Arts London
Name of your College

Month and Year of submission (for example: October
2017)

Examples of acceptable soft bound theses formats for first submission



Example of spine of final bound thesis

J. Bloggs

October 2017

PhD

Thesis Title

J. Bloggs

PhD

October 2017

Annex 4 Constitutions of research committees

1 University Research Committee

To formulate and monitor the implementation and operation of the research strategy across the University, and to ensure College research plans are aligned with this strategy. 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:

- to set and monitor standards for the award of research degrees.
- to set and monitor standards for the award of research degrees.
- to set and monitor standards for research ethics.
- 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.
- to develop and co-ordinate the implementation of the University's procedures relating to the management and monitoring of research projects, such as:
 - i) The Full Economic Cost methodology
 - ii) The Research Centre designation procedures
- 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.
- 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.
- to develop mechanisms to support collaborative research both within the University, including Research Centres, and with other appropriate academic, institutional and business partners.
- to advise on reports received from and sent to external bodies
- to influence professorial, readership and Research Centre developments for the growth of co-ordinated university research networks

3. Monitoring responsibilities:

- to respond to HEFCE, Research Councils and other agencies as appropriate and necessary on behalf of the University.
- to monitor the use of research grant income.
- 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.

2 University Research Degrees Sub-Committee

Purpose

To act on behalf of and advise the University Research 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:**
 - approving the registration of research degree proposals on the recommendation of College Research Degrees Sub-Committees;
 - maintaining an overview of students' progress ensuring that the guidelines and regulations for research degrees of the University are followed;
 - considering probationary reports and confirming registration of students for the specific degrees of MPhil and PhD;
 - 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; 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;
 - approving the appointment of examination teams for MPhil and PhD examinations;
 - awarding research degrees of MPhil and PhD on the basis of the recommendation of the examination team;
 - ensuring that appropriate information relating to research degrees is available to students and supervisors.

2. **Monitoring responsibilities:**
 - 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;
 - to monitor College's provision of resources for research degree students;
 - to monitor the operation of College Research Degrees Subcommittees;
 - to monitor reports from the examination team;
 - to prompt and receive reports on student feedback;
 - to monitor and receive reports on RNUAL research training.

3. **To provide an annual report to the University Research Committee**

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

3 College Research Degrees Sub-Committee

Purpose

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

To advise on ethical aspects of research degree applications where the potential for risk of harm to researcher and participant is minimal

Based on their individual needs, Colleges may choose to incorporate the work of this Sub-Committee within the remit of the College Research Committee

Terms of reference

1. To advise the Pro Vice-Chancellor in relation to:

- delegated authority to act on behalf of the Academic Board and/or Research Standards and Development Committee and/or University Research Degrees Sub-Committee in relation to:
- approve the registration of research degree proposals;
- approve student applications for research ethics approvals if the Committee considers these to represent minimal ethical risk
- to advise the Pro Vice Chancellor on:
 - the suitability, appropriateness and eligibility of students to undertake a research degree at the College.
 - the proposed supervisor arrangements, taking into account the necessary subject expertise, qualification, training and issues of supervisory load.
 - the programme of work and registration of applicants, including whether the ethical aspects of individual research degree applications involving minimal risk have been fully addressed by the student.
 - the nomination of examination teams for MPhil and PhD examination.
 - applications that require approval from the Research Ethics Sub-Committee as involving more than minimal risk.
- all other matters relating to the approval of the arrangements associated with students progression.
- approval or referral of research degree students' annual reports.
- To monitor the recruitment, registration and completion rates of research degree students.
- student progress and the effectiveness of the operation of quality assurance procedures including research ethics processes.
- the use of funds to support the professional development of students.
- the use of funds to train and support supervisors, and to increase supervisor capacity within the College.
- reporting requirements to provide minutes to the College Research Committee.
- to provide a report of successful applications to register to University 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.

Note 2 : This body reports to the College Research Committee with an advisory line to the Pro Vice Chancellor.

4 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:
 - 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.
 - Establishing Codes of Practice on Ethics to be promulgated within the University.
 - 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.
 - Deciding on applications for research ethics approval.
2. To advise:
 - The University Research Committee;
 - The University Research Degrees Sub-Committee or College Research Committees, as appropriate, on legal, moral or ethical issues relating to research.
 - On any matters referred by the Chair of the University Research Committee or the Chair of Academic Board.
3. Monitoring responsibilities:
 - The Research Ethics training provided for research degree students at the University.
 - 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:
 - Annually to the University Research 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.

Annex 5 Committee dates and deadlines 2017/18

Please send Applications for Registration and Confirmation Reports to the Secretary of your College Research Degrees Sub-Committee for inclusion in the paperwork by the necessary deadline

Deadline for paperwork	Date of Meeting
Secretary: Beth Bicher	
	CCW (Wednesday)
5pm on Monday, 9 October 2017	Wednesday, 18 October 2017
5pm on Monday, 13 November 2017	Wednesday, 22 November 2017
5pm on Monday, 15 January 2017	Wednesday, 24 January 2017
5pm on Monday, 26 February 2018	Wednesday, 17 March 2018
5pm on Monday, 30 April 2018	Wednesday, 9 May 2018
5pm on Monday, 2 July 2018	Wednesday, 11 July 2018
Secretary: David Greene	
	CSM (Thursday)
5pm on Monday, 9 October 2017	Thursday, 19 October 2017
5pm on Monday, 13 November 2017	Thursday, 23 November 2017
5pm on Monday, 15 January 2017	Thursday, 25 January 2018
5pm on Monday, 26 February 2018	Thursday, 8 March 2018
5pm on Monday, 30 April 2018	Thursday, 10 May 2018
5pm on Monday, 2 July 2018	Thursday, 12 July 2017
Secretary: Emily Ruff	
	LCC (Thursday)
5pm on Monday, 9 October 2017	Thursday, 19 October 2017
5pm on Monday, 13 November 2017	Thursday, 23 November 2017
5pm on Monday, 15 January 2017	Thursday, 25 January 2018
5pm on Monday, 26 February 2018	Thursday, 8 March 2018
5pm on Monday, 30 April 2018	Thursday, 10 May 2018
5pm on Monday, 2 July 2018	Thursday, 12 July 2017
Secretary: Ellie Cameron-Smith	
	LCF (Wednesday)
5pm on Monday, 9 October 2017	Wednesday, 18 October 2017
5pm on Monday, 13 November 2017	Wednesday, 22 November 2017
5pm on Monday, 15 January 2017	Wednesday, 24 January 2017
5pm on Monday, 26 February 2018	Wednesday, 17 March 2018
5pm on Monday, 30 April 2018	Wednesday, 9 May 2018
5pm on Monday, 2 July 2018	Wednesday, 11 July 2018
Secretary: Jane Nobbs	
	URDSC (Thursday)
5pm on Monday 11 September 2017	Thursday, 21 September 2017
5pm on Monday, 4 December 2017	Thursday, 14 December 2017
5pm on Monday, 12 March 2018	Thursday, 22 March 2018
5pm on Monday, 15 May 2018	Thursday, 24 May 2018
5pm on Monday, 10 September 2018	Thursday, 20 September 2018

Annex 6 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
 - UAL Code of Good Conduct in Research
 - Constitution and terms of reference for UAL Research 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. Research in areas that are security sensitive must mitigate the risks to the researcher involved in accessing and/or storing and/or disseminating material that may be regarded as promoting or endorsing terrorist acts. 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 Care Act, the Data Protection Act, the Freedom of Information Act, the Equality Act, the Computer Misuse Act, the Mental Capacity Act, the Obscene Publications Act, the Counter-Terrorism and Security 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.

Annex 7 Code of Practice for Supervisors and Research Students

Supervisors are responsible for the academic progress and pastoral support of their students, and for liaising with Associate Deans of Research and the Research Student Team 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 co-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 (Supervisors and line managers should refer to the Guidelines on Internal Supervisor loading for more details).

Responsibilities of Directors of Studies (first supervisors)

Supported by the co-supervisor/s the Director of Studies has the primary responsibility for the provision of supervision and guidance of the student's programme of research. This involves:

1. 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 co-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 needs of the students in relation to the agreed programme of research and the Joint Research Councils' Skills Statement.
2. Ensuring that the project:
 - a) 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);
 - b) can be completed within the period provided for by any funding awarded to the student;
 - c) complies with the Code of Practice on Research Ethics;
 - d) is suitable for the degree (MPhil/ PhD) which the student aims to undertake.
3. Giving assistance in defining the topic of research. It is important that the student and supervisors agree this at an early stage.
4. Ensuring that:
 - a) 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 throughout the course of supervision.
 - b) the student's Continuing Professional Development (CPD) is identified and auctioned throughout the programme of study.
5. Ensuring with the student that documentation relating to the various stages of research is completed properly and submitted on time to the relevant parties.
6. Ensuring adequate cover is arranged if one of the supervisors is going to be absent for a period of time.

7. 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.
8. Ensuring in relation to the examination, that:
 - the thesis title is approved by the University Research Degrees Sub-Committee following registration;
 - 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;
 - a date is arranged for the oral examination that is convenient to the examiners and the student in liaison with the Research Student Team.
9. Making available to students details of appeals regulations and the appeal procedures for research degree candidates.

Responsibilities of the Supervisory Team (Director of Studies and Co-Supervisors)

1. 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.
2. Ensuring that any discipline/health and safety policies are brought to the attention of the student and explained.
3. Discussing any hazards involved in the research work and how these can be dealt with, and ensuring that safety procedures are followed.
4. Responding promptly and constructively to written or practical work completed, within the timescale agreed at the start of the project.
5. 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.
6. 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.
7. If the thesis requires corrections or re-examination the supervisory team will normally continue supervision unless there are difficulties between supervisor and student.

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

1. Treat them professionally.
2. Give early advice about the nature of research and the standard expected in order to achieve the degree for which the student is aiming.
3. 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.
4. 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.
5. 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.

6. Deal promptly and appropriately with any research problems.
7. 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.
8. 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.
9. Provide advice on the publication and/or exhibition of research work and on the public presentations about the research.
10. 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.
11. Provide both encouragement and positive advice as well as criticism and negative comment as appropriate.

Responsibilities of students

Students are expected to:

1. 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.
2. Participate fully in College, University and discipline-specific research training programmes as appropriate.
3. 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.
4. Take note of the advice from their supervisors.
5. By the end of the probationary period (post registration and pre-confirmation) students should have:
 - a) a fully defined the area of research;
 - b) become acquainted with the background knowledge required;
 - c) completed the visual research and/or literature review;
 - d) a clearly defined methodology
 - e) a provisional framework for the future progress of the research with a
 - f) a timetable for the remainder of the registered period of study.
6. Maintain progress in accordance with the timetable agreed with the supervisors at the outset and the University monitoring requirements.
7. 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.
8. 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.
9. Comply with the Codes of Conduct set out in Annexes 2 and 6.

In addition, supervisors may reasonably expect students to:

10. 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.
11. Inform their supervisors of other people with whom they discuss their work.
12. Discuss with their supervisors the form of guidance and type of comment that the student finds most helpful.
13. 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.
14. 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.
15. 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.
16. Remember that it is the student's responsibility to submit the thesis to the Research Management and Administration Office before the expiry of the registration period.
17. Be aware of the regulations for the presentation and examination of theses together with the appeals regulations and procedures.

Annex 8 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 College 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 Pro Vice-Chancellor for the circulation and operation of the Code to students within each constituent College of 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 – Pro Vice-Chancellor or Deputy Vice-Chancellor 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 Chancellor's authority to suspend students: Deputy Vice Chancellors, Pro Vice-Chancellors for each 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 Pro Vice-Chancellor 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 Pro Vice-Chancellor 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 Chancellor 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 Vice-Chancellor 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 (flowchart on the website). 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 Pro Vice-Chancellor, 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 Vice-Chancellor. 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 Vice-Chancellor, the student will be suspended until the Vice-Chancellor has come to a decision. The Vice-Chancellor 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 Deputy Vice-Chancellor (Chair), nominated by the Vice-Chancellor, 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.

Interpretation and enquiries

13. 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 9 University Appeals Procedure

University of the Arts London Assessment Regulations University Appeals Procedures

The review of and appeals against a decision of an examination board¹

Introduction

1. The University has clear procedures for dealing with student appeals which form part of its quality assurance system and reflect current best practice. The procedures governing appeals against assessment outcomes are treated seriously without negatively affecting student rights or impartial judgement on academic progress.
2. Appeals may be submitted within the boundaries set by these regulations when a student believes he or she has a significant concern related to the assessment process.
3. University Secretary and Registrar. The Regulations and Procedures are approved by the Academic Board and managed by the Office of the University Secretary and Registrar. It is the University Secretary and Registrar who has the final responsibility for the procedures together with the authority to make adjudication upon any questions raised by a student, the Students' Union or member of staff in relation to any aspect of the procedure.
4. Students' Union. A student appellant may obtain representation from the Students' Union. The Students' Union can also advise on the operation of the procedures, or in relation to any aspect associated with an appeal.
5. Disability. Disabled students who require reasonable adjustments in order to make an appeal should contact the University Secretary and Registrar's Office directly. Reasonable adjustments will be arranged in consultation with the student and where necessary the Central Disability team, Mental Health Adviser or College Disability Officers. Students may be asked to provide a copy of their Needs Assessment Report in order to inform the process.

Full information on the University Appeals Procedure can be found on the website at <http://www.arts.ac.uk/study-at-ual/academic-regulations/complaints-and-appeals/appealing-an-exam-board-decision/>

The Procedure

Stage 1: Review

Grounds for requesting review of examination board decision

6. Requests for review of an examination board decision may be made on the grounds that:
 - i) there was a material administrative error or other material irregularity in the conduct of the assessment (including accommodated assessment/reasonable adjustment for disabled students) or the application of the University's academic regulations;
 - ii) extenuating circumstances, which for valid reasons, had not been made known to the examination board which had they been referred might have led the examination board to reach a different decision;

¹ Appeals may only be made against decisions that have been confirmed by an Examination Board, a Reconvened Board, a Progression Sub-Board or a Unit Sub-Board. In the case of further education courses where the final award is conferred by an external awarding body, the procedures shall apply, but the final outcome of any appeal shall be referred to the relevant awarding body by way of a recommendation.

7. Requests for review may not be based on the following:
 - i) disagreement with the examiner on the grounds of academic judgement, specifically, disagreements on the merit of individual assessments in relation to marks, grades or other measures of performance;
 - ii) requests from students enrolled at another institution on a programme or course leading to a University of the Arts London award, unless:
 - a) specific provision has been made within a collaborative agreement that those students may appeal directly to the University;
 - b) the student is also enrolled at University of the Arts London on the same programme of study. Such requests should be referred by the student to the institution concerned.
 - iii) Alleged inadequacy of supervision for Research Degree Students will not normally constitute grounds for appeal unless the student provides a valid reason for not making the issue known prior to assessment.
8. In exceptional circumstances a student may submit both a complaint and a separate appeal and include common issues in each which link the two together. Under these circumstances the complaint should be investigated and concluded within the timelines specified by the complaints procedures. The appeal will be processed and considered after the complaint has been investigated and concluded in order that any evidence uncovered through this more extended investigation can feed in to consideration of the appeal if appropriate.
9. Requests for a review of an examination board decision shall be received within 10 working days of the publication of results.
10. Requests will be submitted for consideration to the University Appeals Unit using form A1 and a full explanation of the reason for appealing must be included.
11. Following scrutiny of the request and investigation as necessary, if the University Appeals Unit considers the request for a review to be vexatious, frivolous or without substance or merit it shall have the authority to reject it summarily and inform the appellant of the decision in writing within 10 working days.
12. Following scrutiny of the request and investigation as necessary, if the University Appeals Unit decides that a request falls into any one or more of the above categories in section 7, then it shall write to the student informing the student of its decision within 10 working days of receipt.
13. The student may appeal against the University Appeals Units rejection of its request for review by writing to the University Secretary and Registrar within 10 working days. The University Secretary and Registrar may decide to overturn the University Appeals Units decision, accept the request and refer it to the Exam Board for review. If the University Secretary and Registrar upholds the University Appeals Units rejection of a request a Completion of Procedures Letter will be issued.
14. If the University Appeals Unit considers the request has sufficient and valid grounds, it shall forward the request to the Chair of the Examination Board, or for Research Degrees to the Chair of the Research Degrees Sub-Committee. The Chair shall conduct a review of the decision and decide, in the light of the review, either to confirm the original decision or to overturn it and put in place a new decision. The review should include consultation with the full board, including external examiners where appropriate. The Academic Registrar should be consulted on matters associated with the application of the University's academic regulations. The Chair should respond to the student within 10 working days of receipt.
15. If the University Appeals Unit considers that a clear administrative error has been made, the matter shall be referred to the Academic Registrar who has the authority to approve a change of exam board decision on non academic matters.

Stage 2: Appeal

16. If the student is not satisfied with the outcome of the Stage 1 Review they may submit a Stage 2 Appeal to the University Appeals Unit within 10 working days of notification of the Stage 1 Review decision.
17. Stage 2 Appeals should be submitted to the University Appeals Unit using form A2 and a full explanation of the reason for appealing against the Stage 1 decision must be included. The student should include appropriate evidence in support of the appeal and the student should indicate the remedy that they assert is fair, reasonable and appropriate.
18. If the University Appeals Unit considers the Stage 2 Appeal to be vexatious, frivolous or without substance or merit it shall have the authority to reject it summarily and inform the appellant within 10 working days.
19. Otherwise the University Appeals Unit will request a response to the Stage 2 Appeal from the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee on Form B2. The University Appeals Unit will consider this response together with the statement from the student appellant.
20. If the University Appeals Unit considers, based on the response from the Chair, that there are no grounds for further appeal it shall reject the Stage 2 Appeal and inform the student within 10 working days.
21. If the University Appeals Unit decides to accept the Stage 2 Appeal a University Appeals Committee meeting will be convened as soon as possible.
22. The student may appeal against the University Appeals Units rejection of its Stage 2 Appeal by writing to the University Secretary and Registrar within 10 working days of notification of the decision. The University Secretary and Registrar may decide to accept the Stage 2 Appeal and convene a University Appeals Committee meeting. If the University Secretary and Registrar upholds the University Appeals Units rejection of a Stage 2 Appeal a Completion of Procedures Letter will be issued.

The University Appeals Committee

23. The membership of the University Appeals Committee shall be approved by the University Secretary and Registrar acting in his/her sole discretion. The University Secretary and Registrar has the sole discretion to exclude any member of the committee if he/she considers it fair and reasonable so to do in all the circumstances, including but not limited to any committee member who it may be perceived has too close a personal or professional relationship with the appellant or to a member of the examination board, or members from the same department, school or other area of the University as the student submitting the appeal.
24. The University Appeals Committee will consider representations of the student appellant and the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee in deciding whether to accept or reject an appeal. The decision of the University Appeals Committee will be communicated to the student and the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee within 10 working days of the meeting.
25. If the student is not satisfied with the decision of the University Appeals Committee they may appeal in writing to the University Secretary and Registrar. This appeal must be submitted to the University Appeals Unit within 10 working days of notification of the University Appeals Committee decision. The decision of the University Secretary and Registrar is final and will be issued in the form of a Completion of Procedures Letter.

Outcomes of the University Appeal Committee

26. The University Appeals Committee may make a decision it considers fair, reasonable and appropriate in all the circumstances of the case as follows:
 - i) That the Appeal is accepted;
 - ii) That the Appeal is deferred pending receipt of further relevant documentation
 - iii) That the Appeal is referred to Academic Board and/or the University Secretary and Registrar
 - iv) That the Appeal is rejected.
27. If the University Appeals Committee decides to accept an appeal the Chair of the Examination Board or the Chair of the Research Degrees Sub-Committee will be asked to review its original decision in line with the decision and recommendation of the UAC. The Chair will be asked to carry out this review within a specified period of time which will normally be within seven working days of notification of the UAC decision. The Chair will write to the student confirming the outcome of this review. If the student is unhappy with the outcome they may submit an appeal in writing to the University Secretary and Registrar within 10 working days. The decision of the University Secretary and Registrar is final and will be issued in the form of a Completion of Procedures Letter.
28. If the University Appeals Committee decides to reject an appeal the student may appeal against this decision to the University Secretary and Registrar within 10 working days.
29. The University Appeals Committee may also do any of the following:
 - i) Annul the previous decision of the Examination Board if it is not possible to reconvene the Board. In this event the University Appeals Committee shall refer the matter to the Academic Board. Upon receiving a referral the Vice-Chancellor shall convene an Academic Board Subgroup on Student Appeals. The Academic Board Sub-group on Student Appeals shall consider the representations of the Examination Board and the University Appeals Committee in reaching a final and binding decision on the appeal.
 - ii) In exceptional circumstances where the Examination Board is in disagreement with the decision or recommendations of the University Appeals Committee, the Chair of the Committee will refer the appeal to the Academic Board. Upon receiving a referral the Vice Chancellor shall convene an Academic Board Subgroup on Student Appeals. The Academic Board Sub-group on Student Appeals shall consider the representations of the Examination Board and the University Appeals Committee in reaching a final and binding decision on the appeal.
 - iii) Make whatever recommendations are deemed to be necessary to the assessment process to avoid a recurrence.
 - iv) For Research Degrees, request the Research Degrees Sub-Committee to appoint a new examination panel and recommend a first examination
30. Upon receipt of a Completion of Procedures Letter the student may seek adjudication from the Office of the Independent Adjudicator for Higher Education.

Annex 10 Research Degree Registration Transfer Procedures

1. Scope of Procedures

These procedures apply to candidates who wish to:

- a) transfer their research degree registration to University of the Arts London from another institution; or
- b) register with University of the Arts London to complete their research degree after withdrawing from registration at another institution; or
- c) register with 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 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 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 University of the Arts London from that institution
- c) A completed application form for transfer 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 the Dean of Research that s/he is in a position to successfully complete a research degree of University of the Arts London.

3. 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 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 the Dean of Research

Annex 11 – University of the Arts London Main Sites

High Holborn
272 High Holborn
London
WC1V 7EY
020 7514 6000

Camberwell College of Arts
45-65 Peckham Rd
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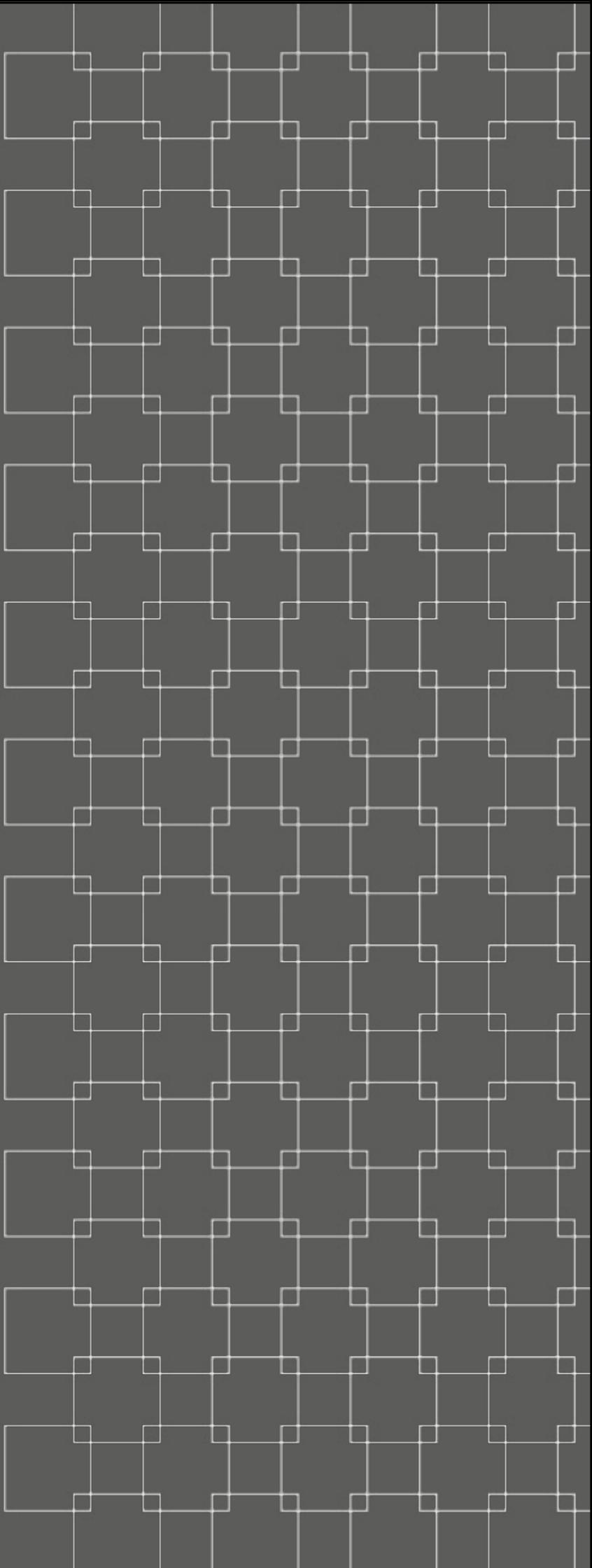
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