

## Amendments to the Regulations for 2017/18

1. This paper lists amendments and additions to the [Regulations](#) for 2017/18 which were either approved by Senate in May 2017, July 2017 and subsequently by Chair's action.
2. Substantial reviews have been undertaken of the *Regulations for research degrees* and the *Regulations for academic integrity* and the reports of these reviews are included as Appendices 1 and 2 respectively.
3. The following amendments of a technical nature have been made but for reasons of brevity are not listed in this paper:
  - (i) changes to role titles/structures/committees
  - (ii) changes to the order of information presented within each section of the *Student regulations* to bring more uniformity between the sections
  - (iii) information relating to the operation of a particular process has been moved from the *Regulations for hearings by panels* to the relevant set of regulations so as not to duplicate information; generic information in the *Regulations for hearings by panels* acts as an overarching framework.
4. Over the 2016/17 academic year consideration has been given to the removal of some of the unnecessarily harsh elements from the regulations which have disproportionately impacted on students. In that same vein the following caveat, based on guidance in the OIA *Good Practice Framework*, has been introduced to all sections of the *Student regulations*. This will give first and second stage processes/panels the authority to produce findings that are outside the norm in exceptional circumstances.

*"These Regulations describe the procedures that are used in [relevant regulations]. In exceptional circumstances it may be appropriate to follow different procedures, for example, where strict application of the Regulations would result in substantial unfairness to the student or the student is in some way at risk because of health or disability. Such cases will be rare and should each be treated on their own merits."*
5. On the advice of the Information Compliance Unit, and in preparation for the new General Data Protection Regulation (GDPR) legislation, the section on confidentiality in the sections of the *Student regulations* has been amended to include the following.

*"Information collated in relation to the student's case, including that submitted by the student, will not be shared unless an exception to data sharing and confidentiality requirements exist. For example, when individuals are at risk of harm to themselves or others. Information may also be shared in order to process other student-facing regulations. For example the Student disciplinary regulations, Regulations for academic appeals or Regulations for fitness to study. A student with any concerns about confidentiality can discuss them with the Students' Union"*
6. There is only one set of *Student regulations* in operation at a time and so the 2017/18 set replaces all previous versions. Normal practice in respect of the *Academic regulations* is that students follow the *Academic regulations* that were in place at the time of the commencement of their programme unless there are amendments that would be of advantage to students and/or Senate has specifically agreed that amendments should be introduced for all students, in which cases amendments are applied to all students, regardless of year of entry. The amendments for 2017/18 in relation to the *Regulations for taught programmes* and the *Regulations for research degrees* will apply to all students with the following time-limited exceptions in the case of the latter:

- Given the upcoming review due on 1 October, the new 2<sup>nd</sup> year review process is recommended only, becoming compulsory for the 1 April 2018 review
- Postgraduate research students wishing to change status from full/part-time to completing status may do so under the existing rules for requests received on and before 16.00 on 30 September. Students wishing to change status under the existing rules should submit their request to the Admissions, Progression and Examination Subcommittee (APESC)

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## Proposed amendments and additions to Regulations

New text is shown in **bold** and deletions in ~~strikethrough~~

<b>Introduction to the Regulations</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/addition</b>
9	<p><u>Applicability</u>            In relation to programmes of study, students follow the <i>Academic regulations</i> that were in place at the time of the commencement of their programme <b>unless there are amendments that would be of advantage to students and/or Senate has specifically agreed that amendments should be introduced for all students, in which cases amendments are applied to all students, regardless of year of entry.</b> <del>If any subsequent changes to regulations are made that would be of benefit to students, they will be subject to those new regulations.</del> The current versions of the <i>Student regulations</i> replace all previous versions.</p>	To clarify the authority of Senate in respect of the approval of regulations

<b>A1 Regulations for taught programmes</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/addition</b>
7	<p><u>Credit levels and credit values</u>            The University operates a credit framework for all taught programmes based on a 15 credit tariff. All taught modules are 15 credits. Project modules and dissertation modules can be either 15, 30, 45 or 60 credits and, additionally for Master's dissertations, 90 credits. <b>Senate can grant approval for taught modules larger than 15 credits for discipline-specific reasons.</b></p>	To clarify the process for exceptions
New 22	<p><u>Classification</u>  <b>When calculating an undergraduate student's aggregate mark for a module the result of the calculation is required to be a whole integer. In calculations, aggregate marks of 0.01-0.49 are rounded down; marks of 0.5-0.99 are rounded up</b></p>	To rectify an omission
22 (new 23)	<p><u>Classification</u>            When classifying undergraduate honours and integrated Master's degrees the overall weighted aggregate mark the student has achieved is used. This is derived from aggregating module marks, weighted in accordance with Table 2 above and expressed as a score out of 100. The result of the calculation is required to be a whole integer. In calculations aggregate marks of 0.01-0.49 are rounded down and <u>marks of 0.5-0.99 are rounded up.</u> <b>Students are</b></p>	New text added for clarity to reflect actual practice

	<b>provided with a level average mark at the end of each year of study which is presented to two decimal places. This is for their information and is not used in the calculation of the overall weighted aggregate mark.</b>	
125 (new 126)	<u>Submission of coursework</u> Students following taught programmes are required to submit coursework units of assessment (including project and other reports and dissertations) on time and in accordance with the arrangements published in the handbook for the relevant programme. Arrangements for the submission of Master's dissertations are described in Regulations 137-162 below. Where a unit of assessment has not been submitted <b>at the first attempt</b> and there are no confirmed extenuating circumstances, compensation will not be available <b>at that point</b> for that module. <b>In such cases compensation will only be available after a re-submission</b>	Changes to the requirements for compensation to allow compensation to be granted after a first attempt rather than a resit
149 (new 150)	<u>Dissertations – master's programmes</u> <u>Number of copies required for assessment</u> <del>Students should submit two copies of their dissertation to their Faculty for assessment, together with an electronic copy of their dissertation in an approved format, as stated according to the requirements set out in the programme handbook, to facilitate submission to the University's plagiarism detection service (see Regulation 68 above). Arrangements for receiving and registering the submission of dissertations are set out in the relevant programme handbook. Students are advised to keep paper and electronic copies</del> <b>a copy</b> of their dissertation for their personal use.	To simplify procedures for students
163  165  166	<u>Deferred assessment</u> Deleted  Where an <b>undergraduate</b> student <del>who is not in the final year of an undergraduate programme or an Integrated Masters programme</del> takes one or more deferred units of assessment in a module, and fails one or more of these, <del>since they are deferred units the student is not eligible for compensation to be applied</del> <b>compensation can be applied if the criteria are met (see Regulations 192 - 194 below). If the student is not eligible for compensation they</b> <del>The student must therefore</del> submit for reassessment in those units of assessment at the next University-approved assessment or reassessment point, subject to the limits on progression set out in Regulation 116 above.....  Where a taught postgraduate student has taken a deferred assessment, in one module only, at the University-approved reassessment point for their programme, and they have failed that module, <del>the student is not eligible for compensation to be applied</del> <b>compensation can be applied if the criteria are met</b>	Changes to the requirements for compensation to allow compensation to be granted after a first attempt rather than a resit

167	<p><b>(see Regulations 195 - 196 below). If the student is not eligible for compensation they <del>and</del> must submit for reassessment in the relevant units of assessment for that module at the next University-approved assessment or reassessment point.....</b></p> <p>When the student passes the deferred units of assessment and therefore the relevant module(s) they may progress. In this case the mark recorded is the mark the student has achieved <i>in the deferred assessment(s)</i>. (Rest of the paragraph deleted)</p>	
173	<p><u>Failure to attend for assessment/examination</u> Where a student has failed an assessment, or reassessment, for a module through failing to attend a required examination, or by attending a required examination but not making (in the judgement of the Board of Examiners) a reasonable attempt to address the examination questions, and there are no confirmed extenuating circumstances, the student has failed that unit of assessment <b>at that attempt</b> and will be given a mark of zero. If the attempt was the first attempt and the student fails the module overall as a consequence, they may not progress without reassessment, as described in Regulation 169 above, and <del>will not be entitled to compensation for that module</del> <b>compensation will only be available after a reassessment</b></p>	Changes to the requirements for compensation to allow compensation to be granted after a first attempt rather than a resit
179	<p><u>Timing of reassessments</u> Reassessments for units of assessment for undergraduate programmes failed in the first and second semester of the year are undertaken in the University-appointed reassessment period, <b>apart from in-semester tests which can be re-sat in the next available assessment/re-assessment period</b></p>	To reflect changes made to the <i>Code of practice for assessment and feedback</i>
188  189  190	<p><u>Compensation</u> <del>Compensation is only available following reassessment</del> and is not available to students who have not failed a module. Compensation is not available for core modules</p> <p>Where the conditions set out in Regulations 192-194, or 195-196 below are met the student's overall performance compensates for their failed unit(s) of assessment and the student is allowed to progress to the next level or stage of their programme <b>or be awarded.</b></p> <p>Where compensation is applied, the mark recorded for the compensated module and that which is used in calculating the module mark overall, is the aggregate module mark, including the mark awarded for the failed unit(s) of assessment. Where a student has passed a module through the application of compensation their transcript shows that they have passed <del>following reassessment</del> and the application of compensation. A student cannot choose to reject compensation</p>	Changes to the requirements for compensation to allow compensation to be granted after a first attempt rather than a resit

New 191	<b>Students at FHEQ levels 5, 6 and 7 have the option to decline compensation and attempt a reassessment in accordance with deadlines set by the Directorate of Student Services and Administration. If a student passes the reassessment, the mark awarded is the pass mark and the compensation remains declined. If a student fails the reassessment, compensation is applied using the original mark or the reassessment mark, whichever is the higher. If a student who wishes to attempt a reassessment subsequently does not re-submit coursework or fails to attend an examination, compensation is applied using the original mark. Once the deadline for declining compensation has passed a student cannot subsequently request a reassessment.</b>	
191 (new 192)	Compensation is available following <del>reassessment</del> a <b>failure at the first attempt</b> for failed units of assessment in modules with a value up to and including 30 credits in the first year of a programme. In subsequent years, compensation is available for modules with a value up to and including 15 credits. Compensation is not available where, <del>after reassessment</del> the student has an overall mark for the module of less than 30% (modules at FHEQ levels 4-6) or 40% (modules at FHEQ level 7). Circumstances that can affect eligibility for compensation are described in Regulation 173 above.	
194	Deleted	
195	Where, <del>after reassessment</del> , a student following a taught postgraduate programme has failed module(s) with a value of 15 credits and <ul style="list-style-type: none"> <li>• the weighted level aggregate of all the student's taught module marks (including the failed module(s)) is 55% or higher, and</li> <li>• the lowest overall mark achieved in a failed module is 40% or more (30% in a failed FHEQ level 6 module)</li> </ul> <p>the student is eligible for compensation</p>	

<b>A2 Regulations for research degrees</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/addition</b>
<b>Registration periods</b>		
22 – 23	To introduce an 'expected period of registration' for the PhD degree. Whereas the 48 months maximum period of registration will remain in order to allow appropriate flexibility for the range of circumstances that may occur during the course of a PhD, it is recommended that full-time students and their supervisors establish a plan	Research Councils advise that it is bad practice for PGRs to rely on an unfunded final year of their doctorate. The

	<p>from the start of their project to complete within 36 months or within the duration of their research funding if longer than 36 months.</p> <p>The 'expected period of registration' for part-time students is recommended to be 72 months, or within the funded period.</p> <p>The table in regulation 22 will be updated to reflect this change.</p>	<p>unfunded year places PGRs in a precarious position - they often need to take on paid work and struggle to balance the demands of employment with the demands of finishing. This can lead to overrun on the project.</p> <p>Instead, the Task and Finish Group advocates an approach that emphasises the importance of submitting within the funded period. Planning of the project and progress monitoring should be carried out with a view to maximising the chances of submission within the funded period.</p> <p>Nevertheless, PGRs should still have access to the full 48 months to allow appropriate flexibility for the circumstances that might occur during the course of a doctorate.</p>
22	<p>Reduce the minimum period of study for part-time PhD students from 60 months to 48.</p> <p>The table in regulation 22 will be updated to reflect this change.</p>	<p>Many part-time students work at a fast rate and are ready to submit their thesis in the fifth, sometimes fourth, year of registration. It does not make sense to hold the bulk part-time PhD students back if they are ready submit earlier than the current six year minimum. The proposed</p>

		amendment is more flexible and better reflects part-time submission times.
<b>Confirmation</b>		
64 (new 67)	<p>To include a requirement that at least one supervisor will attend the confirmation viva.</p> <p>If PGRs have reservations about their supervisors' attendance then the student is encouraged to speak with their PGR Director or Associate Dean Doctoral College who can make an exception.</p> <p>Regulation 64 will be replaced with the following:</p> <p><b>The Principal Supervisor shall take responsibility for making arrangements for the confirmation of registration examination. The examination will involve the candidate and the appointed examiners.</b></p> <p><b>In addition, at least one member of the supervisory team is required to attend the examination, though they do not form a part of the examination panel. If a student has reservations about a member of their supervisory team attending the examination, then this must be discussed with the relevant PGR Director or Associate Dean Doctoral College, who may grant an exemption.</b></p>	<p>There has been some confusion about whether or not supervisors can or should attend the confirmation – most likely as a result of the changes to the Regulations on supervisor attendance at the final <i>viva voce</i> examination.</p> <p>At least one member of the supervisory team should be present at the confirmation viva. This provides moral support for the PGR and enables a supervisor to hear comments on the work from other academics, which can help to direct the next stage of the project.</p> <p>Due to the logistical difficulties in organising a confirmation, we would like to limit the attendance requirement to one supervisor only, though both can and should attend if available.</p>
New 72	<p>To add a paragraph that there will be an opportunity during the confirmation for the PGR to speak to the examiners in the absence of supervisors.</p> <p>A new paragraph will be introduced as follows:</p> <p><b>At the end of the examination, the supervisors will be asked to leave the room and the student will be</b></p>	<p>This is to enable the PGR to discuss any matters that they would feel uncomfortable raising with the supervisors in the room.</p>

	<b>offered the opportunity to raise any matters with the examiners</b>	
69 (new 73)	<p>Allow part-time students 6 months to resubmit for the confirmation following a failure at the first attempt.</p> <p>Regulation 69 will be re-written as follows:</p> <p>Following the <b>confirmation</b> examination, the Executive Dean of Faculty shall consider the recommendation of the examination panel that:</p> <ul style="list-style-type: none"> <li>• the student be permitted to continue registration on the degree</li> <li>• the student's registration should not be confirmed but that the student may resubmit for confirmation of registration on a single occasion only, normally three months later <b>for full-time students or 6 months later for part-time students</b>, with or without further oral examination</li> </ul>	<p>This approach is fairer to part-time PGRs who may require a longer period to resubmit the confirmation due to other commitments. It is also consistent with other regulations that double timeframes for part-time PGRs.</p>
47 (new 48)	<p>Specify that the end of year review or interim review should be waived if the deadline for the review is one month either side of the confirmation.</p> <p>Regulation 47 will be revised as follows:</p> <p>Student progress will be formally monitored at six month intervals through the interim review and end of year review procedures. <b>An end of year or interim review is not required if the deadline for the review is one month either side of the confirmation examination.</b></p>	<p>This reduces unnecessary duplication of progress monitoring</p>
<b>Second year progress review</b>		
New 49-50	<p>To introduce regulations for a Second Year Progress Review.</p> <p>Under this proposal PGRs would be required to submit the following paperwork:</p> <ul style="list-style-type: none"> <li>• The standard review form (which is a current requirement)</li> <li>• A copy of the examiners' report from the confirmation</li> <li>• Gantt chart plan for completion (this is essentially a chart that shows the start and finish dates of the elements within a project)</li> <li>• Draft table of contents for the thesis</li> </ul> <p>The review will involve at least one of the original confirmation examiners, or the PGR Director, who can provide a helpful external perspective on work. The confirmation examiner/PGR Director can either attend the meeting in person or review the paperwork and output separately.</p> <p>The outcomes of the review would be the same as for existing reviews.</p>	<p>Following the confirmation, PGRs (and supervisors) do not have a further formal opportunity to gain an outside perspective on project progress. The proposal seeks to address that gap by introducing a more involved, but proportionate and balanced, second year review to support timely progress.</p>

	<p>In parallel, departments are encouraged to create opportunities for PGRs in their second year and beyond to present their work.</p> <p>A new regulation, will be introduced as follows:</p> <p><b>Students registered for the degrees of PhD, MD and MPhil are required to undergo a second year progress review in place of the standard interim or end of year review. This will take place either at 24 months, for full-time students, or at 48 months for part-time students, or the nearest review point thereafter.</b></p> <p><b>Students are required to submit the following for the review:</b></p> <ul style="list-style-type: none"> <li>• the standard review form;</li> <li>• a copy of the examiners' report from the confirmation;</li> <li>• a Gantt chart plan for completion;</li> <li>• a draft table of contents for the thesis.</li> </ul> <p><b>The review will involve at least one of the original confirmation examiners, or the PGR Director, who can provide a helpful external perspective on work. The confirmation examiner/PGR Director may either attend the review meeting in person or review the paperwork and send their findings to the supervisory team.</b></p>	
<b>Continuing status</b>		
73 (new 77)	<p>It is proposed to change the name of continuing status to "completing status"</p> <p>Regulation 73 will be revised as follows:</p> <p><b><del>Continuing Status</del> Completing Status</b>  A student may apply to register as a <del>'continuing student'</del> <b>completing status</b> while <del>completing</del> <b>writing up</b> the thesis or portfolio.</p>	<p>The purpose of this name change is to make it clear that 'completing status' is intrinsically linked to completion of the doctoral project. 'Continuing' implies an ongoing and indefinite status.</p>
73 (new 77-78)	<p>The criteria for transfer to completing status will change to:</p> <ul style="list-style-type: none"> <li>• Supervisors will be required to confirm that they are satisfied that submission within six months of the change of status is feasible</li> <li>• The PGR will no longer be using specialist resources for research (as per existing practice)</li> </ul> <p>Requests for completing status must be accompanied by:</p> <ul style="list-style-type: none"> <li>• A detailed plan, covering both candidate and supervisor responsibilities, for submission within the first 6 months of completing status or by the end of</li> </ul>	<p>The new criteria will ensure that only PGRs who are ready to transfer to completing status do so. The additional planning requirements will encourage supervisors and PGRs to have a structured plan in place before the</p>

registration if completing status will last for fewer than 6 months.

- A draft table of contents for the thesis
- The exam entry form.

If the thesis is not submitted within the initial 6 month period of Completing Status then an updated plan for submission within the remaining period of registration will be required in order to continue on completing status.

PGRs are reminded that they should/can speak with their PGR Director if they require help with planning and/or supervisor buy-in to their plans.

Regulation 73 will be amended as follows:

- ~~a student has completed a minimum period of research and study as follows:~~

MPhil	24 Months (Full-time)	48 Months (Part-time)
PhD	36 Months (Full-time)	72 Months (Part-time)
MD		24 Months (Part-time/Collaborative)
DBA		48 month (Part-time)
DClinPrac		48 months (Part-time)
EngD	48 months (Full-time)	
PsychD	36 months (Full-time)	60 months (Part-time)

- ~~the transfer is approved by both the Principal Supervisor and Executive Dean of Faculty~~
- ~~the student is making use only of the University's general facilities; is no longer using facilities of the Faculty such as laboratories or other specialist facilities and is receiving advice solely related to the writing up of his/her thesis~~

**The following criteria must be fulfilled for a student to transfer to completing status:**

- **that the supervisors will be required to confirm that they are satisfied that submission of the thesis within six months of request is feasible**
- **the student will no longer be using specialist resources for research.**

**In order for the request to be considered, the following must be provided:**

PGR transfers to completing status. This will help to ensure progress remains on track and will support the drive to improve submission rates.

	<ul style="list-style-type: none"> <li>• a detailed plan, covering both candidate and supervisor responsibilities, for submission within the first 6 months of completing status, or by the end of registration if completing status will last for fewer than 6 months.</li> <li>• a draft table of contents for the thesis</li> <li>• the exam entry form.</li> </ul> <p>If the thesis is not submitted within the initial six month period of completing status then an updated plan for submission within the remaining period of registration will be required in order to continue on completing status.</p>	
New 79	<p>Introduce a regulation to prohibit retrospective applications for completing status without valid extenuating circumstances.</p> <p>A new paragraph will be introduced as follows:</p> <p><b>Retrospective applications for completing status will not be considered without valid extenuating circumstances.</b></p>	<p>This encourages pro-active management of registration.</p>
<b>Extensions</b>		
New 30	<p>Introduce a regulation to prohibit retrospective applications for extension requests without valid extenuating circumstances.</p> <p>A new paragraph will be introduced as follows:</p> <p><b>Retrospective applications for extensions will not be considered without valid extenuating circumstances.</b></p>	<p>PGRs will be encouraged to raise issues that might lead to an extension at the point the issue occurs. This will encourage pro-active management of registration.</p>
25	<p>Replace the existing criteria for extensions with the following:</p> <ul style="list-style-type: none"> <li>• Failure/unavailability of specialist equipment or resources required for research that causes significant delay to progress that cannot be managed by temporary withdrawal.</li> <li>• Gap in supervision where supervisor leaves, or is absent for more than a month, and cover has not been put in place, that cannot be managed by temporary withdrawal. There will need to be a demonstrable impact on the progress of the project.</li> <li>• Where the supervisor has not adhered to their responsibilities under the Code of Practice, resulting in a material impact on the progress of the project that cannot be managed by temporary withdrawal.</li> <li>• If ALS recommend a learning adjustment that necessitates extension of registration that cannot be managed by temporary withdrawal.</li> <li>• Physical or mental health-related circumstances that cannot be managed by temporary withdrawal.</li> </ul>	<p>The preferred method for dealing with serious issues that might arise during the doctorate is temporary withdrawal. Temporary withdrawal stops the clock on registration and is not damaging to submission rates. Nevertheless, it is recognised that not all circumstances allow for temporary withdrawal (for example funding conditions and visa restrictions). Therefore, extensions will be</p>

	<p>Regulation 25 will be amended as follows:</p> <p><del>The Admission Progression and Examination Subcommittee will consider requests for extension where there has been:</del></p> <ul style="list-style-type: none"> <li><del>• for part-time students in full-time employment only, an increase in their workload due to circumstances beyond their control</del></li> <li><del>• difficulties in the research that were beyond the student's control</del></li> <li><del>• difficulties relating to continuity of supervision</del></li> <li><del>• other exceptional circumstances</del></li> </ul> <p><b>The Admission Progression and Examination Subcommittee will consider requests for extension where there has been:</b></p> <ul style="list-style-type: none"> <li>• <b>failure or unavailability of specialist equipment or resources required for research that causes significant delay to progress that cannot be managed by temporary withdrawal.</b></li> <li>• <b>a gap in supervision where a supervisor leaves, or is absent for more than a month, and cover has not been put in place, that cannot be managed by temporary withdrawal. There will need to be a demonstrable impact on the progress of the project.</b></li> <li>• <b>where the supervisor has not adhered to their responsibilities under the Code of practice, resulting in a material impact on the progress of the project that cannot be managed by temporary withdrawal.</b></li> <li>• <b>where Additional Learning Support (ALS) recommend a learning adjustment that necessitates extension of registration that cannot be managed by temporary withdrawal.</b></li> <li>• <b>physical or mental health-related circumstances that cannot be managed by temporary withdrawal.</b></li> </ul>	<p>permitted where the five circumstances outlined here cannot be dealt with by temporary withdrawal.</p> <p>Restricting the criteria for extensions will help to curb the overreliance on extra registration, which has been damaging the University's submission rates, whilst still being fair to PGRs who find themselves in genuinely difficult circumstances.</p>
<p>31 (new 32)</p>	<p>The circumstances for temporary withdrawal will be updated to reflect the above.</p> <p>Regulation 31 will be amended as follows:</p> <ul style="list-style-type: none"> <li>• bereavement through the death of a close relative or significant other that in employment would lead to a reasonable employer to grant compassionate leave. In such cases the Admission Progression and Examination Subcommittee will require independent evidence of the nature of the relationship</li> <li>• serious short-term illness or accident of a nature that, in employment, would lead a reasonable employer to agree absence on sick leave</li> </ul>	<p>This will ensure that the circumstances can legitimately be dealt with through temporary withdrawal.</p>

	<ul style="list-style-type: none"> <li>• a long-term (chronic) health problem suddenly worsening</li> <li>• for part-time students in full-time employment only, a significant increase in their workload due to circumstances beyond their control</li> <li>• maternity or paternity</li> <li>• <del>difficulties relating to continuity of supervision</del> a <b>gap in supervision where a supervisor leaves, or is absent for more than a month, and cover has not been put in place</b></li> <li>• <b>where the supervisor has not adhered to their responsibilities under the Code of practice, resulting in a material impact on the progress of the project</b></li> <li>• <b>where ALS recommend a learning adjustment that necessitates a temporary withdrawal</b></li> <li>• difficulties in research beyond the student's control</li> <li>• <b>failure or unavailability of specialist equipment or resources required for research that causes significant delay to progress</b></li> <li>• other exceptional circumstances</li> </ul>	
<b>Teaching Fellows</b>		
<p>41 (new 42) and 91 (new 97)</p>	<p>To introduce the following roles as eligible to act as co-supervisors and internal examiners: Teaching Fellow, Senior Teaching Fellow, Professorial Teaching Fellow</p> <p>Regulation 41 will be updated as follows:</p> <p>The Co-supervisor should be appointed from among the following:</p> <ul style="list-style-type: none"> <li>• a member of the University's staff holding an appointment as Professor, Reader, Senior Lecturer, Lecturer, Professorial Research Fellow, Senior Research Fellow, Research Fellow, Research Officer / Research Assistant, Emeritus/a staff, Honorary NHS Appointments, and <b>at the discretion of the Associate Dean (Doctoral College) Professorial Teaching Fellow, Senior Teaching Fellow, Teaching Fellow</b></li> </ul> <p>Regulation 91 will be updated as follows:</p> <p>Nominations for appointment of internal examiners should normally:</p> <ul style="list-style-type: none"> <li>• have expertise in the area relevant to the student's field of research and be demonstrably research active</li> <li>• hold appointments as Professor, Reader, Senior Lecturer, Lecturer, Professorial Research Fellow, Senior Research Fellow, Research Fellow, Research Officer / Research Assistant, <b>Teaching Fellow, Senior Teaching Fellow, Professorial</b></li> </ul>	<p>Currently, staff on the teaching fellow track are not permitted to supervise PGR students.</p> <p>Allowing Teaching Fellows to act as co-supervisors and internal examiners has the following advantages:</p> <ul style="list-style-type: none"> <li>• Inclusion of Teaching Fellows broadens the pool of supervisory expertise, which supports recruitment. Currently, good applicants are being turned away because Teaching Fellows are not permitted to supervise them</li> <li>• There are no contractual impediments to</li> </ul>

	<p><b>Teaching Fellow</b>, Emeritus/a staff, or Honorary NHS Appointments</p> <ul style="list-style-type: none"> <li>• not have, nor have previously had, a personal relationship with the student</li> <li>• not have had any professional relationship with the student which may give rise to a conflict of interest (eg supervisory, collaborative research, co-authoring of papers)</li> <li>• internal examiners with no previous experience of examining or chairing <i>viva voce</i> examinations at the University will have undergone appropriate training prior to appointment</li> </ul>	<p>using Teaching Fellows as co-supervisors</p> <ul style="list-style-type: none"> <li>• Teaching Fellows are required to engage in pedagogical research for promotion. Allowing them to supervise PGRs assists with building a research portfolio</li> <li>• Pairing Teaching Fellows with a Principal Supervisor acts a quality assurance mechanism for safeguarding the experience of the PGR.</li> </ul>
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**Unsatisfactory academic progress**

<p>58 (new 61)</p>	<p>Change the panel composition for Stage 3 of unsatisfactory academic progress so that it consists of the Associate Dean (Doctoral College) and an independent academic. The PGR and supervisors will be invited to submit a written statement to the panel and/or attend in person. Paragraph 58 will be amended as follows:</p> <p>Following the specified period, the student's case will be reviewed <b>by a panel consisting of an Associate Dean (Doctoral College) and an academic member of staff not involved with the supervision of the student.</b></p> <p><b>Prior to the panel meeting, both the student and their supervisors will be asked to submit a written statement to the panel and/or attend the panel in person.</b> <del>the Principal Supervisor, Associate Dean (Doctoral College), and one other academic member of staff not previously involved in the case but with experience of postgraduate research supervision.</del> If all <del>parties</del> <b>the panel members</b> agree that the student has failed to meet the targets to the required standard then a recommendation for programme termination will be made to the Admission Progression and Examination Subcommittee. If there is a disagreement between the parties then the case will be referred to the Admission</p>	<p>There was concern that involving the supervisor in the panel might prejudice or bias the outcome of stage 3 – there is a heightened risk of this in circumstances where the PGR-supervisor relationship is strained or has broken down.</p> <p>The new panel composition leaves the judgement on progress to individuals external to the PGR-supervisor relationship.</p> <p>The proposal is also an improvement on</p>
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	<p>Progression and Examination Subcommittee for adjudication.</p>	<p>the current system which does not allow PGRs to make presentation to the panel, but the supervisor can by virtue of being a panel member. It could be argued that this approach creates an imbalance that disadvantages the PGR. This proposal seeks to address that critique and create a fairer process.</p>
<p><b>EngD examination panels</b></p>		
<p>92 (new 98)</p>	<p>It is proposed to relax the requirement for a chairperson for EngD examinations. A chair has traditionally been appointed because the examination panel is comprised of an internal examiner, an academic external and an industrial external.</p> <p>Regulation 92 will be amended as follows:</p> <p>Independent Chairs will be appointed by the Admission Progression and Examination Subcommittee in the following circumstances:</p> <ul style="list-style-type: none"> <li>• where a student is being re-assessed upon appeal in cases</li> <li>• where <b>all examiners on the panel are external, for instance:</b> <ul style="list-style-type: none"> <li>(i) where the candidate is a member of the staff of the University. This would normally apply to candidates holding permanent lectureships or research positions but not to candidates on short-term research contracts such as Research Officers / Research Assistants;</li> <li>(ii) where the University is unable to provide an internal examiner with the appropriate subject matter expertise and a second external examiner is appointed;</li> </ul> </li> <li>• where the internal examiner has no previous experience of doctoral-level viva voce examinations in the UK</li> <li>• where the external examiner has no previous experience of the doctoral-level viva voce examinations in the UK</li> </ul>	<p>The requirement for a chair adds a logistical difficulty to arranging the examination and, in most cases, the internal can perform the dual role of chairing and examining, as with other examinations.</p>

	<ul style="list-style-type: none"> <li>• where the internal examiner holds an Emeritus/a or Honorary Appointment</li> <li>• in any other special case as determined by the Admission Progression and Examination Subcommittee</li> </ul>	
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<b>A3 Regulations for research degrees on the basis of published works</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/addition</b>
29	<p>To amend the outcomes of the examination so that they reflect the outcomes for a standard PhD examination.</p> <p>Paragraph 29 will be amended as follows: After the examination, the examiners shall prepare a report on the <i>viva voce</i> examination, together with any reports that may have been submitted by the supervisors in response to a request by the examiners. They shall preferably prepare a joint report but are at liberty to prepare separate ones if they so wish. They shall jointly make one of the following recommendations:</p> <ul style="list-style-type: none"> <li>• that the degree be awarded</li> <li>• that the degree be awarded, subject to specified minor corrections being made to any aspect of the thesis other than the published works to the satisfaction of the external examiners within a period not exceeding one month of receipt of the corrections</li> <li>• that the degree be awarded, subject to specified, minor revisions being made to any aspect of the thesis other than the published works to the satisfaction of the external examiners within a period not exceeding six months</li> <li>• <b>that the degree not be awarded, but that the student be permitted to submit a revised thesis by a specified date, normally twelve months, with or without further research and be examined with or without a further <i>viva voce</i> examination</b></li> <li>• <b>that the degree not be awarded but that the degree of Master of Philosophy be awarded, if appropriate, after specified minor corrections or minor revisions have been made to the thesis and the thesis for that degree to be submitted within a period not exceeding one month in the case of minor corrections or not exceeding six months in the case of minor revisions</b></li> <li>• <b>that the degree not be awarded but the student be permitted to submit a revised thesis for the degree of Master of Philosophy, by a specified date, normally twelve months, with or without</b></li> </ul>	<p>The limited outcomes disadvantage candidates whose publications are good but whose narrative needs substantive work to improve the submission. It is also sensible to offer the lower award of MPhil for submissions that do not meet Level 8 requirements but satisfy the criteria for a research degree at Master's level.</p>

	<p><b>further research and be examined with or without a further <i>viva voce</i> examination</b></p> <ul style="list-style-type: none"> <li>• that the degree be not awarded</li> </ul> <p>Resubmission outcomes will be introduced as follows:</p>	
New 34	<p><b>In the case of any resubmission, the student will normally be liable for re-examination fees.</b></p>	
35	<p><b>A student may submit a revised thesis once only, on the recommendation of the examiners and with the approval of the Student Progression and Awards Board.</b></p>	
36	<p><b>A student shall be informed in writing within 10 working days after the <i>viva voce</i> of the reasons for the examiners' rejection of the original thesis. This letter will normally be sent by the Student Services and Administration Directorate and include a Statement of Requirements prepared by the examiners listing the principal aspects of the thesis which require improvement, a copy of which will be appended to the Examination Entry Form.</b></p>	
37	<p><b>The examiners shall determine the date by which the revised thesis shall be submitted, normally twelve months from the date that the Statement of Requirements is sent to the student. It is recommended that the student engages with supervisory support in the form of monthly meetings during the resubmission period.</b></p>	
38	<p><b>The procedure for submitting a revised thesis shall be the same as that for submitting the original one.</b></p>	
39	<p><b>A revised thesis shall normally be examined by the original examiners but the Admission Progression and Examination Subcommittee may appoint different examiners in exceptional cases.</b></p> <p><b>Examiners may not recommend re-submission for a second time but may make one of the following recommendations, as appropriate, and should do so within 90 days of receipt of the revised thesis:</b></p> <ul style="list-style-type: none"> <li>• that the degree be awarded</li> <li>• that the degree be awarded, subject to specified minor corrections being made to any aspect of the thesis, other than the published works, to the satisfaction of the external examiners within a period not exceeding one month of receipt of the corrections</li> <li>• that the degree be awarded, subject to specified, minor revisions being made to any aspect of the thesis other than the published works to the satisfaction of the external examiners within a period not exceeding six months</li> <li>• that the degree not be awarded but that the</li> </ul>	

	<p>degree of Master of Philosophy be awarded, if appropriate, after specified minor corrections or minor revisions have been made to the thesis, to the satisfaction of at least one external examiner, the thesis for that degree to be submitted within a period not exceeding one month in the case of minor corrections or not exceeding six months in the case of minor revisions;</p> <ul style="list-style-type: none"> <li>• that the degree not be awarded</li> </ul>	
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<b>A4 Regulations for higher doctorates</b>
No amendments

<b>A5 Regulations for academic dress</b>
No amendments

<b>B1 Regulations for extenuating circumstances</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/addition</b>
19 (new 21)	<p><u>Requests for the recognition of extenuating circumstances made in advance of a deadline or event</u> Requests for the recognition of extenuating circumstances are made on the University's standard form which can be found on the OSCAR <a href="#">web pages</a>. Requests made in advance of a deadline or event that are supported by relevant evidence are considered by the specified person as quickly as possible, normally within two working days. <b>For programmes with a professional practice element where completion of the programme also confers eligibility to apply for registration with a Registration body, the specified person must consult with the relevant Programme Leader before a decision can be made</b></p>	Added so that Programme Leaders are aware at an early stage of any potential fitness to practise issues
20 (new 22)	<p><u>Requests for extensions to an assessment deadline longer than a month</u> Where a student requests an extension to a deadline that is more than a month, the person considering the application, will consult the relevant Director of Learning and Teaching <b>and Programme Leader</b> or PGR Director who may, exceptionally, grant a longer extension.</p>	Ditto
21 (new 23)	<p>In cases where a student has requested a substantial extension to a deadline and has provided the required supporting evidence the Director of Learning and Teaching, <b>Programme Leader</b> or the PGR Director may request that the matter be considered in</p>	

	accordance with the <a href="#">Regulations for fitness to study</a> or <a href="#">Regulations for fitness to practise</a> .	
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B2 Regulations for academic integrity		
Regulation reference	Amendment/addition	Rationale for amendment/ addition
See separate report at Appendix 2		

B3 Student disciplinary regulations		
Regulation reference	Amendment/addition	Rationale for amendment/ addition
5 (new 10)	<u>Standard of proof</u> In all proceedings and appeals under these <i>Student disciplinary regulations</i> the standard of proof required is, that on the evidence put forward, it is more likely than not that the student committed the offence. <del>In cases where major misconduct is alleged, where the penalties for the student may be serious, the University expects that the evidence that is put forward to show that the student committed the misconduct to be particularly cogent and compelling and that it will be examined and tested with special care.</del>	The deleted sentence is a conflict of terms which has been identified by a student's solicitor  [This amendment also applies to other sections of the Student regulations where relevant]
8	<u>Illustrative acts of misconduct</u> (i) <del>any conduct that constitutes a</del> <b>proven criminal offence and the failure to disclose charges and convictions when required to do so</b>	Amended and added for clarity
11 (new 14)	<u>Legal representation</u> Where a student who is alleged to have committed an offence informs the relevant Authorised Person that they wish to be legally represented before the Authorised Person has made their decision, the Authorised Person refers the matter to the Office of Student Complaint, Appeals and Regulation (OSCAR). In such cases OSCAR <b>will normally</b> write to the student to inform them that the misconduct will be dealt with under the procedures relating to major offences, as set out in these <i>Regulations</i> and that the University will be similarly legally represented before the Disciplinary Panel. <b>In these circumstances it may take longer to convene the panel.</b>	The addition of "normally" gives flexibility so that such cases don't always go straight to a panel. The addition of the last sentence reflects what can happen in reality in such cases.
20 (new 23)	<u>Appeal against a decision or penalty imposed by an Authorised Person</u> Where, after making enquiries, the Case Officer is able to show that there are sufficient grounds and evidence for the student's appeal against a penalty imposed by an Authorised	Requiring such appeals in respect of minor offences to go to a Disciplinary Panel is disproportionate to the offence and extends the process. The

	<p>Person <b>to uphold the appeal</b> be put before a <del>Disciplinary Appeal Panel</del>, the Case Officer writes to the Director of Student Services and Administration to make that recommendation. Where the Director is satisfied that this recommendation is sound they direct the Case Officer to write to the student and the Authorised Person, explaining the grounds for <b>upholding</b> allowing the appeal to go forward and the next stages in the appeal process</p>	<p>proposed amendment will speed up the process.</p>
24	<p><del>Where the student does not challenge the dismissal of their appeal against a penalty imposed by an Authorised Person within ten days of the decision having been made, OSCAR writes to the student to offer a Completion of Procedures letter</del></p>	<p>This reflects a move the practice whereby Completion of Procedures letters are issued only when a student has completed all stages of a process. Students have the option to request a CoP if they do not proceed through all stages of a process if they have no grounds for the next stage.</p> <p>[This amendment also applies to other sections of the Student regulations where relevant]</p>
37 – 47 (new 39 – 50)	<p><u>Managed Exclusion Order</u></p> <p><b>Managed Exclusion Orders to be imposed by a Vice-Provost and appeals against them considered by the Provost.</b></p>	<p>Currently MEOs are imposed by the Provost and the Provost also considers appeals against the imposition of an MEO. This is contrary to practice in all other areas of the regulations when different individuals are involved in the different stages of a process.</p>
37 (new 39)	<p><b>Students may also be required not to contact certain individuals for the duration of the Managed Exclusion Order.</b></p>	<p>For clarity and to reflect actual practice</p>
39 (new 40)	<p>Where, in the course of their work and enquiries in connection with a Disciplinary matter, a Case Officer comes to the view that a student poses a threat to University property, to the safety or wellbeing of themselves, of other members of the University, or to the integrity of the University's Disciplinary Procedures, they will seek the advice of the Director of Student Services and Administration and the Head of Security. <b>Such advice and responses to be documented in writing.</b></p>	<p>To ensure a complete audit trail of activity</p>

39 and 47 (new 41 and 50)	<b>Plus addition of the supervisor for PGR students to the list of those informed about the imposition of an MEO</b>	To remedy an omission  [These amendments will also apply to the <i>Regulations for fitness to study</i> and the <i>Regulations for fitness to practise</i> which contain provision for MEOs.]
51 (new 56)	<u>Penalties open to a Disciplinary Panel</u> <ul style="list-style-type: none"> <li>• <b>that the student's right to University accommodation or University Managed Houses is temporarily or permanently revoked.</b></li> <li>• <b>that a recommendation be made to the USSU that the student's access to USSU services is restricted</b></li> </ul>	This is formalising custom and practice and is in accordance with the Conditions of Residence  This is formalising custom and practice. It would be for the USSU to decide whether to accept the recommendation
New 67	<u>Investigation by OSCAR prior to a Disciplinary Panel</u> <b>Where OSCAR has requested the student to provide additional information and the student has failed to provide the necessary information within 10 working days of the request being sent to the student's University email address, the student will be sent a further reminder and warned that their appeal will be closed if a response is not received within a further calendar month.</b>	To clarify what happens in this situation
New 68	<b>Where OSCAR or the Director of Student Services and Administration considers that an appeal appears vexatious or malicious they refer the matter for review to the University Secretary and Legal Counsel. Following review, if it is decided that the appeal is vexatious or malicious the University Secretary may direct that the appeal is dismissed and informs the student according.</b>	This appears in some sections of the regulations so is added here for completeness  [These additions will also be made to other sections of the Student regulations where necessary]

<b>B4 Regulations for academic appeals</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/ addition</b>
No amendments. The second edition of the 2016/17 Regulations published in July 2017 contained the amendments that were made to replace the two stage process by a first stage triage by OSCAR and a second stage decided by Panel		

<b>B5 Regulations for fitness to study</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/ addition</b>
15 (new 16)	<u>Grounds for concern about a student's fitness to study</u> <b>(iv) the submission of persistent applications for extenuating circumstances</b>	This is referenced in the <i>Regulations for extenuating circumstances</i> but also needs to be added here as one of the grounds for concern
35 (new 38)	<u>Meeting with a student to discuss concerns about fitness to study</u> <b>.....If the student does not respond to the meeting request the Academic Leader will follow this up with the student and will make a further attempt to hold a meeting with the student.</b>	To make clear what should happen in this situation

<b>B6 Regulations for fitness to practise</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/ addition</b>
45 (new 47)	<u>Fitness to Practise Panel Hearing</u> Where a student notifies the University that they wish to be legally represented at any stage of this process, the University will be similarly legally represented. <b>In these circumstances it may take longer to convene the Panel.</b>	For clarity in cases where timescales get extended
New 61	<u>Appeal against the findings of a Fitness to Practise Panel</u> <b>Where OSCAR has requested the student to provide additional information and the student has failed to provide the necessary information within 10 working days of the request being sent to the student's University email address, the student will be sent a further reminder and warned that their appeal will be closed if a response is not received within a further calendar month.</b>	To clarify what happens in this situation
New 62	<b>Where OSCAR or the Director of Student Services and Administration considers that an appeal appears vexatious or malicious they refer the matter for review to the University Secretary and Legal Counsel. Following review, if it is decided that the appeal is vexatious or malicious the University Secretary may direct that the appeal is dismissed and informs the student according.</b>	This appears in some sections of the regulations so is added here for completeness

<b>B7 Procedure for complaints</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/ addition</b>
32 (new 33)	<u>Complaints concerning members of staff</u> Where a complaint <del>identifies concerns the</del> <b>behaviour of</b> members of staff, <del>or contains information that could lead to their identification,</del> the Complaint Handler will seek advice <del>and guidance</del> from the University's Human Resources Department on how to handle that aspect of the complaint. This may result in the complaint being referred to the Human Resources Department for consideration under the relevant HR policies and procedures	Amendments made for clarity
44 (new 45)	Where the student is not satisfied with the outcome of the discussion with the Complaint Handler, <b>and they have one or more of the grounds for a review as detailed in paragraph 55 below,</b> they write to OSCAR within 10 working days of receiving the Complaint Handler's note and request that a formal Complaint Review Panel is convened to address their complaint with full details of <del>why the review is being requested</del> <b>the grounds being advanced. If the student is not satisfied with the outcome of the discussion with the Complaint Handler and they do not have any grounds to request a review, they may request a Completion of Procedures letter by contacting OSCAR.</b>	As a result of an OIA recommendation following a justified complaint outcome
55 (new 56)	<u>Findings and outcomes of a Complaint Review Panel</u> For a complaint that is upheld about one or more members of University staff the Panel will <b>consider whether to</b> refer the matter to the University's Human Resources Department for consideration under the relevant HR policies and procedures	There may be occasions when referral to HR would not be appropriate

<b>B8 Regulations for hearings by panels</b>		
<b>Regulation reference</b>	<b>Amendment/addition</b>	<b>Rationale for amendment/ addition</b>
New 11	<u>Advice for panels</u> <b>Panels should seek advice from the relevant professional services areas as appropriate for particularly complex cases involving:</b>	To ensure that Panels are fully informed of relevant issues and the impact of their decisions

	<ul style="list-style-type: none"> <li>• <b>regulatory and quality issues – QES</b></li> <li>• <b>disability issues and impact – ALS</b></li> <li>• <b>legal implications - Secretariat</b></li> </ul>	
12	<p><u>Correspondence and communications</u> The University's preferred method for contacting students on any matter is via their University email address. <b>Where a student is asked to attend a panel hearing or meeting they will be given not less than five working days' notice.</b> <del>When contacting a student to invite them to attend a panel meeting and when sending them the details and papers for the panel hearing the University uses the current contact details for the student in SITS. These are initially provided when the student registers and are updated each session and when the student notifies their Department, School or Faculty of any change of their contact details.</del> In addition to email contacts the University may also use the telephone to check that a student has received the necessary information. At all times it is the responsibility of each student to ensure the University has their correct contact details.</p>	Removal of unnecessary detail
13	The information provided for a student <b>and the Panel members who have been</b> asked to attend a panel hearing will include:	For completeness
19	<p><u>Postponement and adjournment of panel hearings</u> Where a student requests the postponement or adjournment of a panel hearing the decision whether to agree to the student's request is a matter for the Chair, advised by the Secretary. <del>In making their decision the Chair takes into consideration the criteria and requirements for evidence set out in the University's <a href="#">Regulations for extenuating circumstances</a></del></p>	The grounds for allowing a postponement or adjournment of a panel are broader than the criteria for considering extenuating circumstances. [Also relevant for regulations 21 and 23]
32	<p><u>Standard of proof</u> In all panel hearings the standard of proof applied by panels is that of the balance of probability; that it is more likely than not something was or was not the case. <del>Where the outcome of a panel hearing may have serious consequences for the student, and particularly where the student's registration is at risk, the evidence must be particularly cogent.</del></p>	The deleted sentence is a conflict of terms which has been identified by a student's solicitor
New 35	<b><u>Visual evidence</u></b> <b>Evidence can also be provided in visual form such recordings from CCTV of University security cameras. If possible this should be provided in advance of the hearing at the same time as written evidence. Where this is not possible the</b>	This is necessary because of the introduction of the use of bodycams by University Security. This evidence is increasingly used in disciplinary panels

	<b>evidence will be available for viewing at the panel hearing.</b>	
43 (new 44)	<u>Record of the hearing and the panel's discussions</u> The written record made by the Secretary to the panel covers the key points made throughout the hearing, the matters discussed by the panel in its private discussions at the end of the hearing, and the grounds stated by the panel for reaching its decisions, findings or recommendations. <b>The student is informed in writing of the panel's findings, decisions and/or recommendations by letter signed by the Chair.</b>	To reflect current practice
44 (new 45)	The written record made by the Secretary is the sole record of the hearing and the panel's discussions. <del>At the end of the panel's private meeting the Secretary collects any private notes panel members have made for secure shredding immediately after the meeting.</del> <b>The panel are responsible for the secure disposal of their documentation.</b> The University will refer incidences of covert recordings for consideration under the <a href="#">Student disciplinary regulations</a>	
45 -46		Paragraphs deleted to remove unnecessary detail about recording the panel's discussions

## Regulations for research degrees

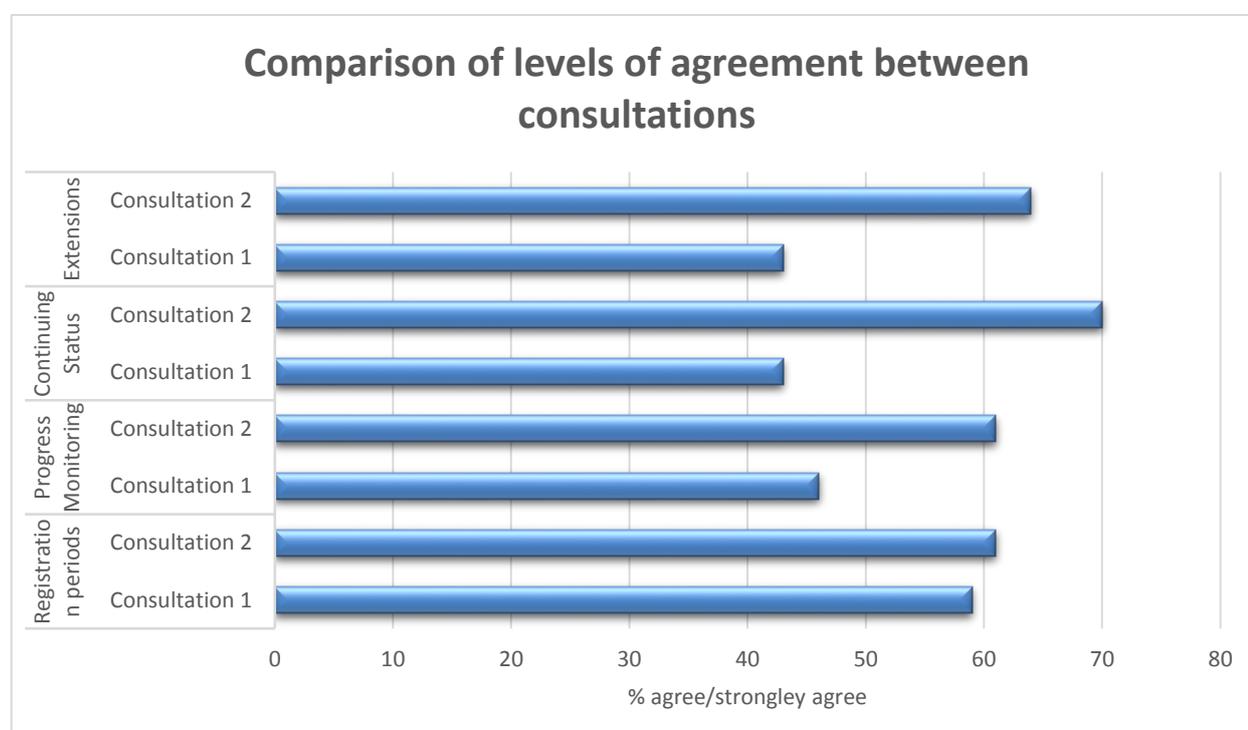
### Introduction

During the 16/17 academic year, the Doctoral College led a review of the structures governing PGR programmes to:

- ensure that the right programme structure is in place to support PGRs throughout their doctorate;
- ensure that appropriate progress monitoring procedures are in place to allow for early identification and resolution of problems;
- facilitate planning for timely submission from the start of registration with regular in-process checks.

A Task and Finish Group with representatives from across the University, including PGRs and the Students' Union (Vice President Voice), was established to develop an initial set of proposals. During December 2016 and January 2017 the proposals were circulated for consultation. The Doctoral College was pleased with the level of engagement with the consultation: 163 PGRs and staff took the time to complete our online survey; and further feedback was received via Student Engagement Fora and Faculty Research Degrees Committees. The Task and Finish Group then spent several months – and many meetings – carefully considering the feedback and re-crafting the proposals.

A second round of consultation was held between May and June 2017 to check that the revised proposals were feasible and supported by our PGRs and supervisors. In total, 63 responses were received to the online survey. The results showed that the proposals in the second consultation were better supported than in the initial consultation, as summarised in the chart below:



It was pleasing that survey respondents had recognised the Task and Finish Group's efforts to work with feedback from the community. In the comments sections, a number of respondents felt satisfied that the Doctoral College had listened to their views and taken these into consideration when re-formulating proposals. Some example comments include:

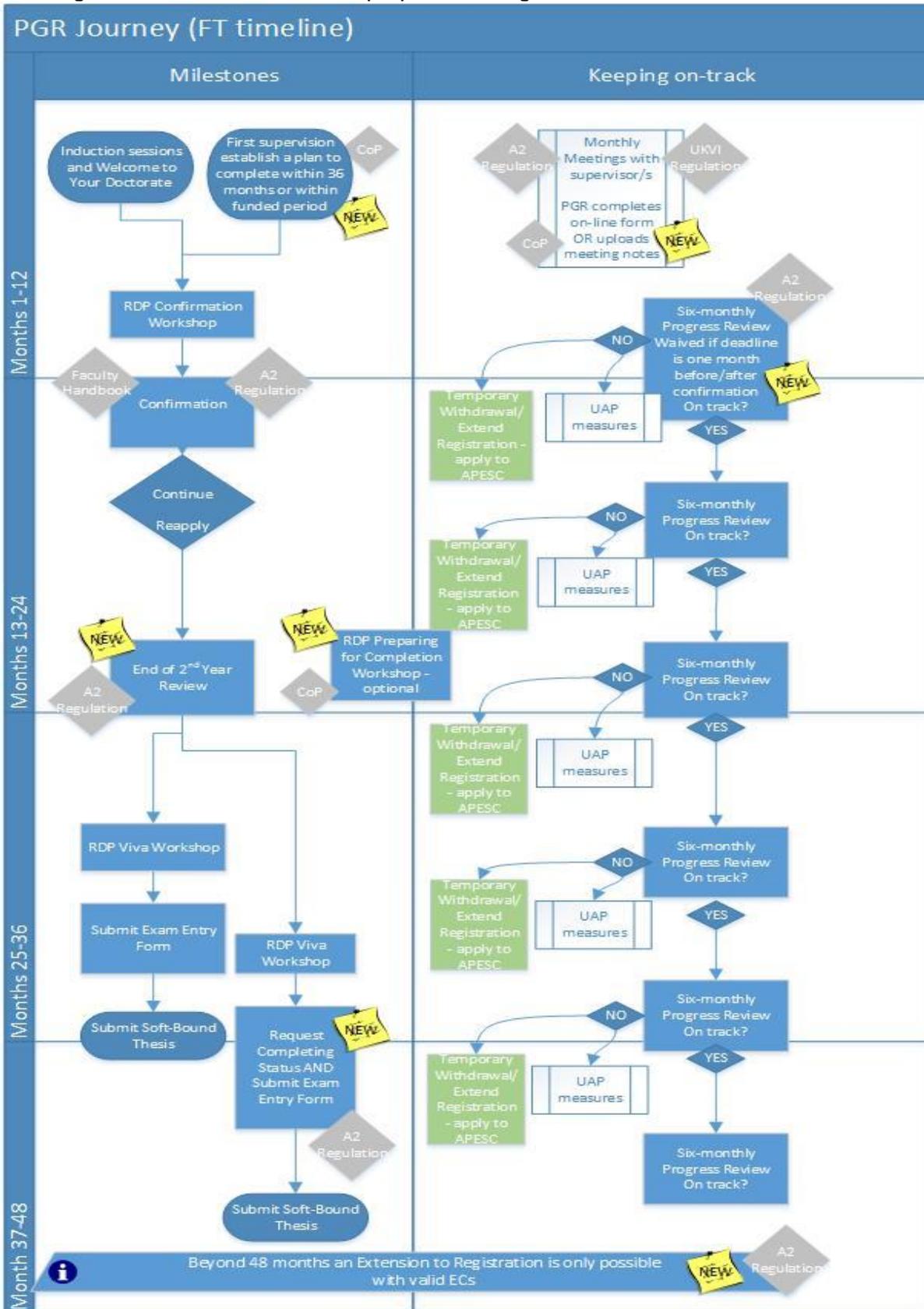
*They have listened to student concerns. They recognise the desire by both the university and students to complete as quickly as possible, but recognise the need for flexibility should problems arise in the course of the PhD.*

*Good to see previous feedback and concerns have been taken into consideration*

The Doctoral College is pleased to present Senate a set of proposals for changes to Regulation and the *Code of Practice for Research Degrees* that are fair, proportionate and broadly supported by PGRs and supervisors. Also presented are some additional changes discussed at the Doctoral College Board and other fora.

If approved by Senate, it is requested that these changes be applied to all **PGRs regardless of year of entry**. The active consultation means that the PGR community is already anticipating the changes. We are concerned that application of the changes to first years only would delay any improvements to the PGR experience and submission/completion rates for another four years. To ensure that existing PGRs are treated fairly, a communication is planned after Senate to alert PGRs to the changes and to encourage them to submit any requests for changes to registration by 30<sup>th</sup> September 2017 so that they can be considered under the existing rules. Senate is asked **consider** and **approve** the proposals.

The diagram below summarises the proposed changes.



## Regulations for academic integrity

The Student Regulations Steering Group asked the Student Regulations Working Group to review the current academic integrity process with the following remit

- To review the existing academic Integrity process and to make recommendations as to how the process could be simplified so that cases could be dealt with more efficiently and transparently within existing resource constraints.
- To develop recommendations for addressing the issue of mobile devices in examinations, including ensuring that the *Regulations for academic integrity* appropriately cross reference to the University *Student disciplinary regulations* on this issue.
- To ensure that taught components of postgraduate research programmes are appropriately covered.

The Steering Group considered a report from the Working Group and agreed to recommend that the *Regulations for academic integrity* should be amended to take account of the following proposed revisions. A flow diagram of the process is given on the following page.

1. Suspected misconduct by postgraduate research students completing taught units of assessment should be considered under these regulations (and not the *Code of practice for handling allegations of research misconduct*).
2. The definitions for academic integrity and some of the various types of academic misconduct have been revised for clarity and brevity and a definition of poor academic practice added. NB this is taken from the University of Leicester website and their permission is awaited (see below for suggested new/amended wording).
3. Mechanical and electronic devices are to be allowed into assessment venues and placed in a clear plastic box under the desk, as per the trial carried out in the January examinations which was successful.
4. The membership of an Academic Misconduct Panel to be amended so that all three academic members should be from a different department/school from the student.
5. Suspected examination misconduct should go straight to an Academic Misconduct Panel ie there is no longer the need to have formal meeting with an Academic Integrity Officer (AIO). The rationale for this is that it was an unnecessary step, as all cases of possible examination misconduct have resulted in a Panel hearing.
6. AIO and Panel members should not be informed of any previous misconduct, as this does not impact whether the work under consideration is the product of misconduct, or not. Previous instances of misconduct or poor academic practice need to be considered only at the point of issuing a penalty/sending an outcome letter.
7. The differential treatment of students who are new to the University has been removed as this should not have a bearing on whether the work under consideration is the product of misconduct or not.
8. After a Panel has found misconduct to have occurred, the Panel should also consider any mitigation presented by the student for their misconduct. The rationale for this is that:
  - (i) Some panels do this now, even though they do not have a remit to do so. There is evidence that some panels, when presented with compelling mitigation, record an outcome of poor academic practice rather than plagiarism because of their sympathy for the student. This presents a number of problems including:

- lack of transparency of process
- lack of standard treatment of students across the institution
- work which contains plagiarised material then has to be marked and there is no guidance for academics on how to do this, including whether the work should be failed.

- (ii) This will be quicker and more efficient than the current process of following an Academic Misconduct Panel (3 people) with an Extenuating Circumstances Panel (different 3 people).

The Panel will only accept evidence which clearly demonstrates that the student's ability to make a rational choice was impaired at the time the misconduct took place. If a Panel decides that the student's ability was impaired they will instruct the Board of Examiners to void the assessment and allow a new attempt. Consideration may also be given to referral to the Fitness to study procedures.

9. In the outcome of a Panel the wording should be changed from "recommending" to the Board of Examiners to "instructing" as Boards of Examiners do not have the discretion to vary the outcome of an Academic Misconduct Panel.

## **New/amended wording for paragraphs 2 – 20 of the current *Regulations for academic integrity***

### **Academic integrity**

Amended - Academic integrity is fundamental to every aspect of learning and teaching at the University and concerns all academic staff and students. This concept is based on honesty, trust, fairness, respect, responsibility and courage as detailed within *The Fundamental Values of Academic Integrity* developed by the International Center for Academic Integrity.

[http://www.academicintegrity.org/ica/assets/Revised\\_FV\\_2014.pdf](http://www.academicintegrity.org/ica/assets/Revised_FV_2014.pdf)

### **Academic misconduct**

No change

### **Poor academic practice**

New - Poor academic practise involves collaboration or poor citation practice where there is evidence that the student did not appreciate the rules of academic writing for their discipline, or where the extent of copied material can be considered so slight that it does not justify a penalty.

### **Declaration of originality**

Addition to the wording – Please note that you do not need to declare advice received from SPALSH or other University professional/study advisory services (eg ALS, English Language Support), the accessing of which is provided.

### **Plagiarism**

Amended - Plagiarism is the most common form of academic misconduct encountered by the University.

The University defines plagiarism as:

- inserting words, concepts, images or other content from the work of someone else into work submitted for assessment without acknowledging the originator's contribution and
- representing the work of another as one's own, whether purchased or not, or taken with or without permission. This could include work submitted for assessment by current or former students at Surrey.

### **Collusion**

Amended - The University defines collusion in assessments as two or more students working together on an assignment which is to be assessed on an individual basis. This means sharing materials and/or findings, and/or using the same wording.

### **Personation and impersonation**

No change

### **Acquiring work to pass off as one's own (also known as contract plagiarism)**

New - acquiring work to pass off as one's own (also known as contract plagiarism) that may have been acquired or bought from services and individuals that provide essays, papers, reports, graphics, compositions, program-code, and programs.

### **Providing work for another to pass off as their own**

New – providing work for another to pass off as their own (whether that person is a student of the University or another institution).

### **Passing off work as original that has already been assessed (also known as self-plagiarism)**

New – passing off work as original that has already been assessed whether by the University or another institution and whether in a different module or programme (also known as self-plagiarism).

### **Assistance by third parties who are not a department of the University**

No change

### **Assistance by third parties where the learning outcomes include demonstrating facility with written language**

Addition – In some modules in Languages programmes the learning outcomes include an explicit requirement to demonstrate competence in the target language. Where this is the case, recourse by the student to assistance in the completion of assessed work from third parties, through proof-reading and correcting the target language (not including the use by the student of dictionaries, thesauruses and spell-checkers) constitutes academic misconduct and may be dealt with under the University's academic misconduct procedures.

### **Making false claims**

No change

### **Fabricating results and misrepresenting data**

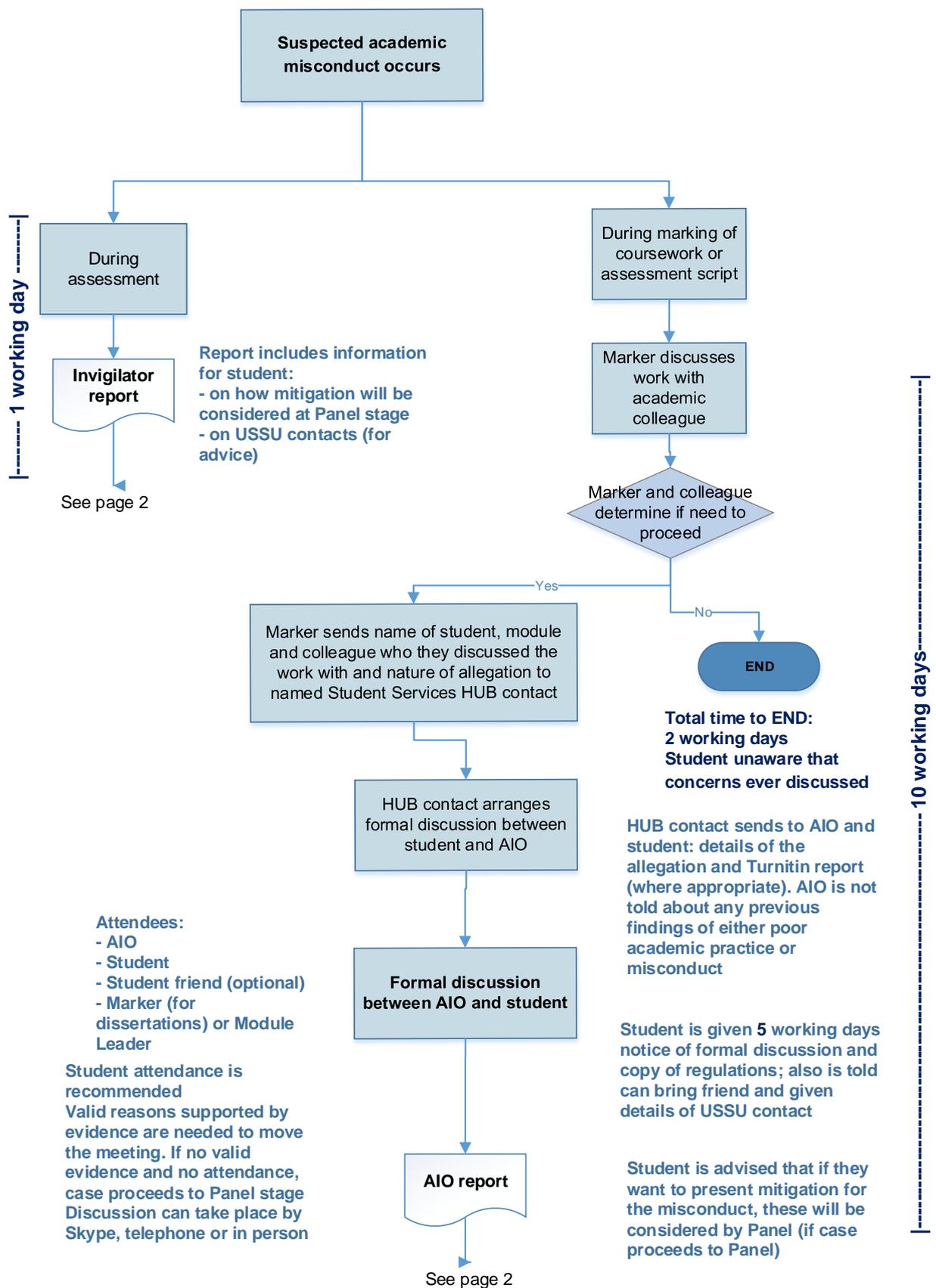
No change

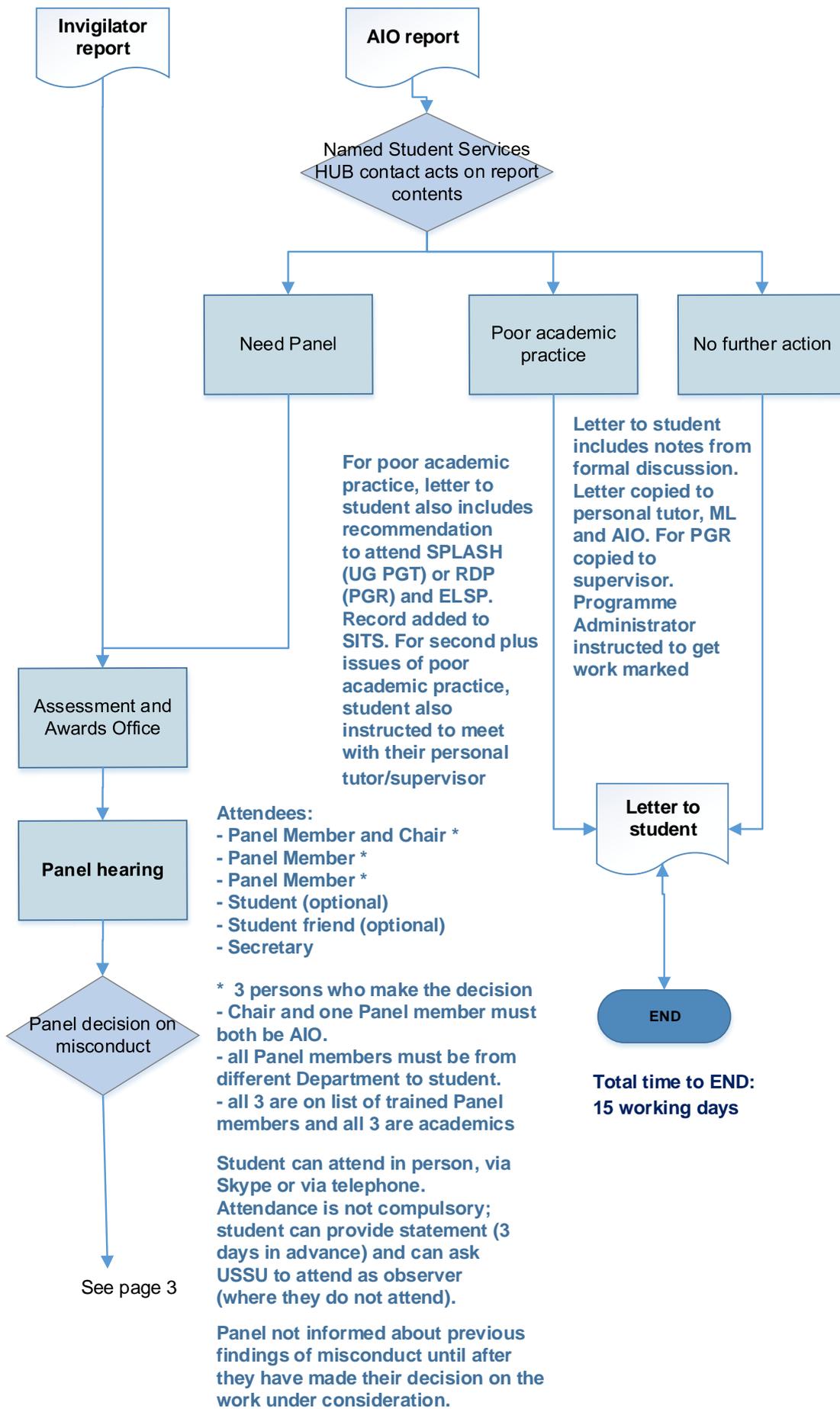
### **Introducing unauthorised materials and/or devices into an assessment**

Amended - Introducing unauthorised textual materials into an assessment venue or ancillary area, such as a cloakroom or toilets, constitutes grounds for academic misconduct. This can include not only notes clearly relevant to the assessment, but any form of written material, either on paper or on a student's body.

Having an unauthorised mechanical or electronic device on one's person within an assessment venue or ancillary area, such as a cloakroom or toilets, constitutes grounds for academic misconduct. If such devices, including mobile phones, are brought into the assessment venue, they must be switched off and placed in the receptacle provided for this purpose, before the start of the assessment. The container must then be placed on the floor, in full view of any invigilators before the start of the assessment and for the duration of the assessment.

Where there is evidence that a student has brought unauthorised material into an assessment venue or ancillary area or has them on their person and has not complied with the requirements for the storage of mechanical or electronic devices, the tutor, invigilator, or other person who has identified the possible academic misconduct reports the matter to the Assessment and Awards Office whose staff will arrange an Academic Misconduct Panel and will also determine whether the matter is to be dealt with through the University's *Student disciplinary regulations*.





5 working days

-----cont'd from pg 2 -----  
----- 15 working days -----

