

**CODE OF PRACTICE FOR  
RESEARCH STUDENTS, SUPERVISORS,  
HEADS OF SCHOOL, HEADS OF  
GRADUATE SCHOOL AND COLLEGE  
POSTGRADUATE OFFICERS**

**August 2011**

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## 1. Introduction

The intention of this Code is to provide guidance and practical advice for Supervisors and research students, as well as Heads of School, Heads of Graduate School and College Postgraduate Officers. Suggestions for improvements are most welcome: these should be sent to the Registry.

The supervision of postgraduate students is clearly personal in character and is influenced by many factors, including the personalities involved and the environment in which students and Supervisors work. There will also be considerable variations in supervisory practice between disciplines. For these reasons the Code does not attempt to describe in exact detail the academic role of the Supervisor. Rather, it aims to identify those aspects of good supervisory practice which are common to all disciplines and to define the mutual responsibilities of Supervisors and students.

The Code sets out the University's policy on good supervisory practice; it should be read in conjunction with the postgraduate regulations set out in the University Calendar ([www.abdn.ac.uk/registry/calendar](http://www.abdn.ac.uk/registry/calendar)). The Code also has taken guidance from the Quality Assurance Agency's Code of Practice for the Assurance of academic quality and Standards in Higher Education: Section 1 – Postgraduate Research programmes, published in September 2004, which is a statement of good practice that has been endorsed by the higher education community: <http://www.qaa.ac.uk/AssuringStandardsAndQuality/code-of-practice/Pages/default.aspx>

## 2. The University of Aberdeen

The University of Aberdeen comprises three Colleges:

- College of Arts & Social Sciences
- College of Life Sciences & Medicine
- College of Physical Sciences

Each College has a Graduate School that oversees all postgraduate provision within the College.

### 2.1 College of Arts & Social Sciences

Comprising six Schools:

- School of Divinity, History and Philosophy
- School of Education
- School of Language and Literature
- School of Law
- School of Social Science
- University of Aberdeen Business School

Further information about the College can be found at [www.abdn.ac.uk/cass](http://www.abdn.ac.uk/cass)

### 2.2 College of Life Sciences & Medicine

Comprising five Schools:

- School of Biological Sciences
- School of Medicine & Dentistry
- School of Medical Sciences
- School of Psychology
- Rowett Institute of Nutrition and Health

Further information about the College can be found at [www.abdn.ac.uk/clsm](http://www.abdn.ac.uk/clsm)

## 2.3 College of Physical Sciences

Comprising three Schools:

School of Geosciences  
School of Engineering  
School of Natural & Computing Sciences

Further information about the College can be found at [www.abdn.ac.uk/cops](http://www.abdn.ac.uk/cops)

## 2.4 Registry

The Registry is responsible for a range of student and academic administrative functions that include the following in regard to postgraduate students:

- Registration of postgraduate taught and research students
- Maintenance of student registration data in manual form and on the computerised student record
- Monitoring of student progress, including changes to terms of study
- Dealing with many aspects of postgraduate tuition fee collection and invoices
- Research student thesis submission and dispatch to Examiners, and publication and notification of all postgraduate assessment results
- Preparation of student transcripts when requested
- Certification of eligibility to graduate with higher degrees or to receive other postgraduate awards
- Interpretation and advice on postgraduate regulatory issues

The Registry is located in the Hub, and the Infohub, situated on the Ground Floor of the Hub, operates a counter service for students seeking to make enquiries to the Registry. The Infohub operates between 9.00 a.m. and 5.00 p.m. Monday – Thursday during term-time (10.00am to 5.00pm on Fridays), with slightly reduced hours during vacation periods. The Registry can be contacted by telephone between 9 a.m. and 5 p.m. Monday – Friday on 01224 273505. For e-mail enquiries please contact [postgraduate@abdn.ac.uk](mailto:postgraduate@abdn.ac.uk)

Further information about the Registry can be found at [www.abdn.ac.uk/registry](http://www.abdn.ac.uk/registry)

## 2.5 Senate/Quality Assurance Committee

The Quality Assurance Committee has been delegated responsibility from Senate for the assurance of quality and maintenance of standards across all undergraduate, postgraduate taught and postgraduate taught elements of research provision. QAC reports directly to the University Committee on Teaching and Learning. Where regulations and procedures refer to Senatus Academicus, it is the QAC that is responsible for the day-to-day implementation of these procedures

Specifically, the Quality Assurance Committee shall:

- in consultation with College Teaching & Learning Committees, Graduate Schools or College Postgraduate Committees, as appropriate, review proposals for (a) the introduction of new courses and programmes of study (b) amendments to existing courses and programmes, and (c) the withdrawal of existing courses and programmes, and make appropriate recommendations;
- recommend to the UCTL changes in the General and Supplementary Regulations;

- oversee the quality control of taught courses and programmes through scrutiny of reports from the Student Course Evaluation Exercise, External Examiner Reports, Internal Teaching Review Reports and Reports from Professional & Statutory Bodies, as applicable; and refer policy issues to the University Committee on Teaching and Learning, as appropriate;
- be responsible, on behalf of the UCTL, for co-ordinating a regular programme of Internal Teaching Reviews for monitoring and reviewing courses and programmes of study and consider and recommend to UCTL revisions to the procedures for Internal Teaching Review, as necessary;
- be responsible, on behalf of the UCTL, for regularly reviewing alignment of University policies with the QAA Codes of Practice, the wider Academic Infrastructure and external reference points and for recommending revisions to policies, as appropriate.
- monitor the quality of provision provided by collaborative partners through the scrutiny of annual reports and recommend to UCTL revisions to the procedures for the approval and oversight of collaborative provision, as necessary;
- oversee issues relating to student progress, including the establishment of Student Progress Committees and Fitness to Practise Committees, as appropriate, and make recommendations to the Senatus Academicus for the discontinuation of attendance, as appropriate.
- undertake such other functions as may be referred to the Committee by the UCTL.

## **2.6 College Postgraduate Officers**

College Postgraduate Officers have extensive delegated authority to undertake specific duties on behalf of the Quality Assurance Committee. Further details can be found in Section 8.2.

## **3. The Application Process**

The following degrees are available by research:

- PhD (Doctor of Philosophy)
- EdD (Doctor of Education)
- EngD (Doctor of Engineering)
- MPhil (Master of Philosophy)
- MD (Doctor of Medicine)
- ChM (Master of Surgery)
- MLE (Master of Land Economy)
- LLM (Master of Laws)
- MLitt (Master of Letters)
- MSc (Master of Science)
- MTh (Master of Theology)
- MRes (Master of Research)

In some disciplines it is normal practice for students to be admitted to a lower degree in the first instance. Transfer to PhD or MPhil is then subject to satisfactory progress. The student's supervisor will give details of how progress is reviewed. For example an offer of study may be made for MSc with a view to transfer to PhD subject to satisfactory progress.

Entry requirements for research degrees can be found at [www.abdn.ac.uk/registry/calendar/info/postgraduateA.doc](http://www.abdn.ac.uk/registry/calendar/info/postgraduateA.doc)

### 3.1 The admission of postgraduate research students

Admission to the University is in accordance with the University's Admissions Policy which is available at [www.abdn.ac.uk/registry/quality/appendix4x1.pdf](http://www.abdn.ac.uk/registry/quality/appendix4x1.pdf)

Full details of how to apply, including how the application is processed, can be found at <http://www.abdn.ac.uk/postgraduate/apply.php>

Information about the costs of studying for a postgraduate degree and about living costs in Aberdeen is available at <http://www.abdn.ac.uk/postgraduate/finance.php>

### 3.2 English language requirements for international students

To study successfully in Aberdeen students will need to speak and write English fluently. Full details of our English Language requirements can be found at <http://www.abdn.ac.uk/international/english-requirements.php>

Applicants who do not satisfy the 'direct entry' criteria may be offered entry on the condition that they either (a) achieve the minimum entry requirement by themselves, or (b) successfully complete one of the Language Centre's 6-week or 12-week Summer School Programmes, depending on their IELTS score, at the University of Aberdeen, before the commencement of their degree. Further details can be found at <http://www.abdn.ac.uk/languagecentre/index.php?id=3>

Information about Language courses and support available at the University, including details of in-session language courses, can be found at [www.abdn.ac.uk/international/english-requirements.php](http://www.abdn.ac.uk/international/english-requirements.php)

## 4. Registration

At the start of their studies and at the start of each subsequent academic year in which they are under supervised study, students are required to register with the University. As part of the eRegistration process students are required to make arrangements to pay their tuition fees. Thereafter they can obtain a student ID card. Full details of how research students can register can be found at <http://www.abdn.ac.uk/newstudents/registration/>

It is very important that students remember to register at both the beginning of their studies and in each subsequent academic year. The University is given funding based on the number of students registered each year. In addition Schools are given credit for each student registered so it is very important for the School and the University that students remember to register at the start of each academic year.

In August each year the Registry will send an email to remind continuing students to re-register.

### 4.1 Use of e-mail

Students will receive a University e-mail account when they register with the University Computing Centre (see Section 16.2). The University will normally use e-mail to communicate with students during term-time and messages will be sent to their University e-mail account.

It is the student's responsibility to **check e-mail on a regular basis** (at least weekly) and to **keep their mailbox tidy** to avoid going over quota. Failure to check e-mail, or non-receipt of e-mail because the mailbox is over quota or due to non-delivery of a message to a non-University account, cannot be used as grounds for an academic appeal (see Section 15.2)

## 4.2 Student portals

A student's University Computer ID and password also gives them access to their Student Portal which can be viewed at [http://studportal.abdn.ac.uk/portal/page?\\_pageid=36,1&\\_dad=portal&\\_schema=PORTAL](http://studportal.abdn.ac.uk/portal/page?_pageid=36,1&_dad=portal&_schema=PORTAL)

Through their Portal students can view and, where appropriate, update the information, including home and term-time addresses, held in their student record. The Portal also provides students with a personalised gateway to the on-line learning resources associated with the courses on which they are enrolled. Data in the Student Portal is updated nightly from the live student record system.

Students can also download applications to graduate from their Portal. See Section 14 for further details.

## 5. Supervision

Supervision of postgraduate research students varies depending on the subject area, the background and needs of the student, and the work patterns and personalities of the student and supervisors. Supervisors are normally Professors, Readers or Lecturers of the University, or may be honorary members of staff, or members of staff of an approved research institution (as listed in General Regulation 13 for Research Degrees). Supervisors are nominated by Heads of School and are approved by College Postgraduate Officers on behalf of Senate. He or she will be part of a supervisory team. **A supervisory team will comprise more than one supervisor, working in co-supervision, always with one supervisor designated as lead.**

The benefit of having a supervisory team is that the student should always have an identified point of contact who they can approach. A student may also have an academic member of staff who has been appointed and identified by the School to provide additional pastoral support. The term of reference for this person will vary between Schools, they may be termed a Postgraduate Research Coordinator or a mentor, for example. For the purposes of this document they will be referred to collectively as an adviser.

Students may have a supervisor appointed who is external to the University, i.e. not a paid employee of the University, an honorary members of staff (or indeed members of staff of an approved research institution, as listed in General Regulation 13 for Research Degrees), but they must always have at least one paid academic member of staff at the University who is appointed to provide supervision of their research.

The percentage input of each supervisor will be recorded on the University's Student Record system. Where an adviser has been appointed, he or she will also be recorded on the student's record, but not as a supervisor.

Where the lead supervisor is a probationary lecturer or a member of staff supervising a student for the first time, a co-supervisor should be appointed who will normally be an experienced member of the academic staff of the University who has seen a student through to successful completion of a research degree.

The lead supervisor should make contact with their supervisee prior to the student's arrival in Aberdeen. As part of the pre-arrival contact, lead supervisors should arrange a meeting between the supervisory team and the student to take place as soon as possible after the student has arrived in Aberdeen.

### 5.1 Contact between students and supervisors

Section 8 sets out the responsibilities of both research students and supervisors. It is the responsibility of supervisors to maintain regular contact through supervisory meetings (what is

expected is defined more closely by Schools and Colleges in light of the demands of the subject), and maintain reasonable accessibility so that advice may be offered at other times.

Research students and their supervisors should, as soon as possible, establish mutually agreed means of communication and contact with one another.

While the amount of contact between a student and supervisor will vary depending on the subject area and also on the stage of the student, it is expected that there should be, as a minimum, one formal minuted supervisory meeting at least once a month with informal meetings held more frequently, as and when required.

Students in their first year of study may require more frequent meetings. Indeed, because the success of a student's research may depend on the degree of contact and discussion between supervisor and student in the early stages of the work, it is likely that contact during this early period will need to be much more frequent than the minimum expectation of at least once a month. Weekly meetings during the first term may be advisable, although their frequency will vary from discipline to discipline.

The student should take brief written notes of formal meetings with the supervisor, and both student and supervisor should agree that the notes are an accurate record of the meeting and should retain a copy of these notes.

Supervisors are expected to assist research students throughout their period of supervised research and for up to twelve months thereafter during the Extension Period, if such a period has been approved, or to completion if sooner, but are not normally obliged to act as Supervisors after this period except when a thesis has been examined and referred, in which case the Supervisor is obliged to provide advice until the specified date for resubmission.

## **5.2 The Early Stages**

The success of a student in his or her research depends to a large extent on the help and guidance that the supervisor offers, especially in the early stages of the work. Thus, close personal contact at this time is essential if later difficulties are to be avoided.

At the start of a student's study, the lead supervisor must assist the student in defining the topic of research, either before arrival at the University or in the early weeks of study. At the initial meetings, the student and the lead supervisor will need to ensure that:

- i. the project is one which is within the supervisors' field of expertise;
- ii. the project can be achieved with available resources;
- iii. the project is suitable for the degree which the student aims to undertake and should be capable of completion within the prescribed period of study (normally 12 months full time for a Masters by Research, 24 months full-time for MPhil, 36 months full-time for PhD). Experience suggests that in some fields, perhaps especially in the humanities, students need to be saved from over-ambition –the attempt at a definitive study of too large a;
- iv. the lead supervisor is likely to be available throughout, and in particular at the beginning of, the prescribed period of study;
- v. if particular conditions relating to study or examination have been specified in the letter of admission, for example the acquisition of computing skills or knowledge of a foreign language, then ways of implementing them should be agreed.;

- vi. a skills audit is completed that identifies both generic and subject-specific training required to assist the student in working towards completion of their research (this will need to be reviewed annually)

*Part-time students* will have particular problems in the early stages: it may be difficult to arrange meetings with the supervisors, the part-time student may find it difficult to set priorities and provide enough free time for research. The supervisors should be aware of these problems and attempt to deal with them sympathetically, while still ensuring that the student is launched on the project without undue delay.

### **5.3 Absence of supervisor**

Schools must make arrangements for maintaining the supervision of research postgraduate students whenever the supervisor is absent. The arrangements made will vary between Schools/disciplines and will depend on whether the supervisor who is absent is the sole supervisor or is part of a supervisory team. Where a sole supervisor is absent an acting supervisor should be appointed as soon as possible if the supervisor is absent and out of contact. Schools/disciplines are responsible for allocating acting supervisors. It is the responsibility of the Head of School to ensure that any such interim supervisory arrangements are made.

### **5.4 Students studying at local research institutions**

Students studying at one of the approved research institutions listed in General Regulation 13 for Research Degrees will have, as a minimum, a named University of Aberdeen supervisor and a supervisor at the research institution. The extent of University of Aberdeen involvement in supervision will vary and the student should be informed of what to expect by the relevant School.

As a minimum, the University of Aberdeen supervisor will ensure that all University of Aberdeen procedures are followed and that progress is monitored through standard University procedures. Students are strongly advised to attend University skills training courses.

## **6. Degree Regulations and Changes in Terms of Study**

The Regulations for Postgraduate Study are available at the following address:  
[www.abdn.ac.uk/registry/calendar/postgraduate.php](http://www.abdn.ac.uk/registry/calendar/postgraduate.php)

(Please note that Regulations are continually reviewed and may be revised due to changes in policies and procedures. Any changes that are made that apply to students during their period of registration at the University are clearly indicated on the above website).

If any change in the conditions of study notified in a student's letter of admission becomes necessary, e.g. transfer of degree or change from full-time to part-time study, the student should discuss the matter with his/her Supervisor who will submit an application to the Registry for consideration by one of the College's Postgraduate Officers. Such applications should be made as far as possible in advance of the date when the change is to take effect. Official permission is necessary for all changes in conditions of study including suspension of study, change of Supervisor(s) or change to the subject of study or research, transfer to another degree, study off-campus outside Aberdeen and reduction or extension of the period of study. Application forms to request any of the above can be printed from the web at [www.abdn.ac.uk/registry/documents/download/PgForms.shtml](http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml)

**Please note that, as many changes to the period of study (suspension, extension, move to part-time etc.) affect the tuition fees charged, it is very important to keep the Registry informed.**

## 6.1 Normal minimum periods of study

For the degree of Doctor of Philosophy or the Degree of Doctor of Education – not less than 36 months full-time or 60 months part-time

For the degree of Master of Philosophy – not less than 24 months full-time or 42 months part-time

For the degrees of Doctor of Medicine and Master of Surgery – not less than 18 months full-time or 24 months part-time

For the degree of Doctor of Engineering – not less than 48 months full-time or 84 months part-time [36 months full-time or 60 months part-time for students admitted directly to the Project stage of the programme]

For any other Master's degrees – not less than 12 months full-time or 24 months part-time

**It is expected that students will normally submit their thesis by the end of their period of registered supervised study. An additional 12 month Extension Period is permitted for students who commenced study prior to 1 August 2010. For students who commenced study after 1 August 2010, a request to extend the period of study must be made (see section 6.5).**

## 6.2 Study off-campus

Research study may be undertaken either wholly within the University or in association with other research centres in the UK or overseas, provided that adequate supervision can be given.

**Regulations require full-time PhD and MPhil students to spend a minimum of 6 months in Aberdeen, and other full-time Master's students to spend a minimum of 3 months in Aberdeen.** Regulations do not require part-time students to be in Aberdeen. **Please note, however, that the Supervisor(s) may require students to spend additional periods of time in Aberdeen depending on the progress and nature of their studies.**

On application, the Supervisor(s), the School and the College Postgraduate Officer will decide whether off-campus study is viable and that adequate supervision can be provided during any periods spent off-campus.

An application form to request off-campus study can be downloaded at the following address: **[www.abdn.ac.uk/registry/download](http://www.abdn.ac.uk/registry/download) and must be submitted at least 6 weeks in advance of the start of the period of study off-campus.**

Research students working for any period off-campus must keep the Registry fully informed of the periods to be spent in Aberdeen and elsewhere. **Such students should also remember to complete eRegistration and request their ID card by post if they are going to be off-campus at the start of their studies or the start of a new academic year.** To request an ID card be posted out, students should email [postgraduate@abdn.ac.uk](mailto:postgraduate@abdn.ac.uk). Research students will be emailed each August to remind them to re-register and to inform them of the procedure to request a new ID card by post.

**Whilst off-campus, research students are still subject to normal monitoring of their progress.**

If the student is an international student holding a Tier 4 visa, the University must be satisfied that the request to study off-campus complies with the law regarding attendance requirements, before approval can be given.

## 6.3 Suspension of studies

During periods when students are unable to make progress with their studies due to medical reasons or other good cause, they may apply to Senate to suspend their studies for a fixed period. A request for suspension of studies for more than 12 months is not usually approved. Should a

further suspension beyond 12 months be required a new application must be made. Indefinite suspensions of study cannot be granted.

Each application will be considered on its own merit.

A suspension should be taken when a student is not engaged in research or work towards their degree. If a student is still engaged in research or work towards their degree, then a suspension may not be appropriate.

It is the responsibility of the student to keep any sponsor informed of the reasons for requesting a suspension of studies and, **in addition to University approval, approval must be sought from the sponsor.** This is particularly important for students funded by one of the Research Councils who expect doctoral students to have completed within four years of full time study. **Funded students should include with their suspension request form confirmation that approval has been sought from their funding body, where applicable. Students funded by the AHRC or the ESRC should contact the Registry regarding any application to suspend studies.**

During the period of suspension, tuition fees are not payable although full-time students would become liable for council tax. If all fees have already been paid to the University (including tuition, accommodation and library), students, or their sponsors where appropriate, will receive a refund for any periods of suspension in that academic year. Periods of suspension do not count towards the student's period of study, and the student's end date will be amended accordingly.

Students who suspend their studies are eligible to apply for registration as an Associate Student. Registration as an Associate Student costs £100 per academic year (or part year) and allows students to keep in touch with the University while their studies are suspended and have an ID card, access to the Library and borrowing rights, access to the Computing Centre and an e-mail account and access to student welfare/support facilities. Students should inform the Registry if they wish to have Associate Student Status whilst suspended from study.

An application form to suspend study is available from the Registry or can be printed from the web at [www.abdn.ac.uk/registry/documents/download/PgForms.shtml](http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml). Applications for suspension must be supported by both the Supervisor and the Head of School and approved by a College Postgraduate Officer. If the suspension is requested on medical grounds, medical certificates will be required. In all cases, an application for suspension should be made **prior** to the period for which suspension is to commence. Suspensions will not normally be approved retrospectively. International students studying at the University on a visa should refer to the terms of their visa when requesting a suspension of studies.

Examples of Good Cause for a suspension are given under section 6.6 below.

**International students studying at the University on a visa should refer to the terms of their visa when requesting a suspension of studies.**

#### **6.4 Extension to period of supervised study\***

Research students who need additional supervised study may apply for an extension to their period of registration. Full tuition fees are payable during extended periods of supervised study and it is the student's responsibility to ensure that financial support is available to meet the cost of fees and maintenance.

An application form to extend study can be printed from the web at: [www.abdn.ac.uk/registry/documents/download/PgForms.shtml](http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml)

Completed applications should be submitted to the Registry via the Supervisor and Head of School who should also indicate their support for the request. Senate may, on application, extend the period of supervised study if there are good grounds for doing so. Students who are

sponsored must submit with their application confirmation that their sponsor or funding body is willing to meet the costs of the additional period of supervised study.

(\* Supervised study is the period for which tuition fees are charged).

## 6.5 Extension to period of study following completion of supervised study

**It is expected that research students will normally submit their theses by the end of their period of registered supervised study.** (Supervised study is the period for which tuition fees are charged). Students registered prior to 1 August 2010 are, though, permitted an additional 12 month 'extension period' (previously writing-up period) for completion of the thesis, provided it does not run contrary to the requirements of their funding body. Changes to regulations for research postgraduate, approved by Senate on 10 February 2010, mean that students registered after 1 August 2010 are not automatically permitted a 12 month 'extension period' and must instead apply for a period of extension.

Students requiring additional supervision should complete a research student application for Extension to Supervised Study form, for which additional tuition fees are payable.

Research students approaching the end of their supervised study **must** complete an Application for Extension form three months prior to the termination of the period of supervised study. Students funded by one of the UK Research Councils, or other funding bodies, should note that they must comply with the requirement of their funding body as regards length of period of study and deadline for submission of thesis. It is the expectation of Research Councils that full-time PhD students funded by them should submit their thesis for examination within four years of starting their programme of research. If an extension is required this must be approved by the relevant Research Council in addition to having the approval of the University. **It is the responsibility of the student and the supervisor to keep the Research Council informed of any delays in submission.**

### 6.5.1 Normal periods of extension

Extensions can be granted up to a maximum of 12 months in the first instance, but the combined period of supervised study and Extension Period will not normally exceed the following:

<u>PhD</u>	48 months (for previously full-time students) or 72 months (for previously part-time students)
<u>EngD</u>	48 months (for previously full-time students) or 72 months (for previously part-time students)
<u>EdD</u>	48 months (for previously full-time students) or 72 months (for previously part-time students)
<u>MPhil, MD or ChM</u>	36 months (for previously full-time students) or 42 months (for previously part-time students)
<u>Other Master's</u>	24 months (for previously full-time students) or 36 months (for previously part-time students)

Hence, students admitted with a supervised period of 42 months (such as those funded by NERC etc.) would normally only be granted an Extension Period of 6 months in the first instance.

Students submitting an extension within the above time frames, following the completion of their supervised study, must be able to demonstrate evidence of progress in their research and make clear the feasibility of submitting their thesis within the period of extension being sought. A thesis plan must be submitted giving target dates for completion of each chapter. **Please note**, students requiring additional supervision should request an extension to their period of supervised study by completing an extension to supervised study form, and should note that additional tuition fees will be payable.

## 6.5.2 Exceptional periods of extension

Senate may, on the application of the candidate, extend the period of study and grant an “exceptional extension”, but will not do so **without good cause**.

Extensions beyond the above limits will only be granted in **exceptional** circumstances, namely, **where the candidate’s work has been hampered by medical or personal or unexpected academic circumstances or exceptional circumstances arising from employment for which supporting documentary evidence can be made available** (see section 6.6 for examples of what may constitute exceptional circumstances). Students submitting an application for an “exceptional extension” must, again, demonstrate clear evidence of progress and **must submit a thesis plan giving target dates for completion of each chapter**.

**In no case will any extension be approved beyond the following maximum periods of study, which include the supervised period of study:**

<u>PhD, EdD</u>	60 months (for previously full-time students) or 84 months (for previously part-time students)
<u>EngD</u>	60 months (for previously full-time students) or 84 months (for previously part-time students)
<u>MPhil, MD or ChM</u>	48 months (for previously full-time students) or 66 months (for previously part-time students)
<u>Other Master’s</u>	36 months (for previously full-time students) or 48 months (for previously part-time students)

## 6.6 Examples of good cause for an “exceptional extension” or suspension of studies

The following circumstances are **typical** of what **may** be considered grounds for applying an **exceptional extension or a suspension of studies**. The circumstances will either prevent the student from working altogether or severely affect his/her ability to work effectively.

- a. Serious physical or mental illness of the student;
- b. Death/serious illness of a partner, close family member or close friend;
- c. Unforeseeable or unpreventable events such as distress or injury caused by a serious accident; the affects of being a victim of a criminal act or the distress or serious disruption caused by fire, flood or other natural catastrophe;
- d. Serious personal problems such as relationship problems, family crises;
- e. Unexpected changes to the student’s source of funding (NB: students must ensure that they have the necessary funds before embarking on their degree);
- f. Breakdown of *essential* equipment where a student is unable to continue research and the use of alternative equipment is not possible;
- g. Delays in obtaining ethical approval where approval has been sought in good time;
- h. Jury service; military service;
- i. Maternity or adoption leave;
- j. Delays in progress due to unforeseen problems with the degree programme and/or working environment (e.g. moving of offices/buildings, supervisor(s) changes and unavailability etc.) which are outside of the student’s control. (NB: the problem **must** be reported to the appropriate School or College Graduate School at the time it occurs);
- k. Study leave necessary for the degree programme (other than official leave of absence for study at an approved institution or fieldwork – see section 5);
- l. Internship/work placement necessary for the degree programme.

**The following circumstances will not be regarded as grounds for applying for any extension or a suspension of studies:**

- m. The student or supervisor was unaware of policy and application procedures for interruptions and/or extensions for postgraduate degrees. It is ultimately the student's responsibility to ensure that they are aware of all policies and procedures relevant to their degree;
- n. Further primary research and/or laboratory work;
- o. Long-term holidays/vacations;
- p. Inadequate planning and time management;
- q. Normal pregnancy (excluding statutory maternity leave entitlement);
- r. Difficulties with English language (including delays as a result of proof reading);
- s. Computer or other equipment failure or theft where use of an alternative is possible or any loss of work was avoidable, except where the work is lost through the failure of University of Aberdeen systems as confirmed by School or University of Aberdeen IT department;
- t. Change in employment conditions: requests from part-time students who are working while studying may exceptionally be considered where a change in employment conditions was unforeseen. This will not normally be an acceptable reason for students in the submission pending or resubmission periods.

**In addition to the above, the following circumstance *will* not be regarded as grounds for applying for an extension:**

- u. Circumstances encountered during supervised study, which should have been dealt with at the time.

The final decision on whether a suspension or an extension is granted or not is at the discretion of the College Postgraduate Officer on behalf of the Senate.

## **6.7 Students submitting without approved extension**

Without an approved extension, a student will not be permitted to register. Nevertheless, students may be able to submit a thesis for examination if they are still within the maximum period of study for their degree but have not been granted an extension as they have not demonstrated exceptional circumstances for an extension to be awarded. A student submitting within the maximum period of study (see section 6.5.2), who has commenced their study after 1 August 2010, and who does not have an approved extension will be liable for a fee of £500 upon submission. This fee must be paid before the thesis can be examined.

## **6.8 Students submitting outside maximum periods of study**

A student who is beyond the maximum period of study for their research degree (see section 5.5), will not be permitted to register. Such a student will not normally be permitted to submit a thesis for examination, and may only do so if the thesis is bound and ready to submit and permission has been given by a College Postgraduate Officer on the recommendation of the relevant School. For students who commenced study after 1 August 2010, a fee will be payable on submission of the thesis. This fee will be one-third of the Home/EU full-time tuition fee rate for the academic year in which the student is submitting their thesis.

## **6.9 Failure to submit**

Students who fail to submit a thesis or, in the case of candidates in Fine Art, a thesis and exhibit or, in the case of candidates in Musical Composition, a portfolio of compositions by the deadline specified in the Regulations will be deemed to have withdrawn and will have their registration recorded as lapsed.

## **6.10 Withdrawal from study**

Where possible students should discuss their intention to withdraw with their Supervisor, Graduate School, Student Support staff or Registry staff member, the latter will advise the student when he or she completes a Withdrawal form at the Student Reception counter. Students withdrawing prematurely from study may or may not be entitled to a partial rebate of tuition fees paid, depending on the point in the academic year when they withdraw and also whether they have paid all accommodation, library, phone bills etc. to the University, where applicable. The Registry will assess whether any refund of fees is due. Students must submit a withdrawal form to the Registry shortly after the decision has been made to withdraw from study. The date of withdrawal will normally be the date the form is received by the Registry and will not normally be applied retrospectively. Tuition fees will be charged up until the date of withdrawal

## **7. Monitoring Progress**

### **7.1 Postgraduate Assessment Form**

All research students are subject to bi-annual monitoring assessments to ascertain whether progress has been satisfactory.

Assessment forms vary across the Colleges and will be circulated to supervisors for completion electronically or in hard copy. The assessment form should be completed by the Supervisor(s) and the student, and the Head of School.

It is a formal record of the student's progress and their generic skills training, and gives Supervisors, students and Heads of School an opportunity to comment on progress and supervision. It is thus very important that these forms are completed.

Students registered for research training programmes such as the MRes in Psychology or the MLitt in Visual Culture are exempt from completing the assessment form as long as they are completing Student Course Evaluation Forms at the end of each course taken.

### **7.2 Postgraduate Structured Management Framework**

Generic Postgraduate Structured Management Frameworks have been established for the degrees of PhD, MPhil and the one-year research Master's degree (full-time and part-time). It is intended that Schools and Colleges modify the Frameworks to suit their needs, while retaining a core element to ensure consistency of quality supervisory practice.

The Frameworks have three components:

- development of a strong interactive relationship between the research student and Supervisor(s);
- monitoring of the research student's progress and performance at the School level by the Head of School;
- ensuring the quality assurance of postgraduate progress, education, training and development across Schools by a University-wide monitoring system.

The Generic Frameworks are available at <http://www.abdn.ac.uk/registry/quality/appendices.shtml#section8>

### **7.3 Progression from year 1 to year 2**

The Postgraduate Structured Management Framework sets out the general University-wide criteria for the first year of research studies and progression from year 1 to year 2. In addition, some Colleges and Schools have developed more specific criteria.

Students should make an oral presentation of research between months 9 and 12 and by month 12 a formal report is required to be submitted to the Head of School with comment by the Supervisor(s). In some Schools/Colleges a School Postgraduate Progress Committee or School Research Committee will consider the first year report if necessary.

This report will help determine whether the student is allowed to progress to year 2 of the research degree.

#### **7.4 Progression from year 2 to year 3**

The requirements of year 2 and progression to the third year of the PhD are set out in the Postgraduate Structured Management Framework. A second formal report is required to be submitted by month 24 which will determine whether a student progresses to the third year of PhD study.

#### **7.5 Guidelines to be followed when dealing with postgraduate research students making unsatisfactory progress**

Using the Postgraduate Structured Management Framework, the formal bi-annual Research Student Assessment Forms, together with any additional School standard practices (e.g. interim 3-monthly reports, presentations, School Research Committee, etc), Schools will be able to monitor a research student's progress.

Where a research student's progress is flagged as "unsatisfactory" in the bi-annual assessment form, Heads of School (or Heads of Graduate School in cases where supervisors are also the Head of School) would be contacted by the Graduate School and asked to meet with the student.

General Regulation 17 for Research Degrees states that "Senatus Academicus shall in respect of candidates admitted for degrees by research obtain at bi-annual intervals reports as to whether their progress has been satisfactory. If Senatus Academicus is of the opinion on consideration of the reports that a candidate's progress is unsatisfactory, it shall have the power to recommend to the Senate that their candidature for the degree be discontinued."

The following procedures relate to the above regulation:

##### **7.5.1 Initial warning**

When a School has decided that a postgraduate student's performance, or lack of attendance/contact, is giving rise to concern and has reached the stage beyond which an informal word of encouragement will suffice, the student should be warned formally that his/her performance and/or attendance is such that, if not improved, he/she may be asked to discontinue study. This should be done by the Head of School or, where appropriate, School Research Committee or Postgraduate Progress Committee and will normally take the form of an interview. The warning should immediately be followed by a letter to the student from the Head of School, setting out dates when particular targets must be achieved. It might also stipulate required attendance on specific training courses. The letter should also include details of support the School might provide, e.g. stipulate regular meetings with the Supervisor(s). Ideally dates by which targets should be achieved should be agreed in writing in conjunction with the student, Supervisor(s) and Head of School.

A copy of the letter should be sent to the Registry. The letter will be shown to the relevant College Postgraduate Officer but the Registry will not at this stage take any action other than to place the warning letter in the student's personal file.

If the student wishes to meet with a College Postgraduate Officer this can be arranged through the Registry.

### **7.5.2 Formal consideration**

Should the student's performance not improve the Head of School should write to notify the relevant College Postgraduate Officer (through the Registry), recommending that the student's studies be terminated in accordance with General Regulation 18 for Research Degrees. Full details should be provided of the supervision and training provided to date, including reports of any meetings with the student to discuss progress, and details of the monitoring procedures applied by the School.

If, on behalf of Senate, the relevant College Postgraduate Officer upholds the School's recommendation to discontinue study, the student will be informed in writing by the Registry and advised of the right to submit an academic appeal (see section 15.2 for further details).

### **7.6 Attendance monitoring procedures**

In order to be eligible to submit themselves for examination, students must have a Class Certificate for the course in question. A Class Certificate is confirmation that a candidate has duly performed the work prescribed for a course. There is no physical certificate. A student who has been validly registered for a research programme, and who has not withdrawn from that programme prior to their viva examination (or been deemed to have withdrawn, in accordance with Regulation 21 of Schedule A General Regulations for Research Degrees, or to have had their class certificate refused), is regarded as having obtained a Class Certificate for that course automatically.

The University operates a monitoring system for all research postgraduate students to identify students who may be experiencing difficulties with their studies. If a student's supervisor is concerned with his/her attendance they will inform the Registry who will then contact him/her directly by e-mail to seek an explanation regarding the absence. Failure to meet the attendance requirements for a course may result in the Class Certificate for that course being refused. Full details of the University's monitoring procedures can be found here: <http://www.abdn.ac.uk/registry/monitoring.shtml>.

Except with the permission of Senate, candidates shall not be permitted to present themselves for the assessment of a research degree unless they have obtained a Class Certificate. Unless good cause is demonstrated, students who have not met the expected attendance and monitoring requirements will be refused a Class Certificate. Students not granted a Class Certificate under these circumstances will be barred from appearing for the assessment for the degree and will be withdrawn from study. It shall be for Senate to determine what constitutes good cause for absence.

## **8. Responsibilities of College Postgraduate Officers, Heads of Graduate School, Heads of School, Supervisors and Research Students**

The following describes the responsibilities of the Senate and its Quality Assurance Committee, Schools and Supervisors as regards supervising postgraduate students who are taking a degree by research, and the parallel responsibilities of students. It does not state or replace regulations, but does attempt to summarise the University's practice.

## 8.1 The Senate and the Quality Assurance Committee

Senate has ultimate responsibility for the assurance of the quality of the University's courses and programmes of study and for maintenance of the academic standards of the associated awards, but the powers prescribed under the various higher degree regulations are exercised on its behalf by the Quality Assurance Committee. The Committee has in turn delegated to College Postgraduate Officers the day-to-day responsibility for several administrative functions.

## 8.2 College Postgraduate Officers

College Postgraduate Officers have been appointed to represent each area of study of the University. Through the Registry they deal with all administrative matters relating to the admission, progress and examination of individual students. College Postgraduate Officers can be contacted through the Registry (email: [postgraduate@abdn.ac.uk](mailto:postgraduate@abdn.ac.uk))

### ***College Postgraduate Officers are responsible for:-***

- sampling applications for admission submitted by Colleges, checking that candidates for admission to higher degrees have the requisite qualifications
- checking the sample to ensure that appropriate conditions of admission, if any, were requested
- considering applications for admission referred to them
- monitoring the six-monthly Postgraduate Assessment Forms in regard to students' progress
- considering changes of degree and/or subject
- considering changes of status (e.g. registration from full-time to part-time and vice-versa or suspension of study)
- approving changes of Supervisor and/or School/Discipline
- attending to queries, problems and complaints, either referred to them by Heads of School or Supervisors, or raised directly by students
- recommending the appointment of examiners on the nomination of Heads of School
- receiving the reports of examiners
- approving degree results in the light of examiners' reports and recommend to the Senate the conferral of awards as appropriate.

## 8.3 Heads of Graduate School

Heads of Graduate School oversee all aspects of the administration of the Graduate School. They are responsible for oversight of the delivery of training, and the maintenance of standards and for representing the interests of postgraduate students in the senior committees of the College and the University.

### ***Heads of Graduate School or their representatives are responsible for:-***

- promoting excellence in postgraduate teaching and research
- ensuring that a first class structure for postgraduate student training and assessment is provided
- overseeing comprehensive postgraduate training including transferable and generic skills, and research techniques
- acting as a central repository of information, maintaining important databases including courses, supervisors, research project areas, postgraduate students' details, studentships and other sources of funding
- ensuring facilities and support for postgraduate students are provided
- ensuring that training for supervisors is provided
- overseeing the management of postgraduate research student's training and supervision

- overseeing monitoring of research students' progress
- overseeing marketing and recruitment in consultation with the Student Recruitment and Admissions Service.

#### **8.4 Heads of School**

Heads of School are in charge of all matters pertaining to the running of their Schools, but they may delegate their powers in respect of postgraduate students, as appropriate, and seek the advice of a School/College Postgraduate Committee (or equivalent).

##### ***Heads of School or Heads of Discipline or their representatives are responsible for:-***

- responding to all enquiries relating to postgraduate research in their School
- receiving applications for admission and recommending acceptance or rejection and any conditions of entry
- nominating Supervisors in the light of students' interests and the School expertise
- applying the Postgraduate Structured Management Frameworks to meet the needs of their School and ensure that research students and their Supervisors are issued with the relevant Framework (i.e. for full-time or part-time study)
- facilitating students obtaining research training, language tuition, and necessary skills
- approving facilities, support and materials as needed for postgraduate research
- ensuring that Supervisors and research students are acquainted with all relevant safety regulations and procedures, and that research students receive appropriate training and supervision when following any course of action or using any technique which might be deemed hazardous or dangerous
- ensuring that disabled students do not receive less favourable treatment and that relevant reasonable adjustments are made. These should be discussed with the University's Senior Disability Adviser
- monitoring students' progress through the six-monthly Postgraduate Assessment Forms and meet with research students deemed as "not satisfactory" with regard to progress
- monitoring supervision and ensuring that Supervisors perform their duties appropriately
- attending to queries, problems and complaints either referred to them by Supervisors, or raised directly by students
- recommending changes of degree registration and/or subject
- recommending changes of status (from full-time to part-time and vice-versa or suspension of study)
- recommending changes of Supervisor and/or discipline
- nominating internal and external examiners
- recommending that a candidate's registration be terminated, where appropriate.

#### **8.5 Lead Supervisors**

Lead supervisors have primary responsibility for providing guidance to research students in the choice of a suitable field for research or topic for a dissertation, bearing in mind that the research must be capable of completion within the period of study allocated to the degree. Supervisors should seek to encourage choice of a research topic as early as possible in the student's period of research.

Lead supervisors are responsible for providing guidance about the nature and techniques of research, about the standard expected for the degree, about the planning of the research programme, about literature and sources and about required attendance at taught classes, about the copyright implications of working on certain subject areas, in particular given the requirement for the electronic publication of theses, and about the embargoes of work where publication would have commercial, professional, legal or ethical consequences again in particular given the requirement for the electronic publication of theses.

## **Supervisors must:-**

### **1. Quality Assurance**

- 1.1 know the regulations governing higher degrees
- 1.2 attend training courses in supervision as appropriate
- 1.3 comply with the requirements of the University's Postgraduate Structured Management Framework, and College-specific procedures, in relation to the training, supervision and monitoring of research students
- 1.4 submit bi-annual Postgraduate Assessment Forms to the Head of School, and meet with the Head of School and research student where the student is deemed as "not satisfactory" with regard to progress
- 1.5 ensure that their workload is such as to allow adequate time to be given to each supervised student.
- 1.6 advise the Head of School of any lack of resources which may prevent the student from completing his or her study within the period of study
- 1.7 keep the Head of School informed about progress or potential problems
- 1.8 advise on extensions of study or suspension of study as appropriate

### **2. On admission of the student**

- 2.1 arrange a meeting between the student and the supervisory team to take place as soon as possible after the student's arrival in Aberdeen
- 2.2 advise the student on the choice of research topic in the light of what is appropriate for the degree and the present state of knowledge, and outline the scope of the project at the initial supervisory meetings, in line with what is detailed in section x
- 2.3 advise on a topic which can be satisfactorily completed within the specified time and within the specified word limit
- 2.4 give guidance about planning the research programme, about literature and sources, and about requisite skills
- 2.5 advise the student on regulations governing research degrees and on the monitoring procedures in place and the University's Postgraduate Structured Management Framework
- 2.6 ensure that the research student has the opportunity to become acquainted with all relevant safety regulations and procedures, and that he or she receives appropriate training and supervision when following any course of action or using any technique which might be deemed hazardous or dangerous.
- 2.7 offer welfare support where required, and if necessary advise that the student contact Student Support Services as appropriate
- 2.8 ensure that disabled students do not receive less favourable treatment and that relevant reasonable adjustments are made. These should be discussed with the University's Senior Disability Adviser.
- 2.9 ensure that a student from overseas has the necessary linguistic and other skills to ensure profitable use of his or her time and experience, and take steps to assist those in need of support to obtain help from the appropriate University section

### **3. During the research degree programme**

#### **3.1 Support**

- 3.1.1 maintain regular contact through supervisory meetings, or by electronic means if the student is off-campus for any periods (what is expected is defined more closely by Schools in the light of the demands of the subject)
- 3.1.2 maintain reasonable accessibility so that advice may be offered at other times, and arrange an alternative point of contact when away for protracted periods.

- 3.1.3 request written work on a regular basis, as appropriate
- 3.1.4 return such work with constructive criticism within a time period to be agreed with the student that does not impede the student's progress
- 3.1.5 work collaboratively with other supervisors when involved in a supervisory team
- 3.1.6 work collaboratively with advisers
- 3.1.7 agree notes of formal meetings with the student
- 3.1.8 give detailed advice about completion dates, and about pacing the work so that the whole thesis may be submitted within the scheduled period (it is expected that students will normally submit their thesis within their period of registration)
- 3.1.9 advise on other members of staff or experts in the field whom the student might consult
- 3.1.10 assist and give guidance for student to complete assessments as required by College monitoring procedures
- 3.1.11 encourage and arrange, as appropriate, for the student to present papers to graduate seminars, staff seminars and conferences
- 3.1.12 ensure that appropriate steps are taken to find alternative arrangements should other members of the supervisory team, i.e. assistant supervisors or advisers, need to be replaced
- 3.1.13 ensuring that undocumented absences are reported in accordance with College monitoring procedures

## **3.2 Ethical Issues**

- 3.2.1 Explain best research practice and ethical considerations as early as possible in the student's studies
- 3.2.2 advise on ethical issues relating to the conduct of the research (including how to obtain the approval of relevant ethics committees if appropriate)
- 3.2.3 advise on honest and fair dealing with the work of others quoted or paraphrased in the written work of the student
- 3.2.4 consult with the student on the appropriate recognition of the student's contribution to research publications, taking into account the University's policy on Intellectual Property Rights (Section 11 refers).

## **3.3 Assessing**

- 3.3.1 ensure that the student has adequate opportunities to become aware of the standards required, and the standards being attained
- 3.3.2 advise on whether and when a student should request a transfer to a higher degree (e.g. MSc to PhD)
- 3.3.3 advise whenever progress or standards of work are below what are generally expected and the implications of unsatisfactory progress (e.g. transfer to a lower degree or termination of studies) as soon as the issue arises

## **3.4 Skills training**

- 3.4.1 undertake a skills audit with their student at the beginning of their programme of study, and annually thereafter throughout their prescribed period of study to determine the student's research, transferable and generic skills requirements.
- 3.4.2 determine what training in research methods and skills and further education in the subject are required by the student, and, in consultation with the Graduate School, seek approval from the Head of School/Discipline for proposals to obtain the necessary training and support, as part of Personal Development Planning
- 3.4.3 Ensure that the student has access to the required skills training and development opportunities and agree with the student a programme of skills training

#### **4. Nearing completion**

- 4.1 advise on career and professional development
- 4.2 discuss CV-writing and job applications, and direct the student to skills training courses and the Careers & Appointments Service
- 4.3 try to ensure by advice and encouragement that the thesis is submitted within the specified time and within the specified word limit
- 4.4 receive and comment on the final draft of the thesis
- 4.5 offer advice and training as required for the oral examination
- 4.6 submit nominations for the internal and external examiners to the Head of School
- 4.7 assist research students throughout their period of supervised research and for up to twelve months thereafter during the writing up of the thesis (or to completion if sooner)
- 4.8 assist student appropriately during the period of corrections following the student's viva, both in the case of minor corrections or a full resubmission.

#### **8.6 Assistant Supervisors**

Assistant supervisors have an equal role and responsibility to the lead supervisor with respect to supervision of the student's work; thus a co-supervisor should participate in much of the responsibilities outlined for lead supervisors in section x. However, it is normally the principal supervisor's task to deal with the administrative aspects of supervision, such as ensuring that monitoring forms are completed. One of the main responsibilities of the assistant supervisor is to act as temporary lead supervisor in the event of the departure or absence, or long term illness of the lead supervisor, or in the event of a breakdown in supervisor relationship between the lead supervisor and the student. Where appropriate, and with agreement between supervisors, assistant supervisors may share administrative duties of the lead supervisor.

Assistant supervisors should be present at the early meetings in which the initial scope of the project is established, and will be expected to review and provide feedback on assessment submitted by the student for monitoring or progression purposes throughout the student's study. Assistant supervisors should normally be present at supervisory meetings with the student, but, in the event that he or she is unable to attend in person, they must keep informed of the outcome of meetings.

#### **8.7 Advisers**

Advisers will not normally have supervisory input into a student's research and need not be a subject-specialist in the area that the student is researching. The primary function of an adviser is to fulfil the role of someone that the student can approach for pastoral support and assist in helping the student to contact the appropriate student support service if required. An adviser provides another point of contact other than the supervisor who the student can approach to discuss any concerns or seek advice on a confidential basis, in particular, but not exclusively, when the supervisor is absent. Advisers will also be expected to have knowledge of University regulations governing research degrees and will be able to advise students on the correct procedures and offer guidance in regard to changes in terms of study, i.e. suspensions, withdrawals etc. Colleges may have further specific requirements of advisers.

Advisers must:

- not be someone directly involved in the student's research project and not direct a student's research
- meet with the student as soon as possible after the commencement of their study
- provide pastoral support and liaise on behalf of students with relevant University staff as appropriate (eg the Registry, the University's or School's Disability Co-ordinator)
- the adviser should meet the student at about six-monthly intervals minimum (more often if wished).

- advise on administrative procedures in regard to changes in a student's terms of study
- maintain an oversight of a student's progress through their degree and discuss any potential concerns with the student supervisor(s)
- become familiar and keep up-to-date with the University's policies and procedures with respect to the provision of academic and personal support to students: this includes becoming familiar with related University services (eg Students' Association (SA); Counselling Service; Old Aberdeen Medical Practice; Careers Service; the Chaplaincy Centre; the Disabilities Adviser), and the University's various codes of practice and guidance notes (eg with respect to discipline and academic appeals)
- ensure appropriate steps are taken to find alternative arrangements should the lead supervisor need to be replaced, in the case that there are no assistant supervisors appointed who can take on the role of lead supervisor on a temporary basis. In the case where an assistant supervisor is able to take on the role of lead, the adviser must retain an oversight of the process of appointing a new supervisor to ensure that it is completed appropriately and in a timely fashion.

## 8.8 Research Students

**Research students** will greatly benefit from the advice and direction of good supervisors, but **ultimately are responsible for their own research and their thesis**. The University strongly advises students to submit their thesis before the expiry of their period of supervised study, and degree regulations require that they do so within twelve months from the end of this period. The timely completion of the degree will greatly enhance employment prospects. Extensions beyond the normal period of supervised study plus twelve months must be applied for, and are not granted without good reason.

### ***Research students must:-***

#### **1. Quality Assurance**

- 1.1 be familiar with the requirements of the University's Postgraduate Structured Management Framework and discuss these with their supervisor(s) as appropriate
- 1.2 discuss the six-monthly Postgraduate Assessment Forms with their supervisor(s) and counter-sign as appropriate
- 1.3 submit six-monthly Postgraduate Assessment Forms to their Head of School, and if deemed as "not satisfactory" with regard to progress meet with their Head of School and supervisor
- 1.4 submit yearly supervision questionnaires to the Registry (at annual registration)
- 1.5 recognise that although the University aims to provide a welcoming and supportive environment for the conduct of research studies by postgraduate students, from time to time students will encounter academic problems and difficulties. In the first instance they should raise them with their supervisor(s), but if this is not appropriate they should see their Head of School or Graduate School. Particularly when their Head of School is also their supervisor they may wish to contact the Graduate School or relevant College Postgraduate Officer (via the University Registry).
- 1.6 accept that when a student's research interests diverge from what s/he originally intended, it might be appropriate to be allocated to a new supervisor (although all that may be necessary is to look for informal advice from other members of the University); again the correct approach is to discuss the situation with the current supervisor, then the Head of School/Discipline, Graduate School and then the relevant College Postgraduate Officer (via the University Registry) if necessary.

## **2. On admission**

- 2.1 Register at the start of their studies and do so annually **even if they are studying off-campus or are part-time**
- 2.2 define the area of their research in consultation with their supervisor(s)
- 2.3 agree a research topic with their supervisor(s) as soon as practicable
- 2.4 seek approval for their research topic via their supervisor(s) or Head of School
- 2.5 ensure that they have understood the University's guidelines on good research practice (see section 10)
- 2.6 ensure that they have been introduced to their Personal Development Plan (see section 9)
- 2.7 ensure that they are thoroughly acquainted with all relevant safety regulations and procedures, and have received training before following any course of action or using any technique which might be deemed hazardous or dangerous

## **3. During the research degree programme**

### **3.1 Studies**

- 3.1.1 agree a timetable for the conduct of their research
- 3.1.2 maintain progress in accordance with the plan agreed with their supervisor
- 3.1.3 agree a schedule of meetings with their supervisor(s), write up notes of these meetings and agree them with their supervisor(s)
- 3.1.4 discuss work and progress with their supervisor(s)
- 3.1.5 submit written work as and when required by their supervisor
- 3.1.6 keep a written record of their work in a research notebook that can be reviewed
- 3.1.7 take the initiative with their supervisor(s) in defining and raising problems or difficulties
- 3.1.8 attend courses as specified by their Graduate School with the agreement of their supervisor(s) and/or Head of School/Discipline
- 3.1.9 agree with their supervisor(s) a plan and timetable for the writing of the thesis

### **3.2 Ethical Issues**

- 3.2.1 obtain approval of their research from ethics committees where appropriate
- 3.2.2 consult with their supervisor on the appropriate recognition of their contribution to research publications in accordance with the University's policy on Intellectual Property Rights (see Section 11)
- 3.2.3 attend training on the University's Policy and Guidelines on Good Research Practice

### **3.3 Skills Training**

- 3.3.1 define their training and educational needs and discuss them with their supervisor(s), as part of PDP planning (see section 9).
- 3.3.2 Undertake, with their supervisor(s), a skills audit at the beginning of their programme of study, and annually thereafter throughout their prescribed period of study to determine research, transferable and generic skills requirements.
- 3.3.3 Attend a programme of skills training as agreed with their supervisor(s)

## **4. Nearing Completion**

- 4.1 be aware that the thesis is their own work and responsibility
- 4.2 accept that while their supervisor(s) will give advice, constructive feedback and other guidance, they must take ultimate responsibility for the final version of their thesis
- 4.3 decide whether or not to accept any advice or suggestions given by the supervisor(s)

- 4.4 decide when to give notice of intention to submit, taking due account of their supervisor's opinion (which is, however, only advisory)
- 4.4 present the final draft of their thesis to their supervisor
- 4.5 ensure timely submission of the thesis for examination.
- 4.6 seek advice on preparation for the oral examination.

## **9. Generic Skills Training for Postgraduate Research Students**

The acquisition and development of personal transferable, employment-related and generic research skills is an important part of postgraduate research training. Courses covering a wide range of these skills are available to postgraduate research students.

All research students must undertake a skills audit at the beginning of their programme of study, and annually thereafter throughout their prescribed period of study to determine research, transferable and generic skills requirements.

Programmes are regularly reviewed to create maximum opportunity for learning.

In addition to University-run courses, each Graduate School also provides training courses for its research students. Research students should discuss with their supervisor during the first month of their studies and on an ongoing basis throughout their studies which courses they should attend. Some courses are compulsory and students should check with their Graduate School and/or School which ones they must attend. Students will be given full details at induction with their Graduate School.

The Research Councils ([www.rcuk.ac.uk](http://www.rcuk.ac.uk)) have produced a joint statement of the skills that doctoral research students would be expected to develop during their training (Appendix 1).

In October 2005 Personal Development Plans (PDP) were introduced for all new first year research students as a basis for generic skills development planning. Using the personal development planning process will help students plan their research methods, programmes and learning in terms of what to do, how to do it and when to do it. It is a means of target setting, progress monitoring and general academic feedback. Information about PDPs is available at: <http://www.abdn.ac.uk/sfre/pdp>. Additionally Graduate Schools will provide new research students with information about PDPs at induction.

## **10. Research conduct**

### **10.1 Policy and Guidelines on Good Research Conduct and Statement on the Handling of Allegations of Unacceptable Research Conduct**

(Revised and approved by the Advisory Group on Research Ethics and Governance in March and June 2010 to conform to RCUK Policy & Code of Conduct on the Governance of Good Research Conduct)

#### **INTRODUCTION**

The University of Aberdeen expects that all its research activities will be conducted to the highest standards of integrity. This includes the publication of materials, preparation of conference papers and the conduct of peer review, whether internally or externally. This document indicates the standards of good research conduct which are required to be adopted throughout the University and which are intended to satisfy the requirements of all funding authorities.

The Policy and Guidelines apply to all individuals involved in research, including visiting researchers, research support staff, students and research managers and administrators. Researchers should also adhere to the highest level of research ethics, in line with

requirements set out by national and international regulatory bodies, professional and regulatory research guidance, and research ethics frameworks issued in appropriate areas.

The onus lies with researchers to establish that they have met the highest standards that could reasonably be expected of them. Good research conduct will be promoted and promulgated throughout the University by senior managers including Vice-Principals, Heads of Colleges, Directors of Research and Heads of Schools/Departments and Supervisors. The Policy and Guidelines, and their compliance in Colleges, will be reviewed annually by the University Advisory Group on Research Ethics and Governance. The aim is to promote integrity and rigour in research conduct, and to create a culture in which the following will be understood and observed:

- Integrity in research;
- Openness in research;
- Role of professional bodies;
- Leadership and supervision in research;
- Management and ownership of research including appropriate record-keeping;
- Ethical practice in research;
- Risk of research misuse;
- Publication practice.

**This document should be read in conjunction with the University Statement on the Handling of Allegations of Unacceptable Research Conduct.**

## **INTEGRITY IN RESEARCH**

Researchers must be honest and open in respect to their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research work, including experimental design, generating and analysing data, applying for funding, publishing results and acknowledging the direct and indirect contributions of colleagues, collaborators and others. Plagiarism, including self-plagiarism<sup>1</sup>, deception or the fabrication or falsification of results will be regarded as unacceptable research conduct and will be treated as gross misconduct under the terms of the University's disciplinary procedures. Researchers are encouraged to report cases of suspected unacceptable conduct to their supervisors, Head of School/Department or Head of College and to do so in a responsible and appropriate manner. (See also *Code of Practice on Whistleblowing* <http://www.abdn.ac.uk/hr/uploads/files/whistleblowing.pdf>)

Researchers are required to declare any real or potential conflicts of interest in their research work, and to seek assistance, if required, from their direct supervisor in the most effective way of managing any such conflict.

## **OPENNESS IN RESEARCH**

While recognising the need for researchers to protect their own research interests, the University encourages all researchers to be as open as possible in discussing their work with others and with the public. Once results have been published, the researchers are expected to make available relevant data and materials to other researchers on request, provided that this is consistent with any ethical approvals and consents which cover the data and materials and any intellectual property rights. The University will normally grant access to its own collections, taking account of all ethical and other relevant issues. In return it would hope that research results would be deposited with the appropriate collection.

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<sup>1</sup> *Self plagiarism occurs when the creator of a work uses that work, or parts of it, in subsequent research papers or other output, without appropriate acknowledgement that the material has previously been published.*

The University recognises that publication of the results of research may need to be delayed for a reasonable period pending protection of intellectual property arising from the research. However, any such period of delay in publication should be kept to a minimum.

## **ROLE OF PROFESSIONAL BODIES**

The University expects researchers to observe the standards of research practice set out in codes and guidelines of publishers, scientific and learned societies, and other professional bodies. All researchers should take the necessary steps to adhere to the legal and other requirements that regulate their work. They should also adhere to the highest level of research ethics, in line with national and international regulatory bodies, professional and regulatory research guidance, and research ethics frameworks issued in appropriate areas.

## **LEADERSHIP AND SUPERVISION IN RESEARCH**

The University expects senior researchers to ensure that a climate of mutual co-operation is created in which all members of a research team or an individual are encouraged to develop their skills, and in which the open exchange of ideas, and appropriate acknowledgement of the direct and indirect contributions of others is fostered. The University will ensure that appropriate direction of research and supervision of researchers through heads of school/department is provided. Training in supervisory skills will be provided where appropriate. The University's Research Staff Development Programme for research staff provides a basis for such supervision.

Supervisors are required to supervise all stages of a research process, including outlining or drawing up a hypothesis, preparing applications for funding, protocol design, data recording and data analysis. It is the responsibility of the research supervisor to explain best research practice and ethical considerations as early as possible. All researchers should undertake appropriate training, for example, in research design, regulatory use, ethics, confidentiality, record keeping and data protection and management. To assist in these matters all new researchers will receive the University of Aberdeen Policy and Guidelines on Good Research Practice within the first month. In addition, all research staff will have a contractual right to at least 3 days of training per year.

Postgraduate students undertaking research should receive training in the University's Policy and Guidelines on Good Research Conduct at their induction and throughout their programme of study. It will be a condition of their transition beyond their first year that they have been trained in good research practice and satisfactorily understood the University's Policy and Guidelines (see also the *University Code of Practice for Research Students, Supervisors, Heads of School, Heads of Graduate School and College Postgraduate Officers* and the *Code of Practice for Postgraduate Taught Students, Programme Co-ordinators, Heads of School, Heads of Graduate School and College Postgraduate Officers*).

## **MANAGEMENT AND OWNERSHIP OF RESEARCH**

At the outset of any research, researchers should be clear on management and ownership of

- data and samples used or created in the course of the research; and
- the results of the research.

Researchers are required to seek guidance from their immediate supervisor if clarity is needed on any aspect of such management or ownership

All researchers must keep clear and accurate records of the procedures followed and approvals granted during the research process, including records of the interim results obtained as well as of the final research outcomes. This is necessary not only as a means of demonstrating proper research practices, but also in case questions are subsequently

asked about either the conduct of the research or the results obtained. The maintenance of accurate records is also important for potential subsequent commercialisation of research. Researchers must adhere to the University *Guidelines on Keeping of Research records* (<http://www.abdn.ac.uk/ppg/index.php?id=69&top=68>).

Data generated in the course of research must be kept securely in paper (e.g. lab book or equivalent) or electronic format, as appropriate and in accordance with good practice in the storage of primary data, record-keeping and ethical issues. Back-up records should always be kept for data stored on a computer. Guidance on retention periods can be found in the University's Retention Schedules (<http://www.abdn.ac.uk/central/records-management/retention-schedules.pdf>) and taking account of guidelines published by scientific and learned societies, and other professional bodies.

## **ETHICAL PRACTICE IN RESEARCH**

All researchers must adhere to the University Research Ethics Framework (<http://www.abdn.ac.uk/ppg/index.php?id=69&top=68> )

### **i. Research involving human participants**

Approval from the appropriate research ethics committee is required for all research involving human participants or biological samples. Approval from other regulatory bodies such as the Human Fertilisation and Embryology Authority or the Gene Therapy Advisory Committee in the UK should also be sought where necessary.

Researchers should ensure the confidentiality of personal information relating to the participants in research, and that the research fulfils any legal requirements such as those of the Data Protection Act 1998.

### **ii. Research involving animals**

All research involving the use of animals must have the appropriate approval through the University Biological Services Ethical Review Committee. Such research may require Home Office licences for the investigator and the project. Researchers must consider, at an early stage in the design of any research involving animals, the opportunities for reduction, replacement and refinement of animal involvement (the three Rs).

### **iii. Research involving oral data collection**

Research involving the collection, preservation and use of sound and video oral material must conform to relevant ethical and technical practice.

## **RISKS OF RESEARCH MISUSE**

In progressing their investigations, researchers must actively consider any risk that their research could potentially generate outcomes which could be misused for harmful purposes. Research which involves potentially harmful agents, or which generates knowledge which might be misused should be identified as a risk. As examples, this might be research which demonstrates how to render a vaccine ineffective, or research which enables weaponization of a biological agent or toxin. Where such risks exist, they should seek advice as to the steps to be taken to minimise such risks from the relevant College Director of Research.

## **PUBLICATION AND AUTHORSHIP PRACTICE**

Results of research should be published in an appropriate form consistent with the academic discipline. It is the responsibility of the lead author to ensure familiarity with the appropriate

form. No paper, abstract, report or other output should be submitted without the permission of every individual named on the output, and no person should be named as a contributor without their consent. Anyone who consents to being listed as an author on a paper should accept responsibility for ensuring that they are familiar with the contents of the paper and can identify their contribution to it.

The University of Aberdeen must be correctly named in the address for a publication

The practice of honorary authorship is unacceptable.

The contribution of formal collaborators and all others who directly assist or indirectly support the research must be properly acknowledged.

## 10.2 Statement on the Handling of Allegations of Unacceptable Research Conduct

(Revised and approved by the Advisory Group on Research Ethics and Governance in March and June 2010 to conform to RCUK Policy & Code of Conduct on the Governance of Good Research Conduct)

This statement should be read in conjunction with the University's Policy and Guidelines on Good Research Conduct. Where international collaborative research is involved, the guidance provided by the OECD Global Science Forum on Investigating Research Misconduct Allegations in International Projects (A Practical Guide April 2009) will also be considered.)

### 1 DEFINITION OF UNACCEPTABLE RESEARCH CONDUCT

1.1 Unacceptable Research Conduct' is defined by the University as:

- **Fabrication**, including the creation of false data and other aspects of research, including documentation and participant consent
- **Falsification**, including the inappropriate manipulation and/or selection of data, imagery and/or consents
- **Plagiarism** is the use, without adequate acknowledgment, of the intellectual work of another person. A researcher cannot be found to have committed plagiarism where it can be shown that they have taken all reasonable care to avoid representing the work of others as his or her own.
- **Misrepresentation** including;
  - misrepresentation of data, such as suppression of relevant findings and/or data, or knowingly, recklessly or by gross negligence, presenting a flawed interpretation of data
  - undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication
  - misrepresentation of interests, including failure to declare material interests either of the researcher or of the funders of the research
  - misrepresentation of qualifications and/or experience, including claiming or implying qualifications or experience which are not held
  - misrepresentation of involvement, such as inappropriate claims to authorship and/or attribution of work where there has been no significant contribution, or the denial of authorship where an author has made a significant contribution
- **Mismanagement or inadequate preservation of data and/or primary materials** including failure to
  - keep clear and accurate records of the research procedures followed and the results obtained including interim results
  - hold records securely in paper or electronic form

- make relevant primary data and research evidence accessible to others for reasonable periods after the completion of the research (*data should normally be preserved and accessible for 10 years but for projects of clinical or major social, environmental or heritage importance, for 20 years or longer*)
  - manage data according to the research funder's data policy and all relevant legislation
  - wherever possible, deposit data permanently within a national collection
- **Financial impropriety in accounting for research funds, intentional unauthorised use,**
  - **Disclosure or removal of, or damage to, research-related property of the University or of another,** including apparatus, materials, writings, data, hardware or software or any other substances or devices used in or produced by the conduct of research.
  - **Breach of Duty of Care (deliberately, recklessly or by gross negligence)** including
    - disclosing improperly the identity of individuals or groups involved in research without their consent, or other breach of confidentiality
    - placing any of those involved in research in danger, whether as subjects, participants or associated individuals, without their prior consent, and without appropriate safeguards even with consent; including reputational danger where that can be anticipated
    - not taking all reasonable care to ensure that the risks and dangers, the broad objectives and the sponsors of the research are known to participants or their legal representatives, to ensure appropriate informed consent is obtained properly, explicitly and transparently
    - not observing legal and reasonable ethical requirements or obligations for the care of animal subjects, human organs or tissue used in research, or for the protection of the environment
    - improper conduct in peer review of research proposals or results (including manuscripts submitted for publication); this includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material; and breach of confidentiality or abuse of material provided in confidence for peer review purposes
    - Failure to follow established protocols
- 1.2 It does not include honest error or honest differences in the design, execution, interpretation or judgement in evaluating research methods or results, or unacceptable research conduct unrelated to the research process. Similarly it does not include poor research unless this encompasses the intention to deceive.

## **2 THE UNIVERSITY'S ATTITUDE**

- 2.1 The University will investigate all allegations of unacceptable research conduct made against its staff and students. Such allegations against staff must be made in writing and addressed to the Secretary to the University. The Secretary will arrange for the allegations to be investigated by a small committee convened by a Vice-Principal (normally the Vice-Principal with responsibility for research) and including, where appropriate, the relevant Head of College, Head of School/Department and a subject specialist, who may be a member of staff or an external assessor invited to assist with the investigatory process. In undertaking the investigation the Committee will follow the General Principles of the University's Disciplinary Procedures, and where necessary, will consult with the Director of Human Resources. If the Committee upholds an allegation of unacceptable research conduct, it will determine an appropriate penalty. The member of staff will be advised that under the terms of the University's Disciplinary Procedures a case may be made to the Principal seeking his/her dismissal on grounds of gross misconduct. The member of staff will also be advised of his/her rights of appeal against the decision as described within the Disciplinary Procedures.

An allegation of unacceptable research conduct by a registered student will be dealt with under the Code of Practice on Student Discipline. If unacceptable research conduct is established, their programme of study/research may be terminated through the Student Disciplinary Procedures.

- 2.2 The University's procedures will apply to visiting researchers while based in the University and should be brought to their attention as part of the organisation of the visit. Where a case of unacceptable research is established this will be reported to the home institution of the visiting researcher. A member of staff visiting another institution must familiarise him/herself with the host institution's policy on unacceptable research conduct and adhere to its requirements in addition to the requirements of this policy.
- 2.3 The University will immediately inform, in confidence, the appropriate Director of an external funding agency about any allegations of serious unacceptable research conduct which might concern external funding agencies (including acting as a supervisor for an externally-funded postgraduate student or engaged in peer review activities) specifically where it seems that there are reasonable grounds to believe that the allegation may be substantiated on investigation. In all cases involving suspension it will inform the external funding body. It is at the discretion of the University to determine what constitutes 'serious misconduct'. The University will also inform the appropriate Director of the outcome of any such investigation.
- 2.4 The University will inform the appropriate Director, in confidence, of *all* instances of unacceptable research conduct involving externally funded researchers that have resulted in the allegations being substantiated.
- 2.5 The University has a Code of Practice on Whistleblowing relating to the treatment of whistleblowers under the Public Interest Disclosure Act 1998. This includes a clear statement that unacceptable research conduct is taken seriously by the University and that any member of staff raising *bona fide* concerns in good faith can do so confidentially, and without fear of suffering any detriment, but equally disciplinary procedures are in place to deal with malicious allegations. The Code of Practice also includes a clear indication of the procedures in which such *bona fide* concerns by staff may be brought to the attention of a designated individual within the institution.

### **3 PRINCIPLES FOR INVESTIGATION BY THE UNIVERSITY OF ALLEGATIONS OF UNACCEPTABLE RESEARCH CONDUCT**

- 3.1 The University has in place formal written procedures (contained within the general Disciplinary Procedures) for dealing with allegations of unacceptable research conduct against its staff and students. The University would, where appropriate, take legal advice on implementing these procedures to ensure that the procedures comply with all legal obligations for the conduct of such investigations from time to time in force.
- 3.2 The University endorses the following principles when investigating allegations of unacceptable research conduct:
  - the responsibilities of those dealing with the allegation must be clear and understood by all interested parties;
  - measures are in place to ensure an impartial and independent investigation and to ensure that line management obligations or other interests of those dealing with the allegation do not conflict with these procedures;
  - those undertaking research at the University are contractually obliged to participate in and comply with the procedures;
  - the University will treat investigations of unacceptable research conduct confidentially;
  - anyone accused of unacceptable research conduct should have the right to respond and to be accompanied by a person of his/her own choosing at any formal misconduct hearing;

- all interested parties will be informed of the allegation at an appropriate stage in the proceedings;
- the allegation will be dealt with in a fair and timely manner;
- proper records of the proceedings will be kept;
- the outcome will be made known as quickly as possible to all interested parties;
- anyone found guilty of unacceptable research conduct will have the right to an appeal;
- if appropriate, efforts will be made to restore the reputations of the accused party if the allegation is dismissed.

The appropriate general Disciplinary Procedures include guidance in respect of appeals against an investigation decision.

## **4 INVOLVEMENT OF EXTERNAL FUNDING AGENCIES**

### **4.1 Receipt of allegations**

External funding agencies may receive allegations of unacceptable research conduct made to them directly, rather than to an individual within the University of Aberdeen. The appropriate Director will contact an appropriate individual at the University of Aberdeen which will then be responsible for taking suitable action in line with its formal written procedures for handling allegations of unacceptable research conduct.

### **4.2 Investigations by external funding agencies**

As stated above, it is the University's responsibility to investigate allegations of unacceptable research conduct made against its staff and students and this would be funding agencies preferred course of action in most cases. However, in exceptional cases, external funding agencies may wish to undertake their own investigation into alleged cases of research misconduct which concern their funded researchers (for example where the reputation of an external funding agency is at risk or where they are dissatisfied with the investigation undertaken by the University). Any investigations by an external funding agency would normally only be undertaken following consultation between the Appropriate Director of the external agency and the appropriate representative(s) of the University.

If an allegation of unacceptable research conduct is substantiated, an external funding agency may consider its own appropriate sanctions in addition to those applied by the University.

## **10.3 Guidelines on Keeping of Research Records**

### **1 INTRODUCTION**

*The University of Aberdeen Policy and Guidelines on Good Research Practice* requires that all researchers keep clear and accurate records of the procedures followed, and approvals granted during a research process, including records of the interim results obtained as well as of the final research outcomes. This is necessary not only as a means of demonstrating proper research practices, but also in case questions are asked subsequently about either the conduct or output of the research. (See also *Code of Practice for Research Students, Supervisors, Heads of School, Heads of Graduate School and College Postgraduate Officers*). The maintenance of accurate records is also important for potential subsequent commercialisation of research.

Guidance on periods for which records should be retained can be found in the University Retention Schedules, and in guidelines published by scientific and learned societies, and professional bodies. While examples are provided below, the most appropriate method of record-keeping will be dependent on the type of research being undertaken. However

records are kept, it is the individual researcher's responsibility to ensure that the record will be able to demonstrate proper research practice and conduct, and evidence for results obtained.

## **2 RESEARCH RECORDS**

### **2.1 Keeping Formal Written or Electronic Records**

Researchers should keep a formal record of their work in a notebook, or where appropriate, an electronic record, used specifically for this purpose. Where practicable, one central master record should be maintained for each research project. However, in some instances several records may be required, for example, for interdepartmental or multiple site projects. Such records remain the property of the University of Aberdeen and not the holder, and should include information relating to procedures, apparatus, conditions and references etc. sufficient to allow the project to be understood and audited or replicated. They should also include appropriate reference to any relevant secondary records.

Records entries should be made as the work is done, and be clear, legible, in ink, and dated and signed. Electronic records should be similarly managed. Where appropriate, information can be printed and affixed but reference to clearly signposted original documents will often be sufficient. Any amendments should be clearly noted as such, with the previous entry remaining legible. The records should be kept in a secure location in the relevant school/department, and be archived for an appropriate time period at the conclusion of the project.

### **2.2 Laboratory Based Research – Lab-Books**

For research in the laboratory sciences the primary record will be a *lab book*. The University has produced a notebook to assist laboratory-based students in the keeping of a valid record of their work. This provides a framework for the systematic recording of information in a way that is compatible with formal accreditation. Similar books are available for some other research areas. Graduate Schools, College Offices or relevant schools/departments will be able to advise students.

### **2.3 Data Generated**

Data generated in the course of research should be kept securely in paper or electronic format as appropriate, and in accordance with good practice in the storage of primary data, record-keeping, ethical issues, and the Data Protection Act. Back-up records should always be kept for data stored on a computer, or preferably, electronic records should be stored on shared drives, which are backed-up daily. (see also *University IT Security Policy* [www.abdn.ac.uk/diss/docu/security-policy.hti](http://www.abdn.ac.uk/diss/docu/security-policy.hti)). This will also assist with long term storage as there are fewer digital preservation issues with networked drives than with hard drives or removable storage systems such as CD or USB drives. Consideration should also be given to whether back up copies of research samples in other formats (e.g. biological specimens) should be kept.

## **3 ITEMS TO BE INCLUDED IN A RESEARCH RECORD**

The following is general guidance on maintaining a record and the type of information to be included. It is not exhaustive, as the information to be recorded will be determined to a large extent by the research area and the circumstances of an individual project.

There is no requirement to duplicate all paperwork associated with a project, or to record all minor activities, nor to affix copies of substantial documentation (e.g. questionnaires or consent forms). Instead, the record should cross-reference the location of such documents.

Record books should include a table of contents. If a record book is lost, damaged or stolen, this should be reported immediately to a supervisor.

#### Types of information that may be recorded and/or cross-referenced

- Project protocol or design
- Evidence of peer review
- Protocol/design amendments and relevant dates
- Deviations from protocol/design and reasons
- Evidence of ethical and other approval, as required
- Details of the research team
- Information about PhD or Training supervision
- Funding
- Relevant study documentation (e.g. consent forms, questionnaires, clinical record forms etc.)
- Details of where and how study documentation is stored
- Data collection procedures
- Key data collection dates (e.g. biological samples, research clinic attendance, postage of questionnaires, interview dates, focus group dates)
- Data and sample storage procedures and dates of backup of data
- Data entry procedures including name of current data file, and if/when renamed/updated
- Description of the Quality Assurance procedures (e.g. backup, data entry quality checks etc.)
- Data analysis
- Who has overseen the analysis
- List of outputs agreed and authorship
- Note of any conditions on publication
- Notes and minutes of any project meetings in particular outcomes and action points
- Periodic updates on project progress
- Changes in data format (e.g. changes in coding)

## 11. Intellectual Property Rights

### 11.1 Assigination of Intellectual Property Rights by students

Intellectual Property rights (IPR) are the rights legally recognised to protect ownership *inter alia* of literary, artistic and scientific discoveries. In recent years there has been a growing international appreciation of the direct benefits which the proper protection of academic IPR can bring to the individual “inventor”, the institution and the nation. This has led to the present policy of several governments, including the UK, giving the ownership of IPR generated by public funds to the relevant institution, provided that there are in existence the required policies and procedures to ensure full protection and encourage beneficial exploitation.

If an employee of the University makes a valuable discovery as a result of the terms of their employment, the ownership of that discovery therefore belongs to the University. Students are not employees of the University and so, unless any sponsorship agreement covering them states otherwise, they would own the intellectual property that arises from their work. However, in practice it is often difficult to distinguish between the contributions of individual students and Supervisors. To overcome these problems which can be encountered by students, the University Court has agreed that an Assigination of Intellectual Property Rights by students to the University shall be a standard condition of registration for students from September 1994, with the right to opt out to be offered to those who wish it where there are no joint ownership issues or sponsorship agreements in place. This assigination is limited to IPR arising from the student’s course and studies.

The main areas of IPR which are relevant to research and scholarly work are patents and copyright. To provide full patent protection there must be registration with the Patent Office before the invention becomes public knowledge. It is therefore essential to obtain advice on the patentability of an invention and its protection before publishing a paper, providing drawings, giving a lecture or even discussing one's work informally at scientific meetings. The patent process can be very expensive and is often beyond the financial resources of individuals. Copyright ownership must also be legally established through the provision of acceptable evidence and again requires the obtaining of relevant advice.

In return, for assigning all his/her IPRs to the University during the period that he/she is a student, the University undertakes to do the following things:

Assess the protection and exploitation and exploitability of any invention or discovery made or jointly made by a student speedily and at its own cost so as not to delay academic publishing unduly (although publishing may actually be delayed).

Protect any IPRs at its own cost if those rights are judged, at the absolute discretion of the University, to have acceptable commercial potential.

Should the University decide not to proceed with the protection and/or exploitation of any student's intellectual property and/or associated intellectual property rights will revert to the student.

Reward the student or students concerned on the same terms as a member of staff. At present the net income (after recovery of legal and patent costs) from exploitation of any intellectual property is shared 1/3 to the inventor or inventors, 1/3 to University general funds, 1/3 to the inventor(s) discipline.

In return, the student undertakes to do the following things:

Notify Research & Innovation (R&I), the University's technology transfer office, in writing and in the first instance through his/her Supervisor(s), and as fully as may be required, of any invention or discovery arising from his/her course or studies which in the opinion of the student or the Supervisor has the potential for commercial exploitation.

assist the University and do all things including maintaining confidentiality and the execution of all documents at the University's cost as may be required by the University in order to secure for the University the full benefit of and beneficial legal ownership of IPRs assigned or deemed to be assigned to the University provided that the University shall be primarily responsible for securing to itself such beneficial and legal ownership.

Notify R&I, in the first instance through his/her Supervisor, of any arrangements entered into by the student with third parties. This could include sponsors, prior to the commencement of the student's course of studies, which might reasonably be expected to affect the University's rights to any IPRs arising in the course of, or in connection with a student's studies at the University. The student shall notify the University in advance of any such arrangements as may be proposed to be entered into following the commencement of the student's course and studies, and the student shall not enter into any such arrangements without the prior consent in writing, of the University.

Further information can be obtained from: University of Aberdeen, Research & Innovation (R&I), King's College, Aberdeen, AB24 3FX. Telephone No: +44 (0) 1224 272123 or at <http://www.abdn.ac.uk/r%26i/uploads/files/Policy%20for%20Student%20Intellectual%20Property%20Rights.pdf> where a copy of the Policy can be obtained.

## **12. Student Feedback**

The University conducts an annual on-line questionnaire that Research students are asked to complete. It is designed to help the University enhance the quality of postgraduate research degree provision by collecting feedback from current research students.

Information arising from the questionnaire will be considered by Senate and Heads of Graduate Schools, and discussed with individual Schools.

Students can also feedback any issues that arise to their College Student Representative within the Students' Association.

### **13. Preparation and Submission of a Thesis**

The thesis is expected to form a coherent whole, with a consistent argument or series of arguments running through it. The incorporation of material published by the candidate during the period of registration for the degree is permitted, but it must be accompanied by written commentary on publications submitted. Furthermore, the footnoting/end noting must make clear which sections of the thesis are based on published material and how much individual responsibility the candidate has for any jointly authored work. Such material must be properly and stylistically incorporated into the thesis.

Notes on the presentation of a thesis are produced by the Library. They can be accessed at <http://www.abdn.ac.uk/library/guides/gen/qggen009.pdf>. The Notes include information on upper word limits of thesis length. Information can also be found in the regulations in the University Calendar at <http://www.abdn.ac.uk/registry/calendar/>

Students should inform the Registry of their intention to submit their thesis by completing an Intention To Submit Form (available at <http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml>). This form should be submitted at least one month before the intended submission date. By doing this it is anticipated that examiners will be appointed by the time the thesis is submitted and the thesis can be sent out for examination straight away. If the Intention to Submit form is not submitted prior to submission of the thesis there will be a delay in the thesis being sent out for examination whilst examiners are appointed.

#### **13.1 Nomination and Appointment of Examiners**

Senate has the power to approve the appointment of examiners for higher degrees examined by thesis. Such appointments are approved on behalf of Senate by the relevant College Postgraduate Officer.

Once research students submit to the Registry the relevant form to intimate their intention of submitting a thesis or other work for a higher degree, the Registry will formally request the relevant Head of School to nominate internal and external examiners by sending a Nomination of Examiners form for completion (available at <http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml>). In identifying examiners, Heads of School are expected to liaise with the candidate's supervisor and indicate reasons for proposing the external examiner. Any contact between a candidate and the nominated external examiner during the candidate's career should also be indicated.

If a candidate is a full- or part-time member of the academic staff of the University, at least two external examiners must be appointed in addition to an internal moderator. In all other cases, normally one internal examiner and one external examiner is nominated.

In submitting nominations, Heads of School are reminded of the following:-

- an internal examiner should be appointed for all higher degrees examined by thesis. In those instances where it is necessary two or more external examiners to be appointed e.g. when the candidate is a member of academic staff, the internal moderator's responsibility is to oversee the examination and, in particular, to ensure that standard University procedures and policies are followed;
- a candidate's supervisor (past or present) cannot be appointed as an internal examiner;
- a member of an associated research institute who holds a University of Aberdeen appointment may be appointed as an internal examiner;

- a former member of staff who has left the University since a candidate completed his/her research may be appointed as an *internal* examiner and offered the same fee as an external examiner;
- in all other cases an internal examiner or moderator must be a contracted employee of the University (excluding honorary members of staff);
- where the examiners appointed do not include a contracted employee of the University a moderator should be appointed to oversee the examination arrangements
- Heads of School should identify on the nomination form those theses where confidentiality might appropriately apply. As part of the appointment process, the attention of the external examiner will be drawn to this matter by the Registry. It is expected that the imposition of confidentiality restrictions would only be used exceptionally.

Heads of School are also asked to ensure that the proposed examiners are aware that they are being nominated and their availability for examination of the thesis checked.

Students should submit to the Registry two bound copies of their thesis for examination.

## 13.2 Examining Research Degrees

Examination is by submission of a thesis and by oral examination.

The thesis is expected to form a coherent whole, with a consistent argument or series of arguments running through it. The incorporation of material published by the candidate during the period of registration for the degree is permitted, but it must be accompanied by written commentary on publications submitted. Furthermore, the footnoting/end noting must make clear which sections of the thesis are based on published material and how much individual responsibility the candidate has for any jointly authored work. Such material must be properly and stylistically incorporated into the thesis.

### 13.2.1 The Examiners

One month prior to submission, the candidate will submit an Intention to submit form to the Registry, who will, in turn, request that the Academic School in which the candidate is based seek to nominate examiners to assess the candidate's thesis and carry out the oral examination.

The Head of School is required to formally nominate the examiners for the approval of a College Postgraduate Officer, although this should be done in consultation with the candidate's supervisor. Candidates may volunteer the names of possible examiners, and should inform the main supervisor if any special problems are likely to arise if particular examiners are appointed. Any comments will be taken into account but candidates have no right to determine the Head of School's eventual recommendation, and therefore have no right to veto any particular appointment.

Normally one internal and one external examiner are appointed except when a candidate is a member of the University's academic staff (at Lecturer status or equivalent, or higher), in which instance two externals must be appointed. Note, when a candidate is employed by the University as a Research Assistant or a Research Fellow, two external examiners are not required. When there are two externals the appointment of an internal examiner is dispensed with: in these circumstances an internal moderator is appointed to be responsible for overseeing the arrangements for the examination, and, in particular, for ensuring that University policies and procedures are followed. The internal moderator, if required, is not appointed to examine the thesis and, as such, is not permitted to sign the examiners' reports on the thesis or certify that the minor corrections have been achieved to the examiners' satisfaction.

At the time of nomination, the nominated examiners should be approached informally either by the Head of School or an academic colleague/the candidate's supervisor to establish his or her willingness to act.

Internal examiners must be fully conversant with the procedures for oral examination examinations and the University and the relevant University regulations and, in particular, with the recommendations available to the examiners following the oral examination. It is the Head of School's responsibility to ensure that the internal examiner is aware of his or her duties and responsibilities.

Provided the nominations have been approved, the thesis is sent out to examiners as soon as possible after it has been submitted to the Registry for examination.

There is sometimes a delay between the examiners being appointed and the candidate actually submitting the thesis. If the commitments of either examiner change significantly in the intervening period, with the result that a delay in the examination process is likely, the internal examiner should contact the Registry so that consideration may be given to appointing an alternative examiner. If, because of visa restrictions, overseas candidates must return home promptly, they are asked to make proper allowance for this when submitting their theses.

### 13.2.2 The Thesis

Assessing the quality of the thesis is the most important of the examiners' functions. The standards to be attained for each degree are formulated in General Regulation 23 for research degrees, which requires that for the degree of **PhD, EdD, EngD, MD or ChM**, the thesis 'makes a distinct contribution to knowledge and affords evidence of originality as shown by the exercise of independent critical powers'; or for the degree of **MPhil** the thesis 'makes a contribution to knowledge and affords evidence of originality'; for a **one-year Master's** degree the thesis 'displays evidence of originality or that it is a satisfactory, orderly and critical exposition of existing knowledge within the field concerned'. As Regulation 25 of Schedule A – General Regulations for Research Degrees states, the one-year Master's degree can also be awarded with Distinction on the unanimous recommendation of the Examiners if they judge the thesis to be of outstanding quality overall at Master's level in terms of presentation, and, e.g., source discovery and interpretation, literature review, scholarly analysis, originality and/or contribution to knowledge. In applying these standards the examiners should bear in mind what can be properly achieved in the one, two or three years' full-time work (or part-time equivalents) which is required for the various degrees. Further, no thesis can be approved unless the thesis meets acceptable standards in the use of English, in quotation and citation, and in presentation. The Senate also expects examiners to pay appropriate attention to the candidate's use of evidence (the candidate's formal declaration that the work has been composed by him or herself) and that it is a record of work that has been done by him or herself.

Examiners may also wish to remind themselves of the Scottish Credit and Qualification Framework Level descriptors for a Research Masters (SCQF Level 11) or Doctoral degrees (SCQF Level 12), depending on the degree to be assessed:  
<http://www.scqf.org.uk/nmsruntime/saveasdialog.aspx?IID=623&SID=538>

Examiners are required to prepare independent written reports on their assessment of the thesis on the Independent Report Form (available at [www.abdn.ac.uk/registry/download](http://www.abdn.ac.uk/registry/download)). These *must* be prepared independently before the day of the oral examination but the examiners must also read each other's reports prior to the examination; they may be exchanged beforehand or brought to the examination, as may be convenient.

### 13.2.3. Word Length

Unless the specific permission of the appropriate College Postgraduate Officer is obtained (such permission being granted only on the grounds of the exceptional nature of the subject matter or, in the case of candidates registered for a degree in Law, on grounds of exceptional circumstances) no PhD, EngD, MD or ChM thesis may exceed 100,000 words in length, no MPhil thesis may exceed 70,000 words in length, no EdD thesis may exceed 60,000 words, and no other Master's degree thesis may exceed 40,000 words in length. In each case this includes appendices and

footnotes but excludes bibliographies, statistical and computational compilations and analogous illustrative material (maps, facsimile documents, etc.). Any data compilation can be separate from this and stored on disk.

- Notes: (1) These maximum lengths are indicated only as an approximate guide.  
(2) The above prescriptions do not apply to editions.

#### 13.2.4. The Oral Examination

The oral examination is an integral part of the assessment for the degree, and is not to be regarded as a mere formality by either the candidate or the examiners: the oral is the culmination of the process of examination, and both candidate and examiners must recognise it as an occasion of central importance.

The primary function of the oral examination is to allow the candidate to explain, expand, and justify his or her thesis, in response to the examiners' questions. The oral examination may be used to establish a candidate's general knowledge of the field of his or her research, to establish the extent of any collaboration, to ascertain that the candidate can work independently and lead the work of others, and to confirm that the work is indeed the candidate's own. Whilst recognising teamwork and the substantial benefits of early publication it must always be possible to track the individual work of the candidate. Examiners must be able to evaluate the candidate's *role* in the work, the *process* of the experimentation and the resulting *understanding* of the science involved. The degree cannot be awarded for what is in essence a compendium of jointly authored articles with no indication of the candidate's original contribution.

All candidates for the award of a higher degree by research are required to submit to oral examination unless there are exceptional reasons why the oral examination should be dispensed with. In such cases, the exceptional reasons must be given in detail on the Joint Report Form and be approved by the appropriate College Postgraduate Officers; dispensing with an oral for a PhD is seldom approved. If the examiners disagree in their initial assessment of the thesis, or if they are likely to recommend re-submission, an oral *must* always be held, but a telephone-conference or a video-conference oral, although not the most satisfactory procedure, is permissible when a candidate's return to Aberdeen would be difficult or impossible.

#### 13.2.5. Arrangements and the Conduct of the Oral Examination

The **internal examiner (or internal moderator** – paragraph 12.2.1 refers) is responsible for arranging the oral examination. The internal will contact the external and the candidate shortly after receipt of the thesis to arrange a date which must be mutually convenient to all the examiners and the candidate, and which should normally be **within two months** of the receipt of the thesis by the examiners. The internal examiner should keep the candidate and the Registry informed if there is to be any delay in arranging a date for the oral examination (e.g. due to the external examiner being unavailable). The internal will arrange that the supervisor will be available on the date on which the oral will be held.

Oral examinations normally take place in Aberdeen but may be held elsewhere by the mutual agreement of all the examiners and the candidate. The room in which the examination is held should be in the University, or if held elsewhere in a University or College building. Arrangements should be made to ensure that the examination is free from external interruptions including the telephone, and relatively free from obtrusive noise.

The candidate, the examiners, the moderator if appointed, and the supervisor(s) *if invited*, are normally the only persons who may be present at the oral. The supervisor(s) should be available at the time of the oral examination but may attend only at the specific invitation of the examiners, and after consultation with the candidate; the internal examiner (or moderator) is responsible for ensuring that the supervisor(s) will be available.

The examiners may read each other's independent reports only when they are completed, and prior to the day of oral examination. Prior to the oral the examiners should agree on the lines of questioning to be followed at the oral, and who will lead on particular issues.

The internal and external examiners are equal as examiners, but, whilst the internal will convene the meeting, the internal will normally consider it courteous to defer to the external in the conduct of the examination. When two externals have been appointed they too are equal as examiners. The supervisor(s) if present may participate only at the invitation of the external(s), and only for points of clarification on specific matters.

While practice may be as flexible as is required, it is suggested an oral should not normally be less than one and a half-hours. When an examination lasts longer than two hours appropriate breaks must be agreed. At the end of the examination the candidate should be told that the examiners will proceed to discuss their report, and should be advised when to return to hear the examiners' recommendation. The candidate and the supervisor (s) (if present) should then be asked to withdraw.

If, owing to illness or other urgent and unforeseen reason, an examiner is unable to attend the oral examination, it may be postponed to a later date. If it seems likely, however, that postponement would be a serious hardship to the candidate, the Head of School should consider whether it is appropriate to appoint an alternative examiner.

### **13.2.6 Examiners' Reports**

Immediately after the oral examination the examiners should agree on a joint report, and for this must use the Joint Report Form (available at <http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml>) which should be completed on the day of the examination. They must give an account of the oral examination on this form and make a joint recommendation of the overall result as indicated on the back of the form. All examiners must sign the Joint Report Form.

The internal examiner (or moderator) will normally send or deliver all the forms (Independent Reports and Joint Report), signed, and a list of minor corrections or major changes on the 'Post-Viva Corrections Required to Thesis form, available at ([http://www.abdn.ac.uk/registry/docs/pgrad\\_examiners/post\\_viva\\_corrections.doc](http://www.abdn.ac.uk/registry/docs/pgrad_examiners/post_viva_corrections.doc)) to the Registry immediately after the oral examination, and in any case must do so within three working days.

### **13.2.7 Examiners' Recommendations**

Please note that the decision made by the examiners at the oral examination is a recommendation and must be approved by College Postgraduate Officers on behalf of Senate. Candidates should be told, by the examiners, of the recommendation to be made on the day of the oral examination, but they should be advised that it is a recommendation and will be put for the approval of College Postgraduate Officers. The Registry will issue an outcome letter to the candidate once approval has been given.

If a thesis is sustained with minor corrections (see below), the decision from the oral examination must be approved by College Postgraduate Officers, but the actual corrections themselves need only be certified by internal examiner. Further approval for award of the degree is not required at the minor correction stage. It is, of course, required in the case of major corrections.

The examiners may decide that:

- (a) the thesis be sustained for the degree being examined
- (b) the thesis be sustained for the degree being examined subject to minor corrections being made by the candidate and approved by one of the examiners, within three months. This recommendation should be made where minor corrections are either (a) factual, typographic, limited in extent and can be achieved immediately after the oral, or (b) where

there is no doubt that the thesis is of a standard for the degree sought but corrections are needed which should not require major re-working nor re-interpretation of the intellectual content of the thesis.

- (c) the thesis be not sustained in its present form but that the candidate be given the opportunity to re-submit in a revised form for the same degree within a stated period which should not exceed 12 months
- (d) the thesis does not meet the standards for the degree being examined but does meet the standards for the award of a lower degree and the candidate be awarded the latter degree without further examination
- (e) the candidate may re-submit the thesis in a revised form for a lower degree within a stated period which shall not exceed twelve months
- (f) the thesis be not sustained

The one year Master's degree can also be awarded with Distinction on the unanimous recommendation of the examiners.

#### Option (b)

When the recommendation is that the thesis be sustained, subject to minor corrections, a copy of the minor corrections required by the examiners should be lodged with the Registry along with the report forms. Although this decision must be approved by a College Postgraduate Officer, only one of the examiners, *usually the internal*, is required to check that the necessary corrections have been completed (the 'Certification of Corrections' form, which should be submitted by the examiner can be downloaded from [http://www.abdn.ac.uk/registry/docs/pgrad\\_examiners/certification\\_corrections\\_Jan\\_09.doc](http://www.abdn.ac.uk/registry/docs/pgrad_examiners/certification_corrections_Jan_09.doc)).

Minor corrections should be carried out within three months. When corrections have been made, and certified by the internal examiner, no further approval for the award is required. One hardbound copy of the thesis should be submitted by the candidate to the Registry together with a copy of the thesis in a non-editable pdf format.

Please note, the internal moderator is **not** permitted to certify that the candidate has completed the minor corrections. In the case where there are two external examiners plus an internal moderator, one of the externals must be chosen to certify that the minor corrections have been completed.

#### Option (c)

Examiners will often come to the oral examination with certain doubts. One of the functions of the oral is to allow the candidate to explain, expand, and justify his or her thesis and if the candidate satisfies the examiners' reservations then the examiners may recommend that the thesis be sustained subject to minor corrections being made by the candidate. What is minor is a matter of judgement, but if it is the case that one examiner will be able to check that corrections have been made then the recommendation that the thesis be sustained subject to minor corrections may be appropriate. If, however, an examiner would require to reread the whole or a significant part of the thesis, or to check every quotation and reference again, then the recommendation should probably be that the candidate be given the opportunity to resubmit the thesis in a revised form, either for the same degree or for a lower degree, within a stated period, which should not exceed twelve months. A full account of the reasons must be provided by the examiners on the Joint Report Form. When resubmission is recommended, the examiners should also make recommendations about the conditions for resubmission, and must provide the candidate with a written statement about what is required to bring the thesis up to an appropriate standard for the award of the degree. A copy of this statement should be lodged with the Registry along with the report forms, and this statement will be given to the candidate. The candidate should consult with his or her supervisor when revising the thesis. The candidate and the examiners should not be in contact during this time.

### 13.2.8 Resubmission of a Thesis

Only one resubmission of a thesis will be permitted, irrespective of the degree being considered. The resubmitted thesis is submitted to the Registry. Resubmission requires re-examination of the thesis by all the examiners who make a joint report using the Resubmission Joint Report Form

(available at <http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml>). Normally, all those appointed to examine the original submission will be required to examine the re-submitted thesis.

The re-submitted thesis should be judged against the corrections stipulated as necessary by the examiners following the oral examination for the first submission. No further criticism of other material or aspects of the thesis passed as satisfactory at the first examination can be introduced at a later stage.

Following re-submission the examiners may recommend that (a) the thesis be sustained, (b) the thesis be sustained with minor corrections, (c) the thesis does not meet the requirements for the degree being examined, but that it does have merits which satisfy the standards required for the award of a lower degree appropriate to the discipline in which the candidate is registered or (d) that the thesis be not sustained. (The one year Master's degree can also be awarded with Distinction on the unanimous recommendation of the examiners.) The examiners cannot recommend that the candidate be given another opportunity to resubmit in a revised or modified form as a thesis may only be submitted twice.

Where a thesis has been resubmitted, a second oral examination will be held only if a College Postgraduate Officer on behalf of Senate approves a proposal to that effect, normally on the recommendation of the examiners. The examiners should clearly state in their first Joint Report that a second oral is being recommended. The re-submitted thesis should be judged against the corrections stipulated as necessary by the examiners following the oral examination for the first submission. No further criticism of other material or aspects of the thesis passed as satisfactory at the first examination can be introduced at a later stage. However, if a second oral examination is deemed necessary, the thesis as a whole, and not just the parts that were corrected, will be the subject of the oral. Thus, candidates should therefore be prepared to answer questions on any part of their thesis.

### **13.2.9 Consideration of Examiners' Reports and Notification of Outcome**

The examiners' recommendation is considered by two College Postgraduate Officers who have delegated power to recommend to the Senate, on behalf of the Quality Assurance Committee, whether a thesis be sustained and the relevant degree be conferred or whether the thesis be referred or failed. Once the recommendation of the examiners has been approved by two College Postgraduate Officers the Registry will write to the candidate informing him/her of the outcome of the examination.

### **13.2.10 Roles**

#### **Head of School**

- Nominates examiners after consultation with the candidate's supervisor

#### **Internal Examiner**

- Arranges oral examination with external examiner and candidate (ideally within 2 months of thesis being submitted), and makes sure supervisor is available on the day.
- Discusses with the external examiner whether to invite the supervisor to the oral examination .
- Informs the candidate of any delays in oral examination.
- Ensures University procedures are followed:
  - Makes sure Independent Reports are completed and exchange before the oral examination
  - Makes sure that the candidate is informed on the day of the recommendation to be made by the examiners.

- Makes sure Joint Report is completed on day of oral examination and submitted to the Registry within three working days of the oral examination, along with both Independent Reports and corrections required, if required. The internal must ensure that the paperwork is completed and signed by both examiners.
- Signs off minor corrections as complete.
- Responsible for liaising with the external if any issues arise with reports, i.e. missing signatures etc.

### **Internal Moderator**

- The Internal Moderator is required for Quality Assurance purposes and is there to ensure that the University's procedures are followed. The internal moderator will perform all the tasks stated above for the internal examiner, except examining the thesis.
- Please note, the internal moderator is **not** permitted to sign off a candidate's minor corrections. This must be one of the externals. The internal moderator must ensure that one external is designated to check the minor corrections and sign off the appropriate paperwork.

### **Registry**

- Send nomination form to School for completion upon receipt of Intention to Submit.
- Send thesis to examiners upon receipt (the thesis will be sent as soon as possible from when it is submitted, providing the nomination of examiners has been approved).
- Receives reports from internal examiner/moderator post-oral examination and seeks PGO approval for the recommendation.
- Liaises with internal examiner/moderator if there are any issues arising from the reports. For example, if reports have been submitted without signatures, the Registry will contact the internal and ask that signed reports be supplied. It would be for the Internal to then liaise with the external.
- Issues letter detailing the outcome of the oral examination to the candidate from oral examination once reports are approved. A further letter will be issued once a minor corrections form is received from the internal examiner certifying that the corrections have been made.
- Will liaise with the internal examiner/moderator if reports/corrections forms remain outstanding for longer than the time frame for submission stipulated above.
- Will take in the hard-bound thesis and a pdf copy of the thesis for submission to the University Library.

## **14. Graduation**

In-person graduation ceremonies normally take place in the first week of July and at the end of November. Posters are circulated to Schools in March with details of the ceremonies, and graduation application forms can be downloaded from the Student Portal or, if that is not possible, on request by emailing [graduation@abdn.ac.uk](mailto:graduation@abdn.ac.uk) are available from the Student Reception. Students should check the graduation website to find out the exact deadline for returning their application to graduate. The deadline for summer ceremonies is usually late April and for winter ceremonies is mid-October. A fee is payable by all graduands who decide to appear "*in person*" at the graduation ceremony (currently £40). A late fee is payable by students who apply to graduate after the deadline. Students should not wait until they have been examined to apply to graduate.

It is the **responsibility of each student** to complete an Application to Graduate Form and to decide whether to graduate *in absentia* or wait until the next in-person graduation ceremony. The degree will not be awarded until such time as the student formally graduates, i.e. if a student completes the requirements of their degree programme in October but decides not to graduate

until the following July (or if the student is not permitted to graduate due to a financial debt to the University), the degree certificate will state the latter date.

*In absentia* graduations take place at meetings of the Senate between October and August and application forms are available from the Student Reception. There is no fee for graduating *in absentia*. Certificate and Diploma students can only go through for their award in absentia, but they must still complete an Application to Graduate form.

If a student owes the University money for any reason (fees, rent, library fines for unreturned books, etc.) the student will not be permitted to graduate or receive an award, so they should ensure all debts are cleared.

Further details on Graduations, including the schedule of Graduation Ceremonies, in absentia dates, procedures on the day of in-person Graduation Ceremonies, gown hire and Graduation photographs are available at [www.abdn.ac.uk/registry/graduation](http://www.abdn.ac.uk/registry/graduation)

Students should note that they will not be permitted to graduate if they owe any money to the University or if they have not returned all books to the Library.

Any enquiries regarding graduations should be directed to the Registry:

Telephone: +44 (0)1224 273505; Fax: +44 (0)1224 273386; E-mail: [graduation@abdn.ac.uk](mailto:graduation@abdn.ac.uk)

## 15. If things go wrong

### 15.1 Problems and Difficulties

The University aims to provide a welcoming and supportive environment for its postgraduate students. However, from time to time students will encounter academic problems and difficulties. In the first instance any problems/difficulties should be raised with the Supervisor. If this is not appropriate, students should see their Head of Discipline/School or Head of Graduate School. If problems continue, students may wish to contact the relevant College Postgraduate Officer (via the Registry).

### 15.2 Appeals and Complaints

The University's *Policy on Appeals and Complaints* can be accessed at: <http://www.abdn.ac.uk/registry/appeals>

In regard to appeals, the policy indicates that appeals will only be considered where:

- i) it is believed that the University's procedures were not followed;
- or**
- ii) it is believed that the person or body making the decision did not have the authority to do so;
- or**
- iii) it is believed that the person or body making the decision did not act impartially;
- and**
- iv) a student considers that they have suffered, or could suffer, material disadvantage

Those involved in considering academic appeals will not review the question of academic judgement, which is a matter solely for the person or committee that has made the academic judgement.

In particular, students' attention is drawn to section 3 of the *Policy on Appeals and Complaints*:

If a student believes that a medical condition or other personal circumstances have affected their performance in an assessment or prevented them from taking an examination or meeting a deadline for submission of coursework they must notify the Head of the relevant School(s). This must be done in writing, not more than seven days after the date of submission of the assessment or the exam concerned. The University's Policy on Certification of Absence for Medical Reasons or Other Good Cause provides further information.

Where a student has not given notice of such extenuating or mitigating circumstances (see Glossary of Terms) within the seven day timescale, they cannot be accepted as evidence in support of an appeal or complaint unless a satisfactory explanation for the delay in providing the information can be given. If those circumstances are raised for the first time at the Initial Stage (i.e. with the Head of School or Service) the Head of School or Service (or their nominee) will decide whether it is appropriate to take them into account.

**The effect of this paragraph is that appeals which are based on illness (which must be certified by a medical practitioner) and/or other personal circumstances normally will not be considered unless notified to the Head of the relevant School within one week after the date on which a student submitted or appeared for the assessment concerned.** This is to ensure that the examiners, including the External Examiner(s), have all information available to them at the time of confirming a course result or recommending an award.

In regard to Complaints, the *Policy on Appeals and Complaints* states that:

A complaint is where a student feels that the level of service or treatment that they have received from the University has fallen short of what might reasonably be expected. For a complaint to be considered to have Grounds to Proceed (see Glossary of Terms) a student must show that they have suffered (or could suffer) a material disadvantage as a result. Any claims made must be substantiated with evidence.

The first stage of either an Appeal or Complaint is for the student to raise their concern as soon as possible with the relevant member of staff within the related School or Service. The University anticipates that by ensuring that all matters are considered informally at an early stage, problems can and will be resolved quickly and effectively at a local level. Please see the *Policy on Appeals and Complaints* for details of the timeframes for raising concerns and subsequent steps if the matter cannot be resolved informally.

### 15.3 Plagiarism and the Code of Practice on Student Discipline

The University's Code of Practice on Student Discipline is available at:  
<http://www.abdn.ac.uk/registry/quality/appendix5x15.pdf>

This Code outlines such issues as examination offences, including cheating in prescribed degree assessments. ***For the purposes of this Code "cheating" includes plagiarism.***

The Senate-approved definition of plagiarism is the use, without adequate acknowledgement, of the intellectual work of another person in work submitted for assessment. A student cannot be found to have committed plagiarism where it can be shown that the student has taken all reasonable care to avoid representing the work of others as his/her own.

If the examiners of a research degree, having read the thesis and having heard the candidate's oral defence believe that the work reported in the thesis is not the candidate's own work or that the thesis in whole or in part has not been composed by the candidate, they will inform the candidate that plagiarism is suspected and that no decision can be made. In this situation the Internal and External Examiners role is restricted to the presentation of evidence and they will be required to produce a detailed written report. The Examiners' report forms, the detailed report and copies of the thesis should be passed to the Head of School. The Examiners should also send the Registry a copy of the report forms with a note that the Head of School is investigating the allegation with the student. The head of School should then investigate the allegation under the Code of Practice

on Student Discipline. This will include meeting with the student to discuss the allegation. If, after investigation, the Head of School believes that plagiarism may have taken place, he/she will send full details to the registry for formal investigation by a Vice-Principal.

## 16. Information Systems and Services

### 16.1 Library Services

The University Library is one of the largest and best equipped in Scotland and employs the latest technology for both staff and student use. It has well over a million volumes, ranging from ancient papyri to the latest electronic resources on a wide range of subjects. Most of the books and journals can be freely borrowed and there are ample reading areas where students can study.

Information about library services can be found at <http://www.abdn.ac.uk/library/>

### 16.2 Computing Services

The Directorate of Information Technology (DIT) provides central computing facilities and services. Before using University computing facilities, students must **register** to obtain their personal *username* and *password* as part of the eRegistration process. They will retain the same username throughout their time at the University but they will have to re-register at the start of each academic year.

**It is essential that all research students register for a University email account as without it they will miss out on important information sent to the research postgraduates email mailbox.**

Information about computing services can be found at: [www.abdn.ac.uk/dit/](http://www.abdn.ac.uk/dit/)

## 17. Students' Association

The Aberdeen University Students' Association (AUSA) exists to promote the interests of all matriculated students and to communicate on their behalf with the University authorities on matters affecting students. The AUSA also provides a wide range of services. Full details can be found at [www.ausa.org.uk](http://www.ausa.org.uk)

## 18. Student Support Services

Student Support Services is the umbrella organisation for various areas: University Counselling Service; University Chaplaincy; Wardenial staff; and the Student Advice and Support Centre. The latter office provides advice and support for international students and students with disabilities, and advice for all students on welfare matters.

Further details about Student Support Services can be found at [www.abdn.ac.uk/students](http://www.abdn.ac.uk/students)

## 19. Students with Disabilities

The University of Aberdeen welcomes disabled students and is committed to improving access to courses, facilities, buildings and social life.

If you are a disabled student or have a particular impairment or medical condition, you may have specific queries relating to the accessibility of the University and its courses. You are welcome to contact a Student Support Officer/Disability Adviser for general discussion or with specific queries relating to your personal circumstances.

The University's Student Support Officers/Disability Advisers provide general support to all students and specifically to disabled students. In addition to general issues, they can help answer queries when students are considering applying to the University, discuss specific arrangements with students once they have accepted a place and liaise with academic and non-academic departments to ensure that, where possible, these requirements are met. They can also advise students regarding applications for a Disabled Students' Allowance. They also advise members of University staff on disability-related matters.

Further information can be found at [www.abdn.ac.uk/disability](http://www.abdn.ac.uk/disability)

## 20. Council Tax

This is a local tax payable to the City of Aberdeen and Aberdeenshire Councils. The tax depends on the value of the property in which you live. Most **full-time** students do not pay Council Tax, because they live in accommodation occupied entirely by students, or because they live with their parents, who pay the Council Tax on the family home. **However, if you are a part-time student, or if you share accommodation with other adults who are not students, you could have to pay some, or all, of your property's Council Tax.**

The University routinely provides Aberdeen City and Aberdeenshire Councils with confirmation of its full-time students' status. If you have registered, and need confirmation that you are a full-time student so that you can claim exemption from Council Tax, please ask at the Student Reception in the University Office.

Part-time students and students in their writing up year(s) are not usually entitled to exemption and will be liable to pay Council Tax. However, from September 2005, Aberdeen City Council has agreed to regard postgraduate research students who have previously been full-time whilst under supervised study as continuing to be full-time in the 12 month period following conclusion of their registration for supervised study. Provided that the University can certify that they are undertaking study of at least 21 hours per week for a period of 24 weeks or more these students will then be exempt from paying Council Tax for that period. Aberdeenshire Council, so far, does not offer this concession.

This applies only to students who were full-time throughout their supervised period of study, and who have paid fees at the standard full-time rate throughout their period of study. Students in this category must complete with their supervisor an application form for Council tax Exemption available at <http://www.abdn.ac.uk/registry/documents/download/PgForms.shtml>

## 21. Data Protection and Freedom of Information

### 21.1 Data Protection

The University requires a certain amount of personal information for the administration of students' studies and to ensure the proper completion of their chosen courses or degree programme. All personal information provided by students will be treated strictly in terms of the Data Protection Act 1998: their confidentiality will be respected and all appropriate measures will be taken to prevent unauthorised disclosure. The data students provide will be used for stated purposes only and they would be advised about any further uses.

The University does all it can to ensure that all data remains up-to-date and accurate, but there are some areas in which we must emphasise our reliance on students to inform us of changes which occur between updates. It is therefore extremely important that students keep us informed of any such changes, to avoid situations where (for example) we might send vital mail to the wrong address. Students have access to the personal information held about them on the Student Record system via their Student Portal. **Students must use their Portal to check the information held on them and change anything that is incorrect or is missing.**

Students who require to process personal data as part of their studies must also ensure that they abide by the Data Protection Act. Further information on the Act can be accessed at <http://www.abdn.ac.uk/hr/uploads/files/data%20protection.pdf>

Information regarding Freedom of Information and the University's Publication scheme can be found at <http://www.abdn.ac.uk/foi/>

## 21.2 HESA Student Collection Notice

We will send some of the information we hold about you to the Higher Education Statistics Agency (HESA). This forms your HESA record, which contains details of your ethnic group and any disabilities you have. HESA will pass your record, or parts of it, to any of the following organisations that need it to carry out their statutory functions connected with higher education:

- Department for Innovation, Universities and Skills (DIUS)
- Welsh Assembly Government (WAG)
- Scottish Executive (SE) [Scottish Government (SG)]
- Department for Employment and Learning, Northern Ireland (DEL(NI))
- Higher Education Funding Council for England (HEFCE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Further and Higher Education Funding Council (SFC)
- Training and Development Agency for Schools (TDA)
- Research Councils (RCs)
- Department for Children, Schools and Families (DCSF)

HESA and the organisations listed above will use the information mainly to produce statistics. This may result in information being published and released to other approved users, including academic researchers and commercial organisations. Your record will not be used in a way that could affect you personally and the organisations will take precautions to reduce the risk of you being identified from the information once it is published and released.

While you are a student, we will need to keep your contact details. These do not form part of your HESA record, so HESA and the organisations listed above cannot use this record to contact you.

Your contact details may be passed to survey contractors to carry out the National Student Survey and surveys of student finances, on behalf of the education organisations listed above. These organisations and their contractors will use your details only for that purpose, and will then delete them.

About six months after you graduate, we will contact you to ask you to fill in the HESA 'Destinations of Leavers from HE' survey. We will not give your contact details to HESA. You might be included in a sample of leavers who are surveyed again a few years after they graduate. If so, we will pass your contact details to the organisation that has been contracted to carry out that survey. That organisation will use your details only for that purpose, and will then delete them. (If you do not want to take part in this second survey, please let us know.)

Under the Data Protection Act 1998, you have the right to a copy of the information HESA holds about you. You will have to pay a small fee for this. If you have any concerns about your information being used for these purposes, please contact HESA.

HESA  
95 Promenade  
Cheltenham  
GL50 1HZ  
Website:

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



## **APPENDIX 1: Researcher Development Statement**

Launched in July 2010, the Researcher Development Statement (<http://www.vitae.ac.uk/policy-practice/275981/Researcher-Development-Statement-RDS.html>) replaces the Joint Skills Statement and is endorsed as the framework for skills training of research

students.

### Researcher Development Statement

The UK is committed to enhancing the higher-level capabilities of the UK workforce including the development of world-class researchers. Researchers are critical to economic success, addressing major global challenges, and building a leading knowledge economy.

The Researcher Development Statement (RDS) sets out the knowledge, behaviours and attributes of effective and highly skilled researchers appropriate for a wide range of careers.

The RDS is for policy makers and research organisations which provide personal, professional and career development for researchers in higher education.

The Researcher Development Statement is derived from the Researcher Development Framework (RDF), a major new approach to researcher development, which aims to enhance our capacity to build the UK workforce, develop world-class researchers and build our research base.

The RDS and RDF will contribute to researcher training and development in the UK by providing a strategic statement (RDS) and operational framework (RDF) to support the implementation of the Concordat to Support the Career Development of Researchers<sup>1</sup>, the QAA Code of practice for research degree programmes<sup>2</sup> and the 'Roberts'<sup>3</sup> recommendations for postgraduate researchers and research staff.

The RDS is structured in four domains, which encompass what researchers need to know to do research, how to be effective in their approach to research, when working with others, and in

contributing to the wider environment. Within each of the domains are three sub-domains and associated descriptors, which describe different aspects of being a researcher.



The Researcher Development Statement is an evolution of the Research Councils' Joint Skills Statement (JSS) and replaces the JSS as the key reference statement for the development of postgraduate researchers' skills and attributes and researchers employed in higher education. All the skills and attributes of the JSS have been incorporated into the RDS and their distribution is identified in the table below. A two-way mapping of the RDS and the JSS is available on the RDF section of the Vitae website.

For more information and to comment on the Researcher Development Framework and associated Statement go to [www.vitae.ac.uk/rdf](http://www.vitae.ac.uk/rdf)

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

<sup>1</sup> [www.researchconcordat.ac.uk](http://www.researchconcordat.ac.uk)

<sup>2</sup> [www.qaa.ac.uk](http://www.qaa.ac.uk)

<sup>3</sup> [http://webarchive.nationalarchives.gov.uk/+http://www.hm-treasury.gov.uk/set\\_for\\_success.htm](http://webarchive.nationalarchives.gov.uk/+http://www.hm-treasury.gov.uk/set_for_success.htm)

<b>Domain A: Knowledge and intellectual abilities</b>		
This domain relates to the knowledge and intellectual abilities needed to be able to carry out excellent research.		
<b>Sub-domain</b>	<b>Sub-domain summary</b>	<b>JSS</b>
<b>1. Knowledge base</b> <ol style="list-style-type: none"> <li>1. Subject knowledge</li> <li>2. Research methods – theoretical knowledge</li> <li>3. Research methods – practical application</li> <li>4. Information seeking</li> <li>5. Information literacy and management</li> <li>6. Languages</li> <li>7. Academic literacy and numeracy</li> </ol>	<b>Knowledge of:</b> The area of research, the advances within it and its relationships with other research areas The methods and experimental techniques appropriate for research design Sources of information, bibliographic software and other information technologies Literacy and numeracy skills and language abilities appropriate for research  <b>Behaviour:</b> Makes original contributions to knowledge Identifies, applies and develops methods and experimental techniques appropriate for research projects Conducts effective and comprehensive information searches Records, manages and handles information/data using appropriate bibliographic software and other information technologies	A3 A4 B6 C2 C3 C4 E1
<b>2. Cognitive abilities</b> <ol style="list-style-type: none"> <li>1. Analysing</li> <li>2. Synthesising</li> <li>3. Critical thinking</li> <li>4. Evaluating</li> <li>5. Problem solving</li> </ol>	<b>Behaviour:</b> Analyses and evaluates findings using appropriate methods Thinks originally, independently and critically; develops theoretical concepts Critically synthesises information from diverse sources Evaluates progress, impact and outcomes of research Recognises and validates problems; formulates and applies solutions to a range of research problems  <b>Attitude:</b> Willing to give and receive constructive criticism	A1 A2 A5 A6
<b>3. Creativity</b> <ol style="list-style-type: none"> <li>1. Inquiring mind</li> <li>2. Intellectual insight</li> <li>3. Innovation</li> <li>4. Argument construction</li> <li>5. Intellectual risk</li> </ol>	<b>Behaviour:</b> Develops new ways of working; has novel ideas and realises their potential Identifies new trends; creates new opportunities Develops convincing and persuasive arguments to defend research Takes intellectual risks; challenges the status quo  <b>Attitude:</b> Takes a creative, imaginative and inquiring approach to research Is open to new sources of ideas	D1 D2 D3 D7* E3

\*Denotes where a Joint Skills Statement (JSS) descriptor has been incorporated into different descriptors within the RDF

<b>Domain B: Personal effectiveness</b>		
This domain contains the personal qualities, career and self-management skills required to take ownership for and engage in professional development.		
<b>Sub-domain</b>	<b>Sub-domain summary</b>	<b>JSS</b>
<b>1. Personal qualities</b> <ol style="list-style-type: none"> <li>1. Enthusiasm</li> <li>2. Perseverance</li> <li>3. Integrity</li> <li>4. Self-confidence</li> <li>5. Self-reflection</li> <li>6. Responsibility</li> </ol>	<b>Attitude:</b> Approaches research with enthusiasm, passion and confidence Is resilient and perseveres in the face of obstacles Is self-reflective; seeks ways to improve performance and strives for research excellence Is pro-active, independent, self-reliant and takes responsibility for self and others Shows integrity	B3 D5 D6 D7*
<b>2. Self-management</b> <ol style="list-style-type: none"> <li>1. Preparation and prioritisation</li> <li>2. Commitment to research</li> <li>3. Time management</li> <li>4. Responsiveness to change</li> <li>5. Work-life balance</li> </ol>	<b>Behaviour:</b> Anticipates and responds to directions and trends in research Plans, prioritises and conducts research in proactive way Delivers research projects and results on time and effectively Develops awareness of, and helps to achieve, work-life balance for self and colleagues  <b>Attitude:</b> Has a strategic approach to research Has focus, commitment and ambition Is flexible and responsive to change	
<b>3. Professional and career development</b> <ol style="list-style-type: none"> <li>1. Career management</li> <li>2. Continuing professional development</li> <li>3. Responsiveness to opportunities</li> <li>4. Networking</li> <li>5. Reputation and esteem</li> </ol>	<b>Knowledge of:</b> Career and employment opportunities inside and outside academia  <b>Behaviour:</b> Takes ownership of and manages professional development Shows commitment to continuing professional development and enhancing employability Maintains and develops relevant skills set and experience in preparation for a wide range of opportunities within and outside academia Actively networks for professional and career purposes and seeks to enhance research reputation and esteem	D4 F1 G1 G2 G3 G4

\*Denotes where a Joint Skills Statement (JSS) descriptor has been incorporated into different descriptors within the RDF

Domain C: Research governance and organisation		
This domain relates to the knowledge of the standards, requirements and professional conduct that are needed for the effective management of research.		
Sub-domain	Sub-domain summary	JSS
<b>1. Professional conduct</b> <ol style="list-style-type: none"> <li>1. Health and safety</li> <li>2. Ethics and principles and sustainability</li> <li>3. Legal requirements</li> <li>4. IPR and copyright</li> <li>5. Respect and confidentiality</li> <li>6. Attribution and co-authorship</li> <li>7. Appropriate practice</li> </ol>	<b>Knowledge of:</b> Health and safety issues, confidentiality and ethical requirements of his/her research field The legal requirements and regulations relating to the area of research and the research environment The principles of intellectual property rights (IPR) and copyright issues, as they relate to research, its commercialisation and dissemination Organisational and professional requirements and environmental impact of research The concept of corporate social responsibility  <b>Behaviour:</b> Respects, acknowledges and attributes the contribution of others Seeks to protect, where appropriate, the intellectual assets arising from research and to maximise the wider value of research findings Acts with professional integrity in all aspects of research governance Uses institutional/organisational resources responsibly and appropriately Seeks ways of working in a sustainable manner  <b>Attitude:</b> Respects, upholds and meets professional standards and requirements	B2 B4
<b>2. Research management</b> <ol style="list-style-type: none"> <li>1. Research strategy</li> <li>2. Project planning and delivery</li> <li>3. Risk management</li> </ol>	<b>Knowledge of:</b> The contribution of research to the health of disciplines and institutional missions Project management tools and techniques  <b>Behaviour:</b> Applies appropriate project management tools and techniques Sets goals and plans and manages resources to deliver results Effectively assesses and manages risks Evaluates the effectiveness of research projects	C1
<b>3. Finance, funding and resources</b> <ol style="list-style-type: none"> <li>1. Income and funding generation</li> <li>2. Financial management</li> <li>3. Infrastructure and resources</li> </ol>	<b>Knowledge of:</b> The requirement for research income generation and financial management Mechanisms for funding, the range of funding sources and the processes for making applications Local administrative systems, reporting procedures and infrastructure processes  <b>Behaviour:</b> Responsibly manages finances, resources and infrastructures related to research	B5

Domain D: Engagement, influence and impact		
This domain relates to the knowledge, understanding and skills needed to engage with, influence and impact on the academic, social, cultural, economic and broader context.		
Sub-domain	Sub-domain summary	JSS
<b>1. Working with others</b> 1. Collegiality 2. Team working 3. People management 4. Supervision 5. Mentoring 6. Influence and leadership 7. Collaboration 8. Equality and diversity	<b>Behaviour:</b> Actively works in an inclusive, respectful and constructive way with colleagues, stakeholders and research users Recognises and acknowledges the contribution of others and own part in team success Builds relationships in academic and commercial contexts; approachable and interacts constructively with others; manages expectations and resolves conflict Supervises, mentors and develops the potential of less experienced researchers and colleagues through support and advice Leads, motivates and influences where appropriate; persuades through listening and convincing discussion Builds and sustains collaborative relationships and works pro-actively to create and develop knowledge with a range of stakeholders, including researchers, funders and users of research <b>Attitude:</b> Respects the inclusive and collegial manner in which researchers conduct relationships within and beyond academia Recognises the potential for working in sustained partnerships with a range of stakeholders to generate new ideas, insights and maximise the potential for wider societal and economic impact Respects individual difference and diversity	E5 F2 F3
<b>2. Communication and dissemination</b> 1. Communication methods 2. Communication media 3. Publication	<b>Knowledge of:</b> Appropriate communication and dissemination mechanisms for different audiences The importance of engaging in the processes of publication and dissemination of research results and impacts <b>Behaviour:</b> Communicates effectively in both written and oral modes with a range of audiences formally and informally through a variety of different techniques and media Actively engages in publication and dissemination of research results and impacts	E2
<b>3. Engagement and impact</b> 1. Teaching 2. Public engagement 3. Enterprise 4. Policy 5. Society and culture 6. Global citizenship	<b>Knowledge of:</b> Global, organisational, cultural, economic, and environmental contexts, and the wider impact of research The social and ethical implications of research, and public attitudes to these issues The range of mechanisms to support knowledge transfer and maximise the impact of research in academic, economic and societal contexts <b>Behaviour:</b> Engages with and shares research through research-informed and student-focused teaching Contributes to increasing public awareness, engagement and understanding of research and associated impacts Identifies innovative trends, ideas and applications; is enterprising and entrepreneurial within and beyond academia Works collaboratively with all stakeholders to create, develop and exchange research knowledge to influence and benefit policy development, society and the economy; seeks new outlets and promotes the application of research in innovative ways Appreciates and works with diversity and difference in research and education <b>Attitude:</b> Values the contribution of research to teaching and teaching to research Recognises the importance of accountability of research with regard to social and economic impacts, internationalisation and global citizenship	B1 B7 E4



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