

LTC12D035

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Report from the Postgraduate Research Programmes Policy Group

The Policy Group last met for on Friday 23 November 2012. The notes that follow summarise the position reached by the Policy Group.

There are two recommendations arising from the meeting for LTC to consider:

- That proposals for changes to the Procedures for dealing with Allegations of Misconduct in Research (**DIVIDER 1**) and to Section 5 of the Research Degree Policy Documents be approved (**DIVIDER 2**).
- That proposals for changes to the Calendar Rules for the Submission of Work for Higher Degrees, Consultation and Borrowing of Theses, Rules for the Form of Theses (Research Degrees) and to Section 3 of the Research Degree Policy Documents be approved (**DIVIDER 3**).

1. Misconduct in Research

The previous overarching version of the Misconduct in Research Procedures (2006) was reviewed by Research and Enterprise Services over summer 2012 in consultation with the Chair and Secretary of the Senate Student Disciplinary Committee and the Postgraduate Research Office. The draft revised Procedures for dealing with Allegations of Misconduct in Research were endorsed by the University's Research Executive on 8 November 2012. The principles apply to all present or past staff and students, but the detailed procedures (section 3 onwards) apply to staff only.

The Misconduct in Research procedures for research students were separated from those from staff and amended as part of the review of Disciplinary Procedures for Students in 2010-11; the procedures for staff remained the same until the current review. The current Misconduct in Research procedures for research students form Section 5 of the Research Degree Policy Documents.

Senate agreed in June 2012 (SEN11D024) that Regulation 15 'Conduct of Research' would apply to all students, not just research students, to take effect from the 2012-13 academic year. General Regulation 15 directs all students to the Procedures on Misconduct in Research, to be found on the PGR Office website.

[Changes proposed to the University Procedures for dealing with Allegations of Misconduct in Research](#)

The University Procedures for dealing with Allegations of Misconduct in Research now include revised sections 1 and 2 (Preamble and Principles) from the current Misconduct in Research Procedures for students and an explicit reference has been added guiding students to section 5 of the Research Degree Policy Documents.

The wording in Preamble 1.2 (v) *Conducting research for which the University requires there to be prior ethical approval whilst having failed to secure that approval* has been extended to 'approval' because there are permissions in addition to ethical approval which may also be required as listed in the footnote.

There are three new sub-clauses in 1.2 to align with recommendations in "The Concordat to Support Research Integrity" which was published in July 2012:

- (x) Failure to declare conflicts of interest
- (xi) Misrepresentation of involvement or authorship
- (xii) Improper dealing with allegations of misconduct

Revisions proposed to Section 5 of the Research Degree Policy Documents

Section 5 of the Research Degree Policy Documents requires amendment to remove sections 1 and 2 and replace with a reference to the University's Preamble and Principles.

The only other proposed change is that the wording in Receipt of Allegations 2.3 *Where the student concerned is funded by or engaged with RCUK, the Head of School (or the Dean of Faculty) shall consult the Academic Registrar as to whether the case should be reported to the RCUK* is amended to

Where the student concerned is funded by or engaged with one of the UK Research Councils the Head of School (or the Dean of Faculty) shall consult the Registrar and Secretary as to whether the case should be reported to the Research Council concerned to maintain consistency with the Procedures for staff.

The Policy Group **endorsed** the changes to the University Misconduct in Research Procedures and to Section 5 of the Research Degree Policy Documents.

Recommendation

The Policy Group recommends that the proposals for changes to the Misconduct in Research Procedures be approved.

2. Electronic thesis submission

Since 2010 students have been offered the option of submitting either an electronic copy or a hard bound copy of their thesis to the Library. The majority of students now submit an electronic copy. The issue of mandating electronic submission was discussed at the Postgraduate Research Programmes Policy Group meeting on 9 May 2012 (Minute 9 refers) and at the Learning and Teaching Committee on 27 June 2012 (LTC11M006 Minute 73(4) refers). It was agreed that submission of an electronic copy of the thesis for the Library be made mandatory from January 2013 unless a student specifically requested to submit a hard copy instead.

The Calendar Rules and Research Degree Policy Documents have been updated accordingly, as set out in Appendices A to D. Amendments have also been made to reflect the new Regulations for the Professional Practice PhD programmes in the School of World Art Studies and Museology, and School of Film, TV and Media Studies.

Recommendation

The Policy Group recommends that the proposals for changes to the Calendar Rules and Research Degree Policy Documents be approved.

Attachments¹

DIVIDER 1

Proposed changes to Procedures for dealing with Allegations of Misconduct in Research

DIVIDER 2

Proposed changes to Section 5 of the Research Policy Document

DIVIDER 3

- Appendix A Revised Rules for the Submission of Work for Higher Degrees.
- Appendix B Revised Consultation and Borrowing of Theses
- Appendix C Revised Rules for the Form of Theses (Research Degrees)
- Appendix D Revised Section 3 Research Degree Policy Documents
Research Degrees: Submission, Presentation, Consultation and Borrowing of
Theses

3. PRES Questionnaire 2013

The Postgraduate Research Experience Survey (PRES) questionnaire is undergoing significant changes in advance of the 2013 survey. The changes include:

- Removal of a range of current scales and individual items
- Introduction of new scales which are aligned with the Researcher Development Framework, as well as some new items within the retained scales
- Improvements to the wording of some questions

More detail about the proposed changes to PRES 2013 can be found at:
http://www.heacademy.ac.uk/assets/documents/postgraduate/PRES_2013_full_proposals.pdf
and a draft version of the questionnaire at:
http://www.heacademy.ac.uk/assets/documents/postgraduate/PRES_2013_draft.pdf

¹ Additional text in bold

**UNIVERSITY OF EAST ANGLIA
PROCEDURES FOR DEALING WITH ALLEGATIONS OF MISCONDUCT IN RESEARCH**

1. PREAMBLE

- 1.1 These Procedures outline the action to be taken when allegations of misconduct in research are brought against any present or past student or member of staff of the University in respect of research undertaken while registered with or employed by the University.
- 1.2 In this context, the term misconduct in research means fabrication, falsification, plagiarism, misrepresentation, impersonation, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific communities for proposing, conducting or reporting research. It specifically encompasses the following:
- (i) Piracy - the deliberate exploitation of ideas from others without acknowledgement;
 - (ii) Plagiarism - the copying of ideas, data or text (or various combinations of the three) without permission or acknowledgement;
 - (iii) Fraud - deliberate deception, usually involving the invention of data;
 - (iv) Conducting research in a manner which contravenes the terms of approval granted by the University or by other relevant bodies and accepted by the University as governing the conduct of the research in question;²
 - (v) Conducting research for which the University requires there to be prior approvals whilst having failed to secure those approvals;
 - (vi) Failure to follow accepted procedures or to exercise due care in carrying out responsibilities for avoiding unreasonable risk of harm to humans, animals or the environment;
 - (vii) Mismanagement or inadequate preservation of data and/or primary materials;
 - (viii) Misappropriation of data;
 - (ix) Improper conduct in peer review.
 - (x) Failure to declare conflicts of interest
 - (xi) Misrepresentation of involvement or authorship
 - (xii) Improper dealing with allegations of misconduct

It does not include honest error or honest differences in interpretations or judgements of data.

2. PRINCIPLES

- 2.1 Since an allegation of misconduct in research is a serious and potentially defamatory action the operation of these Procedures shall accord with the following:
- 2.1.1 All allegations of misconduct in research shall be treated seriously and fairly and their merit investigated with integrity and with sensitivity.
 - 2.1.2 In all enquiries and in any action taken as a result of their outcome, due regard shall be had to the need:
 - (i) to protect researchers against malicious, frivolous or ill-founded allegations of misconduct in research;
 - (ii) to protect the position and reputation of those alleged to have engaged in misconduct in research when such allegations are not confirmed;

² Research Ethics Committee, organisational Research Governance Committees, Medicines and Healthcare products Regulatory Agency (MHRA), Home Office etc.

- (iii) to protect the position and reputation of those who make allegations of misconduct in research in good faith, i.e. with the honest belief that misconduct in research may have occurred;
- (iv) to observe the principle of non-detriment, i.e. neither the person making the allegation of misconduct in research ("the Complainant") nor the person against whom such an allegation is made ("the Respondent") should suffer solely as a consequence of the fact that a good faith allegation has been made;
- (v) to consider the public interest, particularly where issues of health and safety may be relevant.

2.1.3 Accordingly:

- (i) all enquiries (including the formal investigation - if any) shall be conducted on the basis of confidentiality to the strictest extent possible without compromising health and safety or the appropriate and thorough investigation of the allegation of misconduct in research;
- (ii) the University shall throughout take all reasonable measures to preserve the anonymity of the Complainant; However, there may be a balance to be struck in the application of this principle e.g. it may be impractical to undertake a detailed screening of the allegation(s) without revealing the identity of the Complainant, and the Respondent may be unable to respond without knowing the identity of the Complainant;
- (iii) the University shall seek to ensure that in conducting any investigations and considering any findings, information concerning the allegation and investigation is made available only to persons who have a reasonable need to receive it, in order to assist the University in reaching an informed decision in relation to the allegation and any action that may at any stage need to be taken. In making information available during an investigation, the University shall make clear that whilst investigative procedures have been initiated, no conclusion has yet been reached;
- (iv) the principles of natural justice shall be observed, that is to say the Respondent shall be fully informed about what he or she has to answer and shall have the fullest opportunity to reply. The Respondent may be accompanied by a person of his or her choice at any stage of proceedings;
- (v) those making enquiries shall endeavour to conduct them so as to retain the confidence of both the Complainant and the Respondent;
- (vi) the standard of proof required by the University shall be that of 'the balance of probability';
- (vii) action taken following an allegation shall be proportionate, taking account of the nature of the allegation;
- (viii) in certain circumstances the University may consider it appropriate to conduct its enquiries following an allegation of misconduct in research jointly or otherwise in collaboration with other bodies or institutions. Such circumstances could include where collaborative research is being undertaken, or where research is conducted by a student in the course of his or her employment with another institution or body. In any such collaborative investigation the University shall satisfy itself that the joint procedure to be followed above will respect confidentiality in the spirit of paragraph 2.1.3(iii) above.

3. RECEIPTS OF ALLEGATIONS: SCREENING

For students

- 3.1 Any allegation of misconduct in research against a student will be handled in accordance with Section 5 of the Research Degree Policy Documents. The following sections are not applicable to undergraduate, postgraduate taught or postgraduate research students.

For staff

3.2 Any allegation of misconduct in research must be made in writing by the Complainant to the Head of the School (or other equivalent senior office holder in non-School units) or to his/her deputy if the office holder is the Complainant or the Respondent. The Complainant must provide a detailed written statement in support of the allegation before any enquiries are instigated.

3.2.1 The person receiving the allegation shall consider whether any immediate action is required, for example in the interests of health and safety or of safeguarding evidence.

3.3 On receipt of the Complainant's written statement relating to a (former) member of staff there shall be a preliminary evaluation of the available evidence ("Screening") to decide whether a formal investigation of possible misconduct in research is warranted. The Screening shall be undertaken by the Head of School and the Chair of the School Research Committee (where this exists) or such other person as may have been appointed for the purpose by the Head of School or the governing body of the unit concerned ("the Screeners"), excepting in circumstances where:

(i) the Head of School or other nominated Screener is also the Complainant or the Respondent,

or

(ii) either Screener considers there to be a real or apparent conflict of interest in which case the recipient of the allegation of misconduct in research shall ensure that the initial referral is passed to the Registrar and Secretary, who shall request the Pro-Vice-Chancellor with responsibility for research to appoint (an) alternative Screener(s) of appropriate expertise and seniority. The Screeners shall in any event notify the Registrar and Secretary and the Pro-Vice-Chancellor with responsibility for research in writing and in confidence of the receipt and nature of the allegation.

3.4 The Screeners shall consider the evidence available and, if considering that:

- (i) there is insufficient information to make a decision on how to proceed, and/or
- (ii) they require the contribution of additional expertise in order to conclude an evaluation

they shall be free to seek confidential advice in writing from experts in the relevant subject both within the University and outside it but in so doing they shall at this stage make no information available which could lead to the identification of the Complainant or the Respondent. If they consider it appropriate, the Screeners shall also be free to consult in confidence with the Pro-Vice-Chancellor with responsibility for research in the course of their evaluation.

3.5 At the conclusion of their evaluation of the evidence but before finalising a written record, the Screeners shall in confidence:

- (i) inform the Respondent in writing of the nature of the allegation of misconduct in research and of the results of their evaluation, taking care not to disclose the identity of the Complainant. However, there may be a balance to be struck in the application of this principle e.g. it may be impracticable to undertake a detailed screening of the allegation(s) without revealing the identity of the Complainant, and the Respondent may not be able to respond without knowing the identity of the Complainant;
- (ii) invite the Respondent to make any written comments within ten working days;
- (iii) if proposing a course of action as in 3.5.2 or 3.5.3 below, specifically give the Respondent the opportunity to explain in writing any inconsistencies or

irregularities which may have become apparent from the receipt and Screening of the allegation of misconduct in research;

(iv) take into account any comments received.

3.6 Subsequent to the above, the Screeners shall decide upon one of the following three courses of action:

3.6.1 They may consider the allegation of misconduct in research to be unfounded, either because it is mistaken, or is frivolous or is otherwise without substance, in which case they must dismiss it. If deeming the allegation to be malicious, the Screeners shall, having dismissed the complaint, so inform the Registrar and Secretary, who may invoke appropriate disciplinary action against the Complainant.

3.6.2 They may consider that there is some substance in the allegation of misconduct in research but that the matter does not warrant a formal investigation, in which event they shall decide what action if any is required to put the matter right in so far as is possible.

3.6.3 They may consider that there is sufficient substance in the allegation of misconduct in research to instigate a formal investigation of the complaint.

3.7 The Screeners shall make a confidential written record of their evaluation and decisions and shall lodge it with the Registrar and Secretary together with:

(i) any documentation used in the investigation;

(ii) any written comments received from the Respondent.

3.8 The Registrar and Secretary shall:

(i) notify both the Complainant and the Respondent in writing of the Screeners' decisions, enclosing for each a summary of the Screeners' findings;

(ii) take any administrative actions that may be immediately necessary to protect the funds and/or other interests of relevant grant- or contract-awarding bodies³ and to meet all contractual commitments;

(iii) inform the Pro-Vice-Chancellor with responsibility for research of the course of action proposed and, with the Pro-Vice-Chancellor with responsibility for research, ensure that any action required under 3.5 above is instigated, executed and recorded by the appropriate parties;

(vi) retain the report and documentation in confidence for five years.

3.9 Screening shall be completed within 20 working days of receipt of the initial allegation of misconduct in research unless circumstances clearly warrant a longer period (such reasons to be documented in the Screeners' written record).

4. INVESTIGATION

4.1 If a formal investigation has been considered necessary by the Screeners, the Registrar and Secretary and the Pro-Vice-Chancellor with responsibility for research

³ the phrase "grant or contract awarding body (ies)" includes partners in collaborative research, any bodies responsible for giving approval or permission for the research and the Office of Research Integrity in the case of grants from the US Department of Health and Human Services (HHS).

shall appoint a panel of three impartial investigators ("the Panel") with appropriate expertise and seniority, at least one of whom shall be from outside the University and each of whom shall be asked to confirm in writing that their appointment involves no conflict of interest. The formal investigation shall commence within 30 days of completion of the investigation by the Screeners.

- 4.2 The Registrar and Secretary shall:
- (i) report to the Senate and the Council that such an investigation has been initiated but without disclosing the names of individuals involved;
 - (ii) inform in confidence any relevant grant- or contract-awarding body² about such an investigation where there is a requirement to do so;
 - (iii) consider with the Pro-Vice-Chancellor with responsibility for research whether, without prejudice to the proper conduct of the investigation, any other action should be taken at this stage pending the outcome of the investigation and if so to instigate such action.
- 4.3 The aim of the Panel shall be to ensure that justice is both done and seen to be done. Within the procedures, the Panel shall be free to determine its own detailed approach to the conduct of the investigation and its scope. Both the Complainant and the Respondent shall be asked to produce relevant documentary evidence such as laboratory notebooks, papers, witness statements, computer records etc to support the allegation of misconduct in research and the explanation. It shall be up to the Panel to form its own view on apparently contradictory pieces of evidence.
- 4.4 If the Panel's preliminary conclusion is that the allegation of misconduct in research is upheld, the full case, with supporting evidence, shall be put to the Respondent for comment. Any further evidence produced at this stage shall be investigated.
- 4.5 If the Panel's preliminary conclusion is that the allegation of misconduct in research is not upheld, the full case, with supporting evidence, shall be put to the Complainant for comment. Any further evidence produced at this stage shall be investigated.
- 4.6 The process described in 4.4 and 4.5 above shall be repeated until the Panel is satisfied that natural justice has been served and further investigations are not warranted and that it can reach a final conclusion on the allegation of misconduct in research.
- 4.7 During the investigation all records and related evidence shall be kept confidential by the Panel. Records of any interviews shall be agreed with the interviewee. The Registrar and Secretary or his representative shall provide confidential secretarial cover as necessary and shall draft a written report for the Panel of the investigation undertaken (including a list of all documentation and evidence received) and of its findings.
- 4.8 Before finalising and submitting its written report, the Panel shall:
- (i) provide the Respondent with a draft copy for comment;
 - (ii) provide the Complainant with those portions of the draft report which address the Complainant's role and opinions in the investigation together with a summary of its findings;
 - (iii) invite both parties to make any written comments within ten working days. The Panel shall take into account any comments received from the parties, in addition to all the other evidence in finalising its report.
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- 4.9 The investigation shall be completed within 80 working days of its start. If because of exceptional circumstances a longer investigation period is required, the Panel shall notify the Registrar and Secretary, who shall in turn inform the grant- or contract-awarding body² where there is a requirement to do so of progress and of an estimated date of completion.

5. FINDINGS

- 5.1 The Panel shall lodge its written report, when finalised, with the Registrar and Secretary, the Pro-Vice-Chancellor with responsibility for research and the Head of the Respondent's School (or other equivalent officer in non-School units) and shall deposit with the Registrar and Secretary:
- (i) any documentation used in the investigation;
 - (ii) a copy of any written comments which were received as a result of the process described in 4.8 above.
- 5.2 The Registrar and Secretary shall:
- (i) notify the Complainant and the Respondent in writing of the outcome of the investigation, enclosing for each a summary of the Panel's findings;
 - (ii) take any administrative actions that may be necessary to protect the funds and/or other interests of grant- or contract-awarding bodies² and to meet all contractual commitments (including any relating to disclosure of the outcome of the investigation);
 - (iii) ensure that the courses of actions described in 5.3 - 5.5 below are instigated, executed and recorded by the appropriate parties;
 - (iv) retain the report and all documentation in confidence for a period of at least five years.
- 5.3 Should the allegation of misconduct in research be substantiated, the Registrar and Secretary, in consultation with the Head of the School (or other appropriate senior officer), shall decide what action needs to be taken either under the University's disciplinary procedures or otherwise. Such action may include informing the appropriate professional body, the grant- or contract-awarding body² and the editors of all journals in which the Respondent has published articles. Action may also be taken to revoke a degree or other qualification obtained wholly or partly through misconduct in research relevant to that degree or other qualification.
- 5.4 Should the allegation of misconduct in research be dismissed, all reasonable steps shall be taken to preserve the position and reputation of the Respondent and - provided the allegation is considered to have been made in good faith - the Complainant. If the allegation has been found to be malicious, then the matter shall be referred to the Registrar and Secretary as described in 3.5 above. If the case has received any publicity the Respondent shall be offered the possibility of having an official statement released to the media.
- 5.5 The Registrar and Secretary shall inform the Senate and the Council of the allegation of misconduct in research and of the final outcome of the investigation and shall consider in so doing whether the report to these bodies should be made with or without identification of the Respondent (the Complainant remaining anonymous). If the allegation has been dismissed, the Registrar and Secretary shall ensure that the Respondent is given the option of requesting that the report of the case to the Senate
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or the Council shall be only that the allegation has been dismissed and shall not identify the Respondent.

- 5.6 Any appeal regarding the findings of the Panel, or complaint alleging unfair treatment under these Procedures, should be directed to the Vice-Chancellor, who shall consider the representation received and decide what action to take upon it.

March 1998

Updated March 2006

Revised September 2012

SECTION 5

PROCEDURES FOR DEALING WITH ALLEGATIONS OF MISCONDUCT IN RESEARCH AGAINST STUDENTS

1. PREAMBLE

- 1.1 These Procedures outline the action to be taken when allegations of misconduct in research are brought against any present or past student of the University in respect of research undertaken while registered with the University.
- 1.2 The context of what constitutes misconduct in research and the principles which guide the operation of these Procedures are set out in the University's Procedures for Dealing with Allegations of Misconduct in Research.

2. RECEIPTS OF ALLEGATIONS

- 2.1 Any allegation of misconduct in research must be made in writing by the Complainant to the Head of the School. The Complainant must provide a detailed written statement in support of the allegation before any inquiries are instigated. In circumstances where

- (a) the Head of School is also the Complainant or the Respondent ,or,
- (b) the Head of School considers there to be a real or apparent conflict of interest,

the allegation shall be referred to the Dean of the Faculty who will appoint an alternative suitable senior person to investigate and report back to the Dean. In the event that it is felt that confidential advice is required from experts in the relevant subjects that may be sought.

- 2.2 On receipt of the Complainant's written statement the Head of School shall
- (i) consider whether any immediate action is required, for example in the interests of health and safety or of safeguarding evidence. In case of sufficient seriousness the Head of School may ask the Vice-Chancellor to suspend the student without prejudice pending the outcome of further inquiries;
 - (i) conduct an investigation to determine whether or not there is a case to be answered and to assemble the detailed evidence. The Head of School may appoint a member of staff with appropriate experience as an Investigating Officer to conduct the enquiry and report to him/her.
- 2.3 Where the student concerned is funded by or engaged with one of the UK Research Councils, the Head of School (or the Dean of Faculty) shall consult the Registrar and Secretary as to whether the case should be reported to the Research Council concerned.
- 2.4 Following the report of the investigation the Head of School (or the of Faculty as appropriate) shall consider the allegation and the evidence collected and determine either:
- (i) that there is no evidence to support the allegation and that it should be dismissed. The Head of School (or Dean of Faculty) shall inform the Complainant of the outcome of the investigation and of his/her decision and where necessary the Respondent;

- (ii) that the evidence supports some elements of the allegation whilst others are not substantiated;
 - (iii) that the evidence supports the allegation to the extent that in the judgement of the Head of School (or Dean of Faculty) the allegation, on the balance of probabilities, should be upheld.
- 2.5 The Head of School (or Dean of Faculty) shall not conclude 2.4(ii) or 2.4(iii) unless the investigation has included the presentation of the allegation to the Respondent and consideration of any response from them to the allegation. In the event of 2.4(i) the Head of School (or Dean of Faculty) shall inform the Complainant and anyone else who has been made aware of the allegation and needs to know the outcome. In the event of 2.4(ii) or 2.4(iii) above, the Head of School (or Dean of Faculty) shall consider the seriousness of the findings and decide whether any further action should be taken, which could include the issue of a warning to the student concerned or referral to the Senate Student Disciplinary Committee (acting in Mode B)*.
- 2.6 Following receipt of the allegation by the Head of School (or Dean of Faculty), the procedures in section 3 above shall be completed as quickly as possible and normally within 40 working days.

* Senate Student Discipline Committee (Mode B)

The Chair or Vice Chair and two members of the academic staff of the University. At the discretion of the Chair, an additional member may be appointed with particular specialist expertise from inside or outside the University.

The Committee is empowered to hear alleged misconduct in research in contravention of General Regulation 15 Conduct of Research.

Consultation and Borrowing of Theses
Section 3 Regulations (Awards) UEA Calendar

If a candidate for a Research Degree is approved for the award of the degree, one **electronic** copy (~~either hard copy or electronic~~) of the thesis is deposited in the University Library where it shall be available for consultation and/or copying in the manner described in the following paragraph. The second (hard) copy is deposited with the School of Studies or **Institute** concerned.

Theses deposited in the University Library cannot be removed from the Library. However, copies may be taken, normally in one of the following ways:

- (1) by the British Library Document Supply Centre which may make a digital copy of UEA PhD theses available for download via EThOS, the British Library's E-theses initiative;
- (2) by the University Library which will make theses **submitted in hard copy** available for reference for use in the Library.

All copies made in accordance with the above provisions will include the title page of the thesis which should include a statement protecting the author's copyright (See Rules for the Form of Theses (Research Degrees) Regulation (3)).

In particular cases where the original **hard copy (if deposited in that form)** is sought, the University Library passes on inter-library loan requests to the School of Studies or **Institute** concerned. Hard-bound copies of theses deposited in the University Library are never lent to other libraries.

The Board of the School, at the request of the author, may determine that a particular thesis shall, for a period of up to three years specified by the Board, be available only to the author or to those who have written permission to consult it. A candidate wishing to apply for a consultation restriction to be placed on his thesis should apply for the appropriate form from the **Postgraduate Research Office** ~~Registry~~. The completed form must accompany the copies of the thesis, when submitted. Theses whose use is restricted in this way are not sent to the British Library Document Supply Centre either in electronic format or for digitisation by EThOS. **The embargoed thesis will still be stored electronically in the UEA Digital Repository, but restricted so as not to display to users and are not made available for copying in other ways** until the restriction has lapsed.

Rules for the Submission for work for Higher Degrees
Section 3 Regulations (Awards) UEA Calendar

1 Theses submitted for Research Degrees

A candidate must submit:

- (1) two copies of the work submitted, but doctoral candidates should see below. Any thesis must be written in English and presented in the required form.
- (2) three copies of an abstract of the thesis, not exceeding 300 words, in a form suitable for publication. If the candidate is awarded the degree, the University may publish this abstract in any manner approved by the Senate or by the Head of the School concerned.
- (3) a statement showing what part, if any, of the material offered has previously been submitted by the candidate for a degree in this or any other University and, if joint work is submitted, what part of it is the candidate's independent contribution.
- (4) a statement of the length of the thesis (which should include footnotes and the bibliography but not other, appendicised material) or of the length of the critical analysis where such an analysis is required.
- (5) a certificate from the primary supervisor that any required taught courses have been satisfactorily completed.
- (6) for doctoral candidates only, a completed British Library Doctoral Thesis Agreement Form and a separate copy of the title and contents page(s) of the thesis.
- (7) for the degrees of PhD by Publication, and of Doctor of Medicine where the candidate is submitting a body of published work, the bound copies of the work submitted must include a list of the publications on which the assessment for the degree is to be based, a critical analysis of the work submitted and, where multiauthored works are included in the list, written evidence of the candidate's own original contribution to the work in respect of:
 - (a) design of the investigation;
 - (b) conduct of the research;
 - (c) analysis of the outcome;
 - (d) preparation of the work for publication.

Copies of all the published work to be assessed must also be included, either bound together with the above or separately contained.

- (8) One copy of the thesis/submission shall be deposited in the University Library and the other in the School concerned.

Candidates ~~are offered the option of~~ should submitting the Library copy of the thesis either as a ~~hard bound copy or~~ as an electronic copy in portable document format (pdf) on a CD, DVD or USB flash drive. The electronic copy must be submitted at the same time as the final version of the printed copy and should be identical to the printed version.

The Library may also, in exceptional circumstances, accept a hard copy of the thesis where the form of the submission makes it difficult to accept in purely digital format, for example, where there are multiple objects that cannot be digitised. The Library will provide advice on this and exceptions will be agreed with the Head of Library Academic Services.

Rules for the Form of Theses (Research Degrees)
Section 3 Regulations (Awards) UEA Calendar

(1) A candidate shall submit the thesis in a condition suitable for preservation in the University Library. A candidate should consult the **Head of Library Academic Services Librarian** as to the proper form of binding for the thesis or to the format of the electronic thesis submission.

(2) Two copies are required of the candidate. If a candidate is successful one copy of the thesis shall be deposited in the University Library and shall be allowed to leave it only on conditions approved by the Senate. The second copy shall be deposited with the School most concerned with the thesis. Candidates ~~are offered the option of~~ should submitting the Library copy of the final version of their thesis, as approved by their Examiners, ~~either as a hard-bound copy or~~ in electronic format in portable document format (pdf) on a CD, DVD or USB flash drive. The electronic copy must be submitted at the same time as the printed copy and should be identical to the printed version, **which is deposited with the School.**

For hard copies of the thesis

(3) The texts of theses shall, as far as possible, be typewritten on ISO A4 size paper of good quality and bound in a fixed binding of boards with black cloth back or other suitable binding. The volume shall bear the name of the candidate, the title of the thesis, the name of the degree for which the thesis is submitted and the date of submission. The title page should include the following words: "This copy of the thesis has been supplied on condition that anyone who consults it is understood to recognise that its copyright rests with the author and that use of any information derived there-from must be in accordance with current UK Copyright Law. In addition, any quotation or extract must include full attribution."

(4) Diagrams, maps and similar documents may be submitted in a portfolio of any size and must bear equally the particulars mentioned in rule (3) above.

(5) A candidate may with the permission of the Learning and Teaching Committee submit recorded material, such as audiotape, videotape and film, of not more than one hour's running length as supporting evidence. This must be in addition to a written thesis and not a substitute for any part of it. The examiners may require candidates to deposit copies of the recorded material with the thesis in the Library and in the appropriate School. Work submitted in non-book material form should be in a durable form suited to preservation over long periods. The item should be provided with an appropriate container approved by the **Head of Library Academic Services Librarian** and bearing on its exterior the particulars listed above (3).

In the case of the Musical Composition programme in the School of Music

(6) Recorded material may be submitted when the musical work is able to exist (as in the case of types of electro-acoustic composition) only in recorded form.

In the case of the Professional Practice programme in the School of World Art Studies and Museology

(7) A substantial part of the thesis may be curatorial, educational or creative in content. This will be represented in the thesis submission by a substantial dossier of practical work presented in an appropriate, accessible and enduring format.

In the case of the Professional Practice programme in the School of Film, Television and Media Studies

(8) A substantial part of the thesis may be creative, or film archival / curatorial, or film educational in content. This will be represented in the thesis submission by a

substantial dossier of practical film and / or video and / or transmedia work, presented in an appropriate, accessible and enduring format.

For all candidates

(9) ~~(7)~~ A candidate may initially submit a thesis in a secure soft binding sufficiently durable for the assessment process. No Pass List will be issued after successful assessment until a previously soft-bound thesis has been resubmitted in the form outlined in rules (1) to (6) above and the candidate has confirmed that no changes, other than any required by the examiners, have been made to any part of the thesis from that previously assessed. ~~For candidates submitting one copy of the final version of their thesis in electronic format and one in hard-bound format, the~~ Pass List will not be issued until both the print version and electronic version of the thesis have been deposited with the University.

(10) ~~(8)~~ Whether soft-bound, hard-bound or in electronic format, all submitted research degree theses must be prepared in accordance with the instructions set out in the 'Research Degrees: Submission, Presentation, Consultation and Borrowing of Theses'.

Section 3 Research Degree Policy Documents
Research Degrees: Submission, Presentation, Consultation and Borrowing of Theses

1. Instructions for Submitting a Thesis

A candidate must submit:

- (1) two copies of the work submitted. Any thesis must be written in English and presented in the required form.

If a candidate is successful one copy of the thesis shall be deposited in the University Library and shall be allowed to leave it only on conditions approved by the Senate. The second copy shall be deposited with the School or Institute most concerned with the thesis (see Section 3 below).

Candidates ~~are offered the option of~~ should submitting the Library copy of the final version of their thesis, as approved by their Examiners, ~~either as a hard bound copy or~~ in electronic format in portable document format (pdf) on a CD, DVD or USB flash drive. The electronic copy must be submitted at the same time as the printed copy and should be identical to the printed version, **which is deposited with the School.**

The Library may also, in exceptional circumstances, accept a hard copy of the thesis where the form of the submission makes it difficult to accept in purely digital format, for example, where there are multiple objects that cannot be digitised. The Library will provide advice on this and exceptions will be agreed with the Head of Library Academic Services.

- (2) three copies of an abstract of the thesis, not exceeding 300 words, in a form suitable for publication. If the candidate is awarded the degree, the University may publish this abstract in any manner approved by the Senate or by the Head of School concerned.
- (3) a statement showing what part, if any, of the material offered has previously been submitted by the candidate for a degree in this or any other University or has formed part of solely or jointly-authored publications. If joint work is submitted, the candidate must indicate what part of it is their independent contribution.
- (4) a statement of the length of the thesis.
- (5) a certificate from the School or Institute that any required taught courses have been satisfactorily completed.
- (6) for doctoral candidates only, a completed British Library Doctoral Thesis Agreement Form and a separate copy of the title and contents page(s) of the thesis.
- (7) for the degree of PhD by Publication, the bound copies of the work submitted must include a list of the publications on which the assessment for the degree is to be based, a critical analysis of the work submitted and, where multi-authored works are included in the list, written evidence of the candidate's own original contribution to the work in respect of:
 - (a) design of the investigation
 - (b) conduct of the research
 - (c) analysis of the outcome
 - (d) preparation of the work for publication.

Copies of all the published work to be assessed must also be included, either bound together with the above or separately contained.

2. Instructions for Presenting a Thesis

- (1) The thesis shall bear the name of the candidate, the title of the thesis, the name of the degree for which the thesis is submitted and the date of submission. The title page should include the following words:

"This copy of the thesis has been supplied on condition that anyone who consults it is understood to recognise that its copyright rests with the author and that use of any information derived there from must be in accordance with current UK Copyright Law. In addition, any quotation or extract must include full attribution."

- (2) Specified word-limits exist for theses. These are published in the UEA Calendar, and candidates should consult this to ensure that their thesis is not too long. Any queries regarding these word-limits should be referred to the appropriate School or Institute in the first instance.
- (3) Diagrams, maps and similar documents may be submitted in a portfolio of any size and must bear equally the particulars mentioned in rule 2(1) above.
- (4) A candidate may with the permission of the Learning and Teaching Committee submit recorded material, such as audiotape, videotape, film and CD, of not more than one hour's running length as supporting evidence. This must be in addition to a written thesis and not a substitute for any part of it. The examiners may require candidates to deposit copies of the recorded material with the thesis in the Library and in the appropriate School or Institute. Work submitted in non-book material form should be in a durable form suited to preservation over long periods. The item should be provided with an appropriate container approved by the **Head of Library Academic Services** ~~University Librarian~~ and bear on its exterior the particulars mentioned in rule 2(1) above.
- (5) In the case of the Musical Composition programme in the School of Music recorded material may be submitted when the musical work is able to exist only in recorded form (as in the case of types of electro acoustic composition).

In the case of the Professional Practice programme in the School of World Art Studies and Museology a substantial part of the thesis may be curatorial, educational or creative in content. This will be represented in the thesis submission by a substantial dossier of practical work presented in an appropriate, accessible and enduring format.

In the case of the Professional Practice programme in the School of Film, TV and Media Studies a substantial part of the thesis may be creative, or film archival / curatorial, or film educational in content. This will be represented in the thesis submission by a substantial dossier of practical film and / or video and / or transmedia work, presented in an appropriate, accessible and enduring format.

- (6) A candidate may initially submit a thesis in a secure soft binding sufficiently durable for the assessment process. No Pass List will be issued after successful assessment until a previously soft-bound thesis has been resubmitted in the form outlined in rules 2(1) to 2(5) above and the candidate has confirmed that no changes, other than any required by the examiners, have been made to any part of the thesis from that previously assessed.

~~For candidates submitting one copy of the final version of their thesis in electronic format and one in hard-bound format, the Pass List will not be issued until both the print version and electronic version of the thesis have been deposited with the University.~~

(7) Whether soft-bound for the initial assessment or hard-bound, all submitted theses must be prepared in accordance with the following instructions. Supplementary advice regarding the format of the electronic copy can be found on the Etheses web pages on the Library website.

i) Quality of Reproduction

- All copies shall be legible and the final version of the text of the thesis must be of good print quality, such as: typescript, laser printout or typeset;
- if the use of colour is essential in the text or illustrations of a thesis, the candidate shall choose a method of production that facilitates the reproduction of colour. It should be recognised that information contained in colour diagrams may be lost; candidates should check how colour diagrams reproduce in black and white and consider labelling pages that contain colour with 'Original in colour';
- in the production of graphs, maps and diagrams, hatching or broken lines, which will reproduce in monochrome, should be considered as an alternative to colour;

ii) Format

- the text and, wherever possible, all the material of the thesis, including illustrations, shall be produced on A4-size paper. If in exceptional circumstances another format is required for the whole thesis, the author shall seek permission to use a non-A4-size format from the **Postgraduate Research Graduate Office** via the primary supervisor;
- paper used for the text shall be of a substance within the range of 70 g/m² to 100 g/m²;

NB Paragraphs 7(iii) – 7(xiv) unchanged

3. Consultation and Borrowing of Theses

If a candidate for a Research Degree is approved for the award of the degree, one **electronic** copy (~~either hard copy or electronic~~) of the thesis is deposited in the University Library where it shall be available for consultation and/or copying in the manner described in the following paragraph. The second (hard) copy is deposited with the School of Studies or **Institute** concerned.

Theses deposited in the University Library cannot be removed from the Library. However, copies may be taken, normally in one of the following ways:

- (1) By the British Library Document Supply Centre which may make a digital copy of UEA PhD theses available for download via EThOS, the British Library's E-theses initiative.
- (2) By the University Library which will make theses **submitted in hard copy** available for reference use in the Library.

All copies made in accordance with the above provisions will include the title page of the thesis which should include a statement protecting the author's copyright (See Rules for the Form of Theses (Research Degrees) Regulation 3).

In particular cases where the original **hard copy (if deposited in that form)** is sought, the University Library passes on inter-library loan requests to the School of Studies or **Institute** concerned. Hard-bound copies of theses deposited in the University Library are never lent to other libraries.

The Board of the School, at the request of the author, may determine that a particular thesis shall, for a period of up to three years specified by the Board, be available only to the author or to those who have written permission to consult it. A candidate wishing to apply for a consultation restriction to be placed on his thesis should apply for the appropriate form from the **Postgraduate Research Office Registry**. The completed form must accompany the copies of the thesis, when submitted. Theses whose use is restricted in this way are not sent to the British Library Document Supply Centre either in electronic format or for digitisation by EThOS. **The embargoed thesis will still be stored electronically in the UEA Digital Repository, but restricted so as not to display to users and are not made available for copying in other ways** until the restriction has lapsed.