



Harper Adams
University College

Postgraduate Research Students' Handbook

March 2012

Dates of note in the Research Calendar 2011- 2012

Postgraduate Research Student Colloquium

Thursday, 1 December 2011

Research and Knowledge Transfer Committee

Wednesday, 5 October 2011, 2.00 pm

Wednesday, 22 February 2012, 2.00 pm

Wednesday, 23 May 2012, 1.00 pm

Research Degrees Standards Committee

Wednesday, 16 November 2011, 2.00 pm

Wednesday, 29 February 2012, 4.00 pm

Wednesday, 11 July 2012, 2.00 pm

Research Degrees Awarding Board

Wednesday, 7 December 2011, 2.00 pm

Wednesday, 7 March 2012, 2.00 pm

Wednesday, 4 July 2012, 2.00 pm

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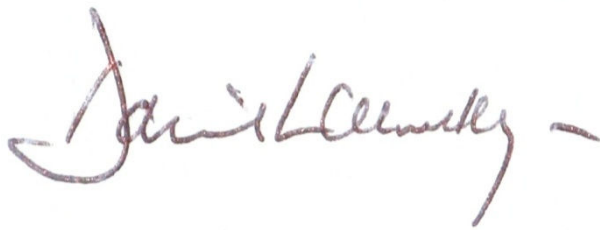
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Message from the Principal

It is my pleasure to welcome you as a postgraduate research student of Harper Adams University College and hope that you will enjoy your time here, both academically and as part of the Harper Adams community. As a specialist institution, the University College has developed a unique and high quality research provision that is achieving increased national and international recognition, with investigations supported by a well-found laboratory and farm provision.

To achieve your research goals, you need to feel content and supported by a responsive research administration. This guide is intended to help you get the most out of our facilities and services. It contains relevant information, administrative and support arrangements and quality assurance procedures associated with research degrees at the University College. I hope that it will be a useful reference source during your time at Harper Adams.

A handwritten signature in dark ink, appearing to read 'David Llewellyn', with a horizontal line extending to the right.

Dr David Llewellyn

1. Introduction

1.1 Research at Harper Adams University College

The mission of Harper Adams University College is “Higher Education for a sustainable food chain and rural economy”, and strategic and applied research underpins all its activities. Research is an important part of the work of Harper Adams, not just for the benefit of end-users, but also supporting the taught curriculum.

The Research and Knowledge Transfer Strategy is focused on sustainable agri-food and land systems. There are two multi-disciplinary strands:

- Sustainable livestock systems and their impact on, and relationship with, the food supply chain, food security, land use and natural resource management;
- Sustainable crop systems and their impact on, and relationship with, the food supply chain, food security, non-food crop production, land use and natural resource management.

Each strand has a multi-disciplinary approach, drawing on expertise across the University College and research on the food supply chain is embedded within each strand. The terms ‘food supply chain’ and ‘food security’ also need to be seen in a broad context, including the management of natural resources and the environment, the management of land, the organisational structure of food supply chains, related areas of retailer and consumer behaviour and the fields of nutrition and human health. Companion animal veterinary nursing is an important part of the undergraduate teaching and is also supported by appropriate research.

Further information on research facilities and current projects at Harper Adams can be found at www.harper-adams.ac.uk.

In 1996 the Privy Council granted Harper Adams University College the right to award its own taught degrees at both undergraduate and postgraduate level. Independent research degree awarding powers were granted in July 2006. To date, there have been over 90 successful candidates for research degrees, with a current postgraduate and postdoctoral research population of about 35. Harper Adams is the only specialist Higher Education Institution in the land-based sector with Research Degree Awarding Powers and is the major provider of undergraduate education in agriculture, agricultural engineering and land-based disciplines in the UK.

1.2 Responsibility for Research

The Vice Principal has overall responsibility for research and the Research Co-ordinator is responsible for operational aspects of research. Harper Adams University College has five academic departments,

- Animal Production, Welfare and Veterinary Sciences;
- Crops and Environment Science;
- Engineering;
- Food Science and Agri-Food Supply Chain Management;
- Land, Farm and Agri-Business Management;

each with their own Head of Department. Within each academic department, a member of staff is nominated as the Research Lead to facilitate cross-College research activities.

Research seminars are held in the University College fortnightly on Thursday lunchtimes during term-time and are led by internal and external speakers.

The Research Office (M42) supports the work of the academic staff and postgraduate students. The Research Students Administrator provides administrative support and guidance to postgraduate research students and their supervisors on all matters relating to research degree processes.

The Research and Knowledge Transfer Committee has responsibility for overseeing research at Harper Adams. The Research Degrees Standards Committee is responsible for policies and procedures relating to postgraduate research degrees. The registration, monitoring of postgraduate research students' progress and award of research degrees is conducted by the Research Degrees Awarding Board. The Research and Knowledge Transfer Committee and Research Degrees Standards Committee have postgraduate research student representation elected annually.

For full details the reader is referred to the Academic Quality Assurance Manual, Sections 2 and 6 accessed via Livelink, the University College's intranet.

[http://livelink.harper-adams.ac.uk/livelink/livelink.exe/fetch/39383121/2a. Section 2 Boards and committees - constitution and terms of reference.pdf?nodeid=39773962&vernum=-2](http://livelink.harper-adams.ac.uk/livelink/livelink.exe/fetch/39383121/2a.Section%20Boards%20and%20committees%20-constitution%20and%20terms%20of%20reference.pdf?nodeid=39773962&vernum=-2)

<http://livelink.harper-adams.ac.uk/livelink/livelink.exe?func=ll&objId=39383126&objAction=browse&viewType=3>

A ballot is held annually to elect the postgraduate research student representative who then represents the postgraduate research community for the academic year. Responsibilities include:

- Act as point of contact for research students for representing views on generic research student issues to the appropriate forum or member of staff;
- Membership of the Research and Knowledge Transfer Committee and the Research Degrees Standards Committee (each meet three times a year);
- Two weeks before each meeting of the Research Degrees Standards Committee, an informal meeting of the postgraduate research students shall be facilitated by the Chair of Research Degrees Standards Committee and Postgraduate Research Student Representative. This meeting shall provide a forum for collecting views which can inform the agenda of the Committee meeting. The student representative shall also have the right, as a full member of the Committee, to submit agenda items to the Chair of the Research Degrees Standards Committee at any stage. Acting as point of contact for the Research Students Administrator, Research Co-ordinator and Senior Management Team on postgraduate research student issues;
- Meeting with the Laboratory Manager once a month on behalf of the postgraduate research students;
- Participating in the induction of new postgraduate research students;
- Assisting in the organisation of the annual Postgraduate Colloquium;
- Promoting and encouraging postgraduate research student attendance at the lunchtime research seminars;
- Participating in the Institutional Audit every four years;
- Initiating ad hoc postgraduate research student social activities such as a Christmas meal.

2. Support and facilities for research students

2.1 General

All postgraduate research students registered at Harper Adams University College, either full-time or part-time and based on campus or off-site, are encouraged to integrate into the research environment of the University College. All students are entitled to use the University College 'open-access' computer and library facilities located in the Bamford Library. Computer support staff are also based in that building and students can contact them on Ext 5392 or e-mail comphep@harper-adams.ac.uk with any problems. The University College has a well stocked specialist agri-food library and all postgraduate research students are entitled to use the inter-library loan service.

In addition, all registered full-time postgraduate research students based on campus are assigned their own personal computer and office accommodation for their three year research programme plus a further six months for writing up purposes. Their office space is located with other research students. They are also assigned their own post-tray in the Post Room for in-coming and internal mail and are members of the Senior Common Room.

Stationery, such as pens, pencils and notepads, are available from the Stationery Cupboard in the Office Services Manager's office, M25. Items not stocked in the cupboard can be requested on a 'Requisition for Stationery' form available in the post room and submitted to the Office Services Manager. Note that your Director of Studies will be authorising payment for requisitions, so please seek his/her permission first.

2.2 Student Accommodation

All arrangements for student accommodation are administered via Student Services (Ext 5286) who maintain up to date lists of accommodation available both locally and on campus. Postgraduates who choose to rent privately are entitled to be exempted from Council Tax. In this case, the Research Office (Ext 5328) will provide a letter in support. The Research Students Administrator must be notified of all changes of address.

2.3 Motor Vehicles

Car parking permits are available from the Research Office.

2.4 Induction

All postgraduate research students have a formal Induction programme during their first two weeks at the University College. This includes sessions on time management, the research proposal, etc.

2.5 Learner Support

The University College is committed to achieving equal opportunities for all of its students. It seeks to provide an integrated service for students with a range of disabilities and specific learning needs and aims to create a supportive environment. The Learner Support Co-ordinator, Jane Hill, can be contacted on Ext 5417 or jhill@harper-adams.ac.uk for advice and guidance.

English language support is available from Ms Joanna Rawlinson (Ext 5005, email jrawlinson@harper-adams.ac.uk) who is the English Language Tutor and International Student Adviser for Harper Adams.

All non-native English speaking students, admitted on the basis of their IELTS/TOEFL scores to pursue a PhD by research, will be assessed by the English Language Tutor on arrival to evaluate whether they should subsequently be required to attend the English Language support classes provided on campus.

2.6 Registering International Student Attendance

As part of Harper Adams University College's UK Border Agency sponsorship duties, international students on a Tier 4 visa are required to register their attendance on at least three occasions during the academic year. You are therefore requested to come in person to the Research Office as follows:

- On the 1st Monday of October with your passport and visa. In addition to registering your attendance, copies of your passport, visa and leave stamps will be taken at this time each year and retained on your file.
- On the 1st Monday of March, July and November to register your attendance.
- If you plan to be away from the University College and miss the above registration dates, the Research Students Administrator must be informed accordingly and alternative arrangements made.

2.7 Health and Safety

All students receive Health and Safety instruction from the Laboratory Manager during their induction period and are issued with the Student Safety Handbook.

Mrs Jane Walker (Ext 5021) can be contacted for general issues and advice in relation to Health and Safety. Students should notify their Directors of Studies of any health and safety issues which arise during the research programme in order that they may be addressed. Students working out of hours must complete and submit an 'Out of Hours Access' form, available from the Laboratory Manager. Risk Assessments must be completed for all Laboratory based work which will be approved by the Laboratory Manager. Lone worker alarm systems are available from Security at the porters lodge after 5pm and must be signed for and returned after use. Students must submit details of any accident or near miss incident in which they are involved on a University College Accident and Near Miss form (Laboratory Manager's Office). See the Student Safety Handbook to find where others can be obtained.

2.8 Medical

Unless you have made alternative arrangements, it is advised that you register with the University College's Medical Officer, Dr Henderson and Partners.

During term time Dr Henderson or one of his colleagues will be in the University College on:

Monday	12.00 – 1.00 pm
Tuesday	12.00 – 1.00 pm
Wednesday	12.00 – 1.00 pm
Thursday	12.00 – 1.00 pm
Friday	12.00 – 1.00 pm

Wednesday 1.00 - 2.30 pm Sexual Health 'Drop In' Clinic

Appointments can be booked in advance by telephoning the surgery.

Outside the hours above you are more than welcome to use the medical facilities at:

Linden Hall Surgery

Station Road, Newport

T: 01952 820400

Open from 8.00 am – 6.00 pm Monday to Friday.

For Out of Hours Medical Care, please telephone Shropdoc on 08450 202131.

The nearest hospital is:

Princess Royal

Apley Castle, Grainger Drive, Telford TF1 6TF

T: 01952 641222

Full-time research students are entitled to free necessary medical care, either accident or emergency in a hospital or with the University College GP. For dental care, if the dentist is an NHS dentist and accepts you as an NHS patient (many do not), your care will be free.

2.9 Counselling

Seeing a counsellor can provide you with an independent and confidential venue to discuss issues that may be concerning you. Sometimes there are difficulties that are hard to discuss with supervisors, family, friends or other research students. Professional assistance at these times can help resolve problems and prevent future ones from developing. Appointments may assist with academic support, personal counselling, assistance with policies and procedures, dispute mediation, crisis services and particular support for students with disabilities.

Please see the Harper Adams University College website for contact details for the counselling service.

2.10 Contents/Personal Possessions Insurance

The University College Authorities can accept no responsibility whatsoever for loss or damage by theft, fire or other cause of personal property or money on University College premises. Students are strongly advised to arrange insurance of their personal property. Endsleigh Insurance, along with many other insurance companies, offer reasonably priced contents insurance for students. You can get a quote from Endsleigh on their website at www.endsleigh.co.uk or contact them on 0800 028 3571.

2.11 Personal Computer Connectivity and Specifications

Students at Harper Adams University College, who have their own computers, are able to use them to access the internet and services on the University College network. Most rooms in the accommodation blocks on campus are provided with a wired network connection for access. Also each room will be provided with a network cable to connect up a PC. Students should retain this cable for their use during their time at Harper Adams and if moving room should take it with them. Replacement cables, if required, are available for purchase from the Bamford library.

Wireless access is also available in the Bamford library, Faccenda and other shared spaces around the campus including selected classrooms, meeting rooms and social areas.

Remote access to teaching resources is available from off campus.

The University College does not insist on any particular make or type of PC but to ensure connectivity to services a minimum of Windows XP SP2 or a Mac running 10.4 or later is recommended. PCs connecting to the University College network will be automatically checked to ensure they have an Anti Virus/Anti Spyware package installed and that it is up to date. We are extending support to other mobile devices and looking at the possibility of providing access for games consoles.

To connect to the University College services you will need to be a registered student.

If you have any further questions please contact the IT Help Desk by e-mail itsupport@harper-adams.ac.uk or by telephone 01952 815392

2.12 Statistical training and advice

Research students needing a refresher on basic experimental design and statistics are able to attend any undergraduate classes from the Research Methods module running from October to May (Module Leader: Dr Russell Readman). More-advanced design and analysis appropriate for postgraduates is available in the Advanced Research Methods Module running for one week in October or November (Module Leader: Professor Peter Kettlewell). This module is primarily for research students undertaking experimental projects, but selected elements may be useful for social science projects.

Advice on design and analysis is available from: Professor Simon Edwards (Crops), Dr Paul Rose (Animals) and Dr Andy Wilcox (Ecology). If advice is needed beyond the expertise available at the University College, then the University of Reading Statistical Services Centre can provide this on a consultancy basis (to be paid for from the consumables account for each postgraduate research student, and approved by the Director of Studies). The University College contact for this service is Professor Peter Kettlewell (all queries must be routed through the University College contact).

3. Personal development

The University College recognises that research encompasses more than simply academic skills and is increasingly dependent on communication and information technology skills. Training is provided by the supervisory team and by the University College. For example, regular meetings with supervisors will establish time management and offer effective project planning, organisational strategies and team working.

An important component of research training is being able to understand and critically analyse the research of others. This training is provided partly by reviewing written reports of research for the literature review and incorporating supervisors' guidance on drafts of the

literature review. A second important component of this training is through oral presentation of research. For this reason, the University College provides a programme of research seminars on topics relevant to the Research Strategy and the range of topics studied by postgraduate research students. Research seminars are held at the University College fortnightly on Thursday lunchtimes during term-time and are led by internal and external speakers.

A Personal Development Programme (PDP) is devised for each postgraduate research student by the Personal Development Planning Advisor (PDPA) soon after enrolment. A meeting between the PDPA and the student is used to create the PDP in conjunction with the Director of Studies. Progress with the PDP is reviewed annually, including after submission of the final thesis. The PDP can include:

- Advanced Research Methods
- The Viva
- Writing Scientific Papers
- Good Laboratory Practice
- Networking
- Writing Grant Proposals
- Thesis Writing
- Public Engagement
- Careers
- Enterprise: An Introduction to good business practice and enterprise development

4. Teaching Opportunities

1. Harper Adams University College encourages research students to gain demonstration (lab, workshop, farm etc) or classroom teaching experience as a means to:
 - a. extend their own skills, particularly those related to effective planning and communication;
 - b. share their research expertise with others through the taught curriculum.

This encouragement is intended to provide students with additional experience for their own professional development and is entered into on a voluntary basis; there is no requirement for research students to be involved in teaching undergraduate students. There are also opportunities for research students to contribute to the University College's outreach work with schools and colleges, through running sessions on behalf of the Communications and Marketing team.

2. Students undertaking limited teaching or demonstrating duties, at their own choice, as part of their own personal development, will not normally be paid for doing so.
3. A student would not normally be permitted to undertake more than five hours of teaching or demonstrating on an unpaid basis within an academic year.
4. Unpaid demonstrating or teaching experience should be agreed with the relevant module leader and their Head of Department and with the student's Director of Studies, having identified their aspirations to do so with the Personal Development Planning Advisor.
5. Students who are planning to gain teaching experience are required to:
 - a. undertake the relevant components of the in-house 'Survival in Learning & Teaching Programme' to support them in planning and delivering effective learning activities
 - b. demonstrate excellent English listening and speaking skills with an IELTS score (or equivalent) of at least 7.0 in each of listening and spoken skills. Where a student does not hold an internationally recognised English language qualification, their English language skills will be assessed by a member of the International Student Support Office, normally through observation of a short micro-teaching session.
6. Students who undertake teaching or demonstrating activities to gain experience should be assigned a mentor to act as a source of advice, guidance and feedback. The relevant module leader would normally take on this role.
7. Where a Head of Department or the Director of Communications and Marketing wishes to retain the services of a postgraduate research student to support the teaching or demonstration programme on a contractual basis, this should be with the Director of Studies' agreement, taking into account the student's ability to manage their research programme and additional paid duties, within the time frame of their research project.
8. Postgraduate research students are paid within the normal scale for undertaking demonstrating or teaching duties involving students registered on Harper Adams' programme. They will be expected to have completed the relevant components of the in-house Survival in Learning & Teaching programme and be appointed a mentor by the relevant Head of Department. Payments for work undertaken through the Communications and Marketing team will be paid at a rate that is negotiated on an

individual basis, based on the nature of the duties. Students whose studies are funded by a Harper Adams Studentship are limited to a maximum number of paid hours per year of 60 hours. Additionally, for full-time-students whose studies are not funded by a Harper Adams studentship, Directors of Studies would not normally support the student to exceed 40 paid hours per year.

5. Supervision

5.1 Responsibilities of the Supervisor

Supervisors are responsible for the academic progress and pastoral or personal support of their students, and for dealing with administrative matters. They should provide the guidance and support necessary for successful completion of the research project.

- To establish at the beginning of the student's research, a framework for supervision, including arrangements for regular supervisory meetings.
- To define the role of each supervisor.
- To meet the student regularly and frequently at the intervals agreed at the beginning of the research programme.
- To give assistance in defining the topic of research.
- To make sure that the research project:
 - falls within the supervisor's area of expertise.
 - can be completed within the prescribed period of study (usually 3 years for a studentship)
 - is suitable for the degree that the student intends to take.
- To make sure that students know about research training provided.
- To ensure that the student is aware of safety policies of the University College.
- To discuss any hazards associated with the research work and how they can be dealt with and ensuring that safety procedures are followed.
- To ensure that adequate cover is arranged if the supervisor is to be absent for a significant period.
- To respond promptly and constructively to written work, within the schedule agreed at the beginning of the project.
- To train the student to give good oral presentations, internal seminars and external conference presentations by listening to and giving guidance on preliminary drafts.
- To keep to the monitoring and reporting timetable as determined by the Research Degrees Standards Committee. NB Failure to submit reports to the Research Students Administrator by the due date, in the absence of extenuating circumstances, may be

interpreted by the Research Degrees Awarding Board as grounds for terminating registration.

- To ensure that examiners are nominated in good time, so that the examination can go ahead as soon as possible after submission of the thesis.

5.2 Responsibilities of the Postgraduate Research Student

- To work conscientiously, ethically and independently within the guidance offered. While it is important to keep the supervisors informed and to show work to them, students should be self-directed.
- To participate fully in the research training provided by the University College.
- To come to supervisory meetings well prepared and with a clear agenda.
- To write notes from formal supervisory meetings of objectives to be pursued and action to be taken by student or by supervisor and to circulate to supervisors.
- To discuss with their supervisors the form of guidance and kind of comment they find most useful.
- To take the initiative in raising problems or difficulties, however elementary or trivial they seem. Students as well as supervisors have a responsibility to initiate contact and raise questions.
- To maintain progress according to the timetable agreed with the supervisors at the outset.
- To keep to the monitoring and reporting timetable as determined by the Research Degrees Standards Committee. NB Failure to submit reports to the Research Students Administrator by the due date, in the absence of extenuating circumstances, may be interpreted by the Research Degrees Awarding Board as grounds for terminating registration.
- To participate in the intellectual life of the University College by attending and contributing to debate in research seminars and talks.
- To contribute to the annual Colloquium at end of November/beginning of December.
- To present a research seminar.
- To liaise with the Web Design Manager (Ext 5385) in producing and updating an internet profile.
- To attend the quarterly meetings organised by the Postgraduate Research Student Representative.
- To keep a systematic record of all work attempted and accomplished (Lab Book). All research should be conducted in accordance with the DEFRA Joint Code of Practice (<http://archive.defra.gov.uk/evidence/science/how/documents/JCoPRGv02-04.pdf>)

(see Chapter 3, Conducting a research project. PSBS, RJ Beynon, Portland Press, 1993, ISBN 185578 0097, or Practical Skills in Biology, Jones, Reed and Weyers, 3rd Edition, 2003, ISBN 013045141X).

- To write regular reports as determined by the Research Degrees Standards Committee.
- By the end of the first year to:
 - have the area of research defined,
 - be acquainted with the necessary background knowledge,
 - have completed the literature review,
 - have carried out initial data collection and analysis,
 - have a provisional framework for the continued progress of the research,
 - have a timetable for the rest of the research period.
- To present written material in time for comment and discussion before proceeding to the next stage. Students should see the "Guide to Report Writing" available on the University College's Intranet under Library Services. They should ensure that their English is good enough for the presentation of the thesis (see Chapter 4, Writing about your work. PSBS, RJ Beynon, Portland Press, and Practical Skills in Biology, Jones, Reed and Weyers, 3rd Edition, 2003, ISBN 013045141X).
- Holidays should be taken at times that do not interfere with the research student's progress and must be agreed in advance with the Director of Studies and confirmed by email with a copy to the Research Students Administrator.

6. Monitoring schedule

Students' progress throughout their research programme is formally monitored by the Research Degrees Awarding Board.

Student and supervisors should have regular meetings at which academic advice is given and through which progress is monitored. Written records of these meetings should be kept. This is particularly important at the beginning of the research project. The frequency of meetings should be agreed between the student and supervisor at the initial supervisory meeting. Meetings should be frequent (at least weekly) in the early stage of the project. After the four month progress meeting, monthly meetings may be sufficient.

All forms are available electronically on the University College Intranet (<http://livelink.harper-adams.ac.uk/livelink/livelink.exe?func=ll&objId=39383126&objAction=browse&viewType=3>) or from the Research Students Administrator.

6.1 Registration and period of study

Students are required to complete an Enrolment Form for Harper Adams University College and, if their studentship is paid through Harper Adams, sign a Conditions of Tenure form. All forms are available from the Research Students Administrator and are available on the University College Intranet.

Students must also complete the Harper Adams University College Registration Form for a Research Degree (SR1) including Gantt Chart, normally within six weeks of commencing their studies. Detailed guidance on the preparation of the research proposal will be provided at Induction.

For projects which have been instigated by students rather than by staff and which therefore require an extensive period of work to develop the research proposal, the submission of the SR1 may be deferred up to six months after commencing studies. A request (by completing Form SR1D) to defer submission of the SR1 must be submitted to the Chair of the Research Degrees Awarding Board within six weeks of commencing studies, giving the title of the project and explaining the work needed to develop the proposal.

If the Registration Form is incomplete or not in the correct format, it will be returned to the student for correction before being submitted to the Research Degrees Awarding Board.

Following consideration of the SR1 by the Research Degrees Awarding Board, the student may be registered for an unspecified research degree. If the Research Degrees Awarding Board considers that the proposed research is unlikely to be suitable for a research degree, the applicant will normally be asked to submit a revised proposal.

Postgraduate research students should inform the Research Students Administrator of the date when they have completed the majority of their data collection and analysis and the main focus becomes writing their thesis.

6.1.1 Period of study

The periods of study for full-time and part-time students are outlined below.

Full-time students

Degree	Minimum	Maximum before submission
MPhil	1 year 3 months	4 years
PhD	2 years	4 years

Part-time students

Degree	Minimum	Maximum before submission
MPhil	2 years	6 years
PhD	3 years	6 years

There are no exemptions from the minimum periods of study and registration cannot be back-dated to take account of research already completed.

6.1.2 Extensions to maximum study periods

Exceptionally, the Research Degrees Awarding Board may consider requests for extensions to the maximum periods of study for full-time and part-time students. Requests must be made in writing to the Research Office by way of form SM10 or the annual progress report, and will be considered at the next meeting of the Research Degrees Awarding Board. The length of time requested, along with a time-table for completion, should be realistic to allow time for completion and submission, as it is unlikely that further extensions will be granted. If you are a full-time student and are granted an extension at the end of your fourth year registration period, your student status will be changed to "part-time ex full-time". This does not necessarily mean changing the amount of time that is devoted to the research. The maximum period of extension is twenty four months.

6.1.3 Suspending registration

In certain circumstances the Research Degrees Awarding Board will consider a request (form SM9) from students to suspend their studies. Periods of suspension of three, six, nine or twelve months may be requested. Periods of suspension must be requested in advance and do not count towards the maximum permitted periods of study. For full-time students, the maximum period of suspension is normally twelve months in total, and for part-time students the maximum period of suspension is normally twenty four months. The circumstances will then be reviewed at the end of this period by the Research Degrees Awarding Board.

6.1.4 Withdrawal

Students who wish to withdraw their registration must inform the Research Office by completing form SM13. This will then be considered by the next meeting of the Research Degrees Awarding Board. The date of withdrawal is usually the date certified by the Research Degrees Awarding Board. Any fees paid for the year are normally not refundable.

6.2 Ethical Issues

In all the work you carry out for your research project you are expected to behave in an ethical manner. Ethics is concerned with: what is right or wrong in human conduct; what is good or bad in human conduct; the recognition of a right or rights; concepts of respect for others and for justice.

The ethical issues all researchers need to consider are:

- Integrity of the research process.
- Honesty in data handling and reporting.
- Involvement with honourable external organisations.

Dependent on your research may be one or more of the following issues:

- Protection of researchers, participants, subjects, and others who may be affected by the research, from eg harm, loss of anonymity, etc.
- Animal welfare.
- Protection of the environment.
- Safeguarding research data and preventing its misuse.

Harper Adams University College's Ethical Policy is available on the University College's intranet site.

An ethics form (see Appendix 4) has been designed, together with supporting guidance, to help you through the ethical process. On-line completion of this form is essential. This form is available on <http://www.harper-adams.ac.uk/ethicsform>. For security purposes you will be asked to provide your email address and a password (letters and numbers only). You can return to the form as many times as you wish. You will get the opportunity to access the guidance notes from within the on-line form. You can also gain access to the ethics form and the guidance notes through Livelink.

You cannot proceed with primary data collection until you have gained both ethical and project approval. You are advised to discuss the ethics form with your supervisor to ensure that you have fully considered ethical issues associated with your research project, its design, the methods of data collection and analysis, the use of results, etc.

6.3 Initial supervisory meeting (Form SM1)

The first meeting between student and supervisors is particularly important in establishing a provisional framework for future support and for getting the academic work off to a good start. During the meeting the supervision monitoring form SM1 and the provisional three year

project plan should be completed and a copy of each should be retained by both the student and the supervisor(s). The original should be sent to the Research Students Administrator along with the completed Application to Register for a Research Degree.

6.4 Six month progress meeting (Form SM2)

Before this meeting the student should compile a brief progress report (approximately 300 words) for discussion at the meeting on form SM2. The report should outline the work completed, including the sections of the literature review which have been written, and detail any delays or changes which have been made to the provisional project plan agreed at the initial meeting. It should also include a schedule of proposed work for the remainder of year one and observations on the general arrangements for support eg: supervision, frequency of contact with supervisor(s) and adequacy of library, laboratory, and office facilities.

At the end of the meeting the supervisory team should add their comments to form SM2 and a copy of the form should be retained by both the student and the supervisors and the original should be sent to the Research Students Administrator.

NB For part-time students, this report will be the First Annual Progress Report.

6.5 Optional Interim progress meeting (Optional Form SM8)

After the six month meeting the student should be demonstrating the research capability to be evaluated through the first year report and viva. Any concerns of the supervisors with student progress at any time should be drawn to the attention of the student with advice given on the Interim Progress Report (SM8). The SM8 will be submitted to the Research Degrees Awarding Board.

6.6 First year progress report and viva voce examination (Forms SM3, SM4, SM5, SM6)

6.6.1 Overview

Towards the end of the first year, the student is expected to have completed the literature review and conducted some experimental work or data collection. The aim of this first year report is to demonstrate selected parts of this work.

Eleven months after registration the student shall submit a report in two parts. The first part should be a distinct section of the literature review related to an experiment or other

research instrument which is described in the second part. . Following submission the student will be given a viva voce by two appropriate members of staff, as authorised by the Chair of Research Degrees Awarding Board. Supervisors will be encouraged to attend the first year viva voce to assist, rather than restrict, the student and the project.

Learning Outcomes for First Year Report

1. Produce a coherent and appropriately structured report;
2. Critically evaluate a range of appropriate primary and secondary sources;
3. Synthesise a hypothesis/hypotheses to evaluate a stated objective(s);
4. Select and/or develop suitable design and methodologies;
5. Analyse data using appropriate statistical techniques;
6. Present and interpret results in an informative manner;
7. Critically appraise results in relation to published work and proposed work plan;

Following the viva voce, a recommendation will be made by the examiners regarding the student's specific degree recommendation. The possible outcomes of the viva are:

1. Report and viva are satisfactory (register for PhD).
2. Report and viva are unsatisfactory (defer registration until a satisfactory revised report submitted and a satisfactory second viva).
3. Report and viva unsatisfactory for PhD but adequate for MPhil (register for MPhil).
4. Report and viva unsatisfactory for MPhil and very unlikely to reach standard after revision (Deregister).

The student's Director of Studies and second supervisors must complete Forms SM5 and SM4 (Annexes 6.9.4 and 6.9.5), respectively, recommending the student's specific degree registration and submit these along with SM3 (the student's First Year Report) to the Research Degrees Awarding Board for approval. If the specific registration is approved, Form SM6 is signed by the Chairman of the Research Degrees Awarding Board.

All first year reports will be scrutinised by the Turnitin plagiarism software. It will therefore be necessary to submit an electronic version of the report as well as hard copies.

6.6.2 Format of the first year report

1. **Word Limit:** The report should be c. 5,000 words, excluding tables, figures, references and appendices. Appendices may be used if necessary, for example, to include tabulated data which supports the main text but which is not essential to understand it. Three copies of the report should be submitted to the Research Office.

2. **Declaration and Acknowledgement:** You must include a statement declaring that the work is your own and acknowledge in a list the assistance you have been given by others in your research to date. This could include assistance with field or laboratory work, data collection, statistical analysis, agronomy or husbandry.
3. **Format:** The report must be typed or word-processed on white A4 (297 mm x 210 mm) paper of good quality and sufficient opacity. Paper of at least 70 mg/m² is suitable. Only one side of the paper should be used. Margins should be set as follows:

Left margin (binding edge) 40 mm

Right hand 15 mm

Top and bottom margin 20 mm

Line spacing of 1.5 should be used. Use Arial 11 point font.

The title page should show the registered title of the research programme and student's full name, centred in block capitals, followed by 'Submitted as a First-year Report' with date of submission.

Pages must be numbered consecutively, through the main text and appendices, including photographs, tables and figures that are not embodied in the text. Page numbers should be located centrally at the bottom of the page. Tables should be numbered in a continuous sequence throughout the text or on a sequence based on chapter numbers, for example, Table 3.1. Graphs, photographs should be similarly numbered. Tables and figures should also have brief descriptive titles stating clearly what they are.

It is good practice to ensure that figures etc comply with copyright law. If permission to reproduce figures etc from other sources has not been obtained, then only substantially modified versions of figures etc should be included.

6.6.3 Content

The report should be written in your own words and include the following sections.

1. **Abstract:** A short and concise summary of the main findings, to a maximum of 250 words. It should include a statement of the problem investigated, brief description, key results and findings, conclusions and suggestions for further study.
2. **Literature Review:** Include the proposed section headings for the entire literature review and one section (not exceeding 2,500 words) which is a critical assessment of research to date, referring to the main previous studies and methodologies adopted by other researchers. You could be expected to cite 30-60 references mainly from

refereed journals. You are encouraged to avoid the repeated use of the popular press, standard textbooks and non-refereed internet sites.

3. **Introduction to data collection:** Explains why the work has been done, its context in the literature, the methodology used and the data, material, subjects or organisms chosen. It should also include a central hypothesis to be tested or a research question.
4. **Data and Methods:** Explains how the work was done and the rationale for the choice of methods, including details of statistical analyses employed. This section should contain sufficient detail to allow for the work to be repeated in future. Only describe methods for which data is presented in the next section.
5. **Results:** Display and describe the data obtained, with supporting use of statistics. This section should be presented in a clear and logical sequence, using an easily assimilated format. For example, graphs often present findings in a clearer fashion than tables, and small tables are preferable to large ones. Do not discount negative or contrary results. Avoid the inclusion of raw data or methods of calculation; these may be included in an appendix, if absolutely necessary. Tables and figures should be numbered sequentially, have appropriate legends and clearly identified axes and columns. Use of SI units is encouraged throughout. Avoid presenting the same data as both graphs and tables.
6. **Discussion:** This section should comment on the significance of the main findings, relate them to previous results and interpret them in relation to the literature. It should include comment on the validity of the methodology used and how it may be improved in further experiments. It should avoid repetition of the results section.
7. **Conclusion:** Draws the main themes, discussion and findings together in a concise fashion.
8. **Recommendations for further study:** This section should include suggestions for how the research programme will build on the initial findings and progress to PhD. It should include a revised Gantt Chart for the remaining period with clear milestones.
9. **References:** Should contain details of all references and texts that you have cited in the text, providing sufficient information to enable the reader to find the references in the library or web. This section should be set out consistently, according to established conventions, for a journal to which you may ultimately submit a paper

6.6.4 Feedback

The candidate will receive a copy of the written outcome of the viva voce examination (form SM6), along with reports from the supervisory team (forms SM4 and SM5). She/he can expect to obtain helpful comments on progress from both the supervisors and assessors to enable a realistic view of progress to be obtained.

6.7 Second year viva report (SM14)

By the end of the second year, students are expected to show evidence of writing skills and are required to submit a piece of scientific writing in the form of a refereed paper to the Research Office. The paper must not have been submitted to the journal before the viva takes place. This is because the purpose of the viva is to provide constructive feedback on writing the paper. The second year viva may take place earlier than the end of the second year to fit with the production and submission schedule of the second year paper. The student is expected to give a draft copy of the paper to his/her supervisory team before submission. The paper will then be considered by the same two examiners nominated for the first year viva voce. The examiners will act as referees and jointly write a brief, constructive report after the viva voce on the suitability of the paper for the target journal. Following consideration of the report by the Research Degrees Awarding Board, copies will be sent to the student and his/her Director of Studies. The original will remain on file in the Research Office. NB For part-time students the draft paper must be submitted at 48 months after starting.

It is the responsibility of the corresponding author to send papers submitted to refereed journals to Viv Slann, Research Office.

At the end the second and each subsequent year an annual progress report on Form SM7 – Annex 6.9.7 is prepared by the supervisory team, submitted to the Research Degrees Awarding Board and, if satisfactory, signed by the Chairman of the Board and a copy is sent to the student and his/her Director of Studies.

6.8 Annual progress (Forms SM7, SM7A)

The supervisory team must complete and submit a signed SM7 form at the end of every year except the first year (full-time) or second year (part-time) when the First Year Report (SM3) supercedes this. This is considered by the Research Degrees Awarding Board. Informal monitoring of progress takes place on a day to day basis through contact with the supervisory team.

When form SM7 has been completed and submitted by the supervisory team, the student is required to complete form SM7A which gives the opportunity to comment on his/her satisfaction or dissatisfaction of facilities and supervision. Both forms will be submitted to the Research Degrees Awarding Board for consideration.

6.9 General advice on presenting a research seminar at Harper Adams

All research students are expected to present a research seminar in their third year. Seminars normally start at 1.10 pm (usually in room M47 in the Main Building) with each speaker allocated 15 minutes plus 5 minutes for questions.

The two most important aspects to consider in planning your seminar are:

1. There will almost certainly be a wide range of subject disciplines amongst the audience. If you are a biologist, you may be talking to social scientists and vice versa. Ensure your title is short, simple and free of technical words, to attract people to come to the seminar. The key to helping everyone understand your seminar is to spend at least 5 minutes explaining the context, importance and purpose of your research. Only present general methodology, not detail of methods. At the end make clear what the outcome has been and what the next steps are.
2. It needs practice to keep to 15 minutes. Please ensure you practise at least once, ideally to one or more experienced colleagues or supervisors. Aim to have no more than about 15 slides for a 15 minute presentation.

6.10 Preparing the Thesis

Detailed guidance on presentation of the thesis is given in the Examination Regulations (AQA Manual Annex 6.13). The style of the thesis may be **either** as a sequential description of the work undertaken **or** a series of self-contained papers, each of which may have been submitted for publication or be subsequently submitted. If the latter is adopted, it is important that the full references of published papers are included, and information on the status of papers submitted, but not yet published is included. The form in which the paper is presented in the thesis **must** comply with the copyright agreement for each publication, eg pre-print (version submitted, excluding referee suggested changes and editing).

Whichever style of thesis is adopted, no material copied from another source can be included unless **either** permission from the copyright holder has been obtained and is stated, **or** the material has been substantially adapted, eg by redrawing a figure in a completely different format such as bar chart instead of a table.

6.11 Submission and examination (Forms SE1, SE1A, SE2, SM3, SE4D, SE4M, SECV)

Approximately 6 months before the expected submission of the thesis, examiners are nominated by the Director of Studies (form SE1). The Research Degrees Standards Committee considers the nominated examination panel before form SE1 is signed by the Chair of the Research Degrees Standards Committee. The examination arrangements must be approved by the Harper Adams University College Research Degrees Standards Committee before the submission of the thesis.

Students are required to complete SE2, Student Declaration, at the time they submit their thesis.

A submission no later than May will normally ensure attendance at the September Graduation, allowing for a six weeks' turnaround for minor corrections and up to three months for major corrections.

Details of the examination procedures are available in the Examination Regulations on the Intranet:

http://livelink.harper-adams.ac.uk/livelink/livelink.exe/fetch/39383121/39383126/Annex_6.13_Examination_regulations.pdf?nodeid=168389556&vernum=-2

6.12 Changes in mode of study or supervisor

Any changes to the original registration, e.g. mode of study from full-time to part-time or from part-time to full-time or the supervisory team, should be submitted to the Research Degrees Awarding Board for approval on the appropriate forms (SM11 or SM12, respectively).

**7b: ASSESSMENT AND MONITORING STAGES FOR FULL-TIME RESEARCH STUDENTS
COMMENCING ON 9/1/2012**

	Paperwork to be Submitted	Responsibility for Action	Start	Finish	Duration	2012				2013				2014				2015				
						Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
1	SM1 Initial Supervisory Meeting Report	Student and Supervisory Team	09/01/2012	03/02/2012	4w	■																
2	SR1 and CVS1s Application to Register	Student and Supervisory Team	09/01/2012	17/02/2012	6w	■																
3	SM2 Six Month Progress Meeting Report	Student and Supervisory Team	01/06/2012	28/06/2012	4w		■															
4	Colloquium Abstract	Student and Supervisory Team	29/11/2012	30/11/2012	.4w																	
5	Report SM3 First year progress report SM4 First year progress report SM5 First year progress report SM6 First year Viva Report	Student Student Supervisors Director of Studies Examiners	12/12/2012	08/01/2013	4w					■												
6	Refereed / conference paper SM14 Second Year Viva Report	Student Examiners	12/12/2013	08/01/2014	4w																	■
7	SM7 Annual Progress Report SM7A Annual Progress Report	Supervisory Team Student	12/12/2013	08/01/2014	4w																	■
8	SE1 Examination Panel Nomination	Director of Studies	08/07/2014	04/08/2014	4w																	■
9	SE2 Student Declaration/ Submission of Thesis	Student, Director of Studies and Supervisory Team	08/10/2014	04/11/2014	4w																	■
10	SM7 Annual Progress Report SM7A Annual Progress Report	Supervisory Team Student	12/12/2014	08/01/2015	4w																	■
11	If Thesis is not submitted, SM7 Annual Progress Report SM7A Annual Progress Report	Supervisory Team Student	14/12/2015	08/01/2016	4w																	■

If thesis is not to be submitted by end of year 4, an extension of registration period needs to be approved by HAUC RDAB before the original registration expiry date

**7c: ASSESSMENT AND MONITORING STAGES FOR FULL-TIME RESEARCH STUDENTS
COMMENCING ON 2/4/2012**

	Paperwork to be Submitted	Responsibility for Action	Start	Finish	Duration	2012			2013				2014				2015			
						Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1	SM1 Initial Supervisory Meeting Report	Student and Supervisory Team	02/04/2012	27/04/2012	4w	■														
2	SR1 and CVS1s Application to Register	Student and Supervisory Team	02/04/2012	11/05/2012	6w	■														
3	SM2 Six Month Progress Meeting Report	Student and Supervisory Team	03/09/2012	28/09/2012	4w		■													
4	Colloquium Abstract	Student and Supervisory Team	29/11/2012	30/11/2012	.4w															
5	Report SM3 First year progress report SM4 First year progress report SM5 First year progress report SM6 First year Viva Report	Student Student Supervisors Director of Studies Examiners	05/03/2013	01/04/2013	4w				■											
6	Refereed / conference paper SM14 Second Year Viva Report	Student Examiners	05/03/2014	01/04/2014	4w							■								
7	SM7 Annual Progress Report SM7A Annual Progress Report	Supervisory Team Student	05/03/2014	01/04/2014	4w							■								
8	SE1 Examination Panel Nomination	Director of Studies	01/10/2014	28/10/2014	4w								■							
9	SE2 Student Declaration/ Submission of Thesis	Student, Director of Studies and Supervisory Team	01/01/2015	28/01/2015	4w														■	
10	SM7 Annual Progress Report SM7A Annual Progress Report	Supervisory Team Student	05/03/2015	01/04/2015	4w															■
11	If Thesis is not submitted, SM7 Annual Progress Report SM7A Annual Progress Report	Supervisory Team Student	07/03/2016	01/04/2016	4w															■

If thesis is not to be submitted by end of year 4, an extension of registration period needs to be approved by HAUC RDAB before the original registration expiry date

8. Academic Misconduct Policy, Procedures and Guidance

1. Those studying for Harper Adams credit and awards, including research students, are expected to follow accepted academic practice when submitting work for assessment. Accepted academic practice is that any information, data, visuals, ideas, commentary or other content not created by the author should be attributed to its source(s), even when that content may be adapted in some way. The only exception to this is what is termed 'common knowledge' or a widely held truth (see current edition of Guide to Citing References available from the library webpages). Furthermore, accepted academic practice also includes an expectation that where an author uses their own previous work (and this includes a student's earlier coursework submissions), this should also be attributed to the original source (see current edition of Guide to Citing References available from the library webpages for guidance on this). There is also a requirement that work is created truthfully and without intention to deceive.
2. Any individual who does not follow accepted academic practice in their assessed work is considered to have committed academic misconduct. This includes:
 - cheating
 - collusion and
 - plagiarism.

Each of these is outlined in the Student Guide to Academic Misconduct, reproduced at the end of this section.

3. Academic misconduct is unacceptable as it means that one (or more) student(s) will have an unfair advantage over others but, more importantly, it undermines the value of all awards. It is therefore treated very seriously and a process has been established to deal consistently with reported cases. This includes the use of detection software.
4. A student (singly or in conjunction with others) who is considered to have violated expectations of acceptable academic practice will be penalised, with the severity of the penalty determined by whether they are deemed to have committed any of the following:
 - minor academic misconduct
 - major academic misconduct
 - gross academic misconduct

Details of what constitutes minor, major and gross academic misconduct, along with their associated penalties and procedures for dealing with them are given in full in

the University College's Academic Quality Assurance Manual, which is available via the intranet (annex 5.24).

Student Guide to Academic Misconduct

Academic awards are made, primarily, on the basis of an individual's achievements, as judged through coursework and exams. Students who attempt to gain an unfair advantage over others, in any way, will find themselves facing an investigation panel which considers academic misconduct and they will be penalised. Harper Adams, as many other universities, uses software to check that student submissions are their own work. Students found guilty of cheating, plagiarism or collusion, will receive a serious penalty which will range from failure of the module, to failure of the entire year, to expulsion from the University College. Academic misconduct will also be noted on a student's record.

Please ensure sure you are not guilty of the following:

Cheating

Cheating is interpreted as any attempt by a student to gain unfair advantage in an assessment by dishonest means. Cheating includes:

- Communicating, or trying to communicate in any way, with another candidate in an examination.
- Introducing unauthorised material into an examination (eg books, cribnotes etc).
- Obtaining an examination paper in advance of its authorised release.
- Stealing another student's essay and passing it off as your own.
- Falsely claiming to require special assessment arrangements or fabricating evidence of mitigating circumstances
- Falsifying data or modifying/fabricating reference material details.

Plagiarism

Plagiarism is the inclusion of unattributed writing or paraphrasing from someone else's work into your own. In effect, it is stealing another's work and passing it off as your own.

During your time at Harper Adams, you will be given advice on how to use other people's work (published or unpublished) to support your own arguments and analysis, in essays, assignments and projects.

If you use words, graphics and ideas from a published author or from a fellow student without proper acknowledgement, then you are guilty of intellectual theft. So make sure that you understand what constitutes plagiarism. Be aware that sloppy referencing or failure to note in your rough work when you quote another's words is no excuse, nor is the argument that you

have changed some of the words or the order of the sentences. Take care to cite your sources properly, and get into the habit of using a standard format whenever you make a reference to someone else's work. Whenever you do reproduce another's words you must insert that text into quotation marks and note the source of the quote fully. Beware of relying, excessively, on others' words, since text is expected to be primarily your own and will be penalised if it is not, as poor academic practice

Please read the examples overleaf. These illustrate the difference between acceptable and unacceptable practice.

Keep it above the line!

Auto-plagiarism is also a form of academic misconduct. This is sometimes known as self-plagiarism and is when a student submits work that has previously contributed to academic credit or awards and either not declaring or understating it.

Collusion

Collusion is a situation in which two or more students have collaborated to produce a piece of work to be submitted (in whole or in part) for assessment, and this is presented as the work of one student alone.

Collusion which is intended to deceive markers that the work submitted has been produced by one student will be dealt with as a serious offence. Such collusion, which is intended to give students concerned an unfair advantage over other students, will attract a serious penalty. This includes the situation in which one student shows another their work. Both students are considered to have colluded and will be appropriately penalised.

There are occasions on which students are encouraged or even required to work together and to produce joint projects or reports, which are then assessed as a joint effort. Sometimes students work together in a group, but produce independent work. Your assignment briefs should identify where team or group work is acceptable. If they don't, you should assume the work is to be completed independently.

It is extremely important that if you are in any doubt about the appropriateness of working with another person in the production of assignments, you ask your Module Leader for clarification.

Are You Guilty of Plagiarism?

Where should you draw the line?

The following scenarios are based on a staff development exercise led by Jude Carroll, which, in turn, was informed by **Swales and Feak**. 1993. *Academic Writing for Graduate Students*. Michigan: University of Michigan.

Please read the descriptions below that outline how a student might use another's work in producing their own. Then consider whether your coursework submissions fall below the line. If so, please note that you have been guilty of plagiarism and academic misconduct for which there are serious penalties. You may only copy work from elsewhere if you place it within quotation marks. You must also ensure that your references are correctly cited in both the text and in the reference list. However, be aware that overuse of quotations that result in work primarily of others' words and thoughts rather than your own, even if properly referenced, will be penalised for poor academic practice.

It is **acceptable** to:

1. Quote a paragraph by placing it in block format in quotation marks with the source and page number cited in the text eg (Jones, 1999, p3) and listed in the references.
2. Paraphrase a paragraph with substantial changes in language and organisation: the new version will also have changes in the amount of detail used and the examples cited; in text acknowledgement, eg (Jones, 1999) and inclusion in reference list.

Acceptable

It is **not acceptable** to:

1. Compose a paragraph by taking short phrases of 10-15 words from a number of sources and putting them together and adding a few words of your own to make a coherent whole; all sources are included in reference list, but are not cited in the text.
2. Copy and paste a paragraph by using sentences of the original but omitting one or two and putting one or two in a different order, with no quotation marks; no in-text acknowledgement plus inclusion in the reference list.
3. Copy a paragraph and make small changes eg by inserting alternative words with the same meaning, replacing a few verbs; source in the list of references, without citing the source into the text.
4. Copy text from elsewhere, include the in-text citation, but not place the copied text in quotation marks.

Not Acceptable

Students should refer to: **Harper Adams University College** (2009). *Guide to Citing References*. Newport: Harper Adams. This is available at the library homepage on the intranet. It details how others' work should be cited and referenced in all written work.

9. Research degrees complaints and appeals procedures

8.1 The generic Harper Adams complaints procedure is set out in Appendix 5. In essence, complaints should first be raised informally with the relevant member of staff (para 1.1). If the problem is not resolved, the Line Manager of the member of staff should be contacted (para 3.1).

8.2 **APPEALS**

The academic appeals procedure is available from either the Research Office or at Annex 5.9 of the Academic Quality Assurance Manual via the intranet.

APPENDIX 1: Services provided to research students by the laboratory group

Services provided to Research Students by the Laboratory Group

Members of the Laboratory Group will:

- ◆ Provide a laboratory induction. This is done as part of the formal postgraduate research student induction which is carried out three times a year. It consists of a number of separate sessions:
 - ◆ A short introductory talk from the Laboratory Manager covering the role and remit of HAUC laboratories, the Health and Safety folder (the 'Blue Folder') and a 'homework' question to complete in readiness for session three. At this point students will be issued with a copy of the PML Guide for Researchers and their blue Health and Safety Folders.
 - ◆ A tour of laboratory facilities.
 - ◆ An essential lab skills session, which is identical in content to the class that the undergraduate students attend. This session is usually taken by the Laboratory Manager and at least one other member of the PML team (often the Senior Technician).
 - ◆ A third session covering the concept of COSHH and risk assessment. This takes an entire afternoon and students practice completion of risk and COSHH assessments using the University College's Health and Safety software. This session is usually taken by the Laboratory Manager and the University College Health and Safety Officer.
 - ◆ Where applicable, postgraduate students also attend an additional induction into the Microbiology Suite. Directors of Studies are asked to inform the Laboratory Manager if their student is likely to be conducting microbiological work in order that a suitable induction can be arranged. This induction is conducted by the lead microbiological technician against a standard checklist of objectives.
 - ◆ Where students expect to commence laboratory work before their formal two-week induction takes place then the Laboratory Manager will give them a brief talk covering all issues detailed in the Laboratory Guide for Researchers, issue the aforementioned guide and blue folder, and instruct the student on the need to obtain login details for the SHE Enterprise Health and Safety software for the completion of COSHH and Risk Assessments.

- ◆ Provide technical support for post-graduate student research. This may involve any or all of the following:

- ◆ Technician help will be made available at mutually convenient times to assist the student in developing methods to a point where they routinely produce useful results.
 - ◆ Training will be given on the use of relevant equipment and instrumentation and provision of ongoing technical support (e.g. equipment maintenance and troubleshooting) will be supplied.
 - ◆ Where applicable, training will be given in basic microbiological procedures (e.g. aseptic technique, pouring plates etc) if the student demonstrates a lack of experience in this area.
 - ◆ Provide technical advice.
- ◆ Provide a purchasing service:
 - ◆ Laboratory Group members will discuss purchasing requirements with research students and, where applicable, their directors of studies. Suitable items will be sourced and the Group will liaise with suppliers to obtain quotations and negotiate an offer price. On completion of a requisition form (available from S1); orders will also be placed on the authority of a budget code holder for items required. On delivery, goods will be unpacked, checked and their receipt will be communicated to the person who requested purchase.

Responsibilities of Research Students:

Whilst not wishing to be burdensome, it is important that for the safety and convenience of all users of the laboratories students are expected to:

- ◆ Attend their laboratory induction sessions at the start of their project and before commencing their laboratory work.
- ◆ Where applicable, attend an additional, separate, microbiology suite induction where projects involve microbiology work. The aim of this is to draw attention to the operation of the micro preparation and laboratory areas and the safety and work standards required. Additional training will be given on an individual basis. The microbiology technicians must be consulted before commencing any microbiology work.
- ◆ Adhere to the Princess Margaret Laboratory's Regulations and associated Codes of Practice for individual laboratories. A copy of the regulations can be found on Livelink under Labs/Documentation/Policies and Procedures. They include but are not exclusive to the following:
 - ◆ Wearing a laboratory coat (buttoned up)
 - ◆ Keeping their work areas tidy
 - ◆ Washing their hands before leaving a laboratory
 - ◆ Tying back of long hair
 - ◆ No eating, drinking, smoking or application of cosmetics

- ◆ Clearly label all samples and solutions. Labelling must indicate the nature of the contents (with appropriate hazard data if required), the name of the person responsible and the date. Sample labels should also include the date after which they no longer needed. Unlabelled samples may be thrown out.
- ◆ Not leave work in progress unattended for long periods of time. Laboratory staff should be kept informed as to progress and once work is completed all chemicals and equipment should be cleared away to their original locations.
- ◆ Decontaminate all dirty glassware and leave in the washroom for cleaning. It is not acceptable to leave flasks/jars in the washroom with materials or solutions still in them.
- ◆ Fully comply with the 'Guidance notes for users of animal by-products (ABP) in the Princess Margaret Laboratories (PML)'. These concern the transport into PML and subsequent use of all animal by-products (e.g. faecal material, unprocessed meat, and egg samples). Copies of the Guidance Notes and blank 'Animal By-Products Movement Document' forms are obtainable on request from the Laboratory Manager.
- ◆ Provide sufficient notice of their requirements. Whilst group members will always try to be accommodating, last minute requests should always be the exception rather than the rule. Please allow time for any materials and equipment to be ordered and delivered.
- ◆ Prepare risk and COSHH assessments for all practical work undertaken. To comply with Laboratory Regulations a copy of each assessment must be filed in the Laboratory Manager's Office (S2) using the student's blue Health and Safety file. Where a procedure has already had a risk/COSHH assessment prepared (e.g. for work already routinely conducted) and the proposed work is not substantially different, then a new assessment is not necessary. Instead, the student can download a copy of it from the SHE Enterprise Health and Safety system and include it in their file.
- ◆ Complete and submit an Out of Hours request form for work they wish to conduct outside of normal working hours. Permission is only granted for low risk activities and usually where the student has already demonstrated reasonable competency in their laboratory work. Lone worker alarm systems are available from Security at any time of day or night and from the Library help desk when the library is open. All access to the Princess Margaret Laboratories is at the discretion of the Laboratory Manager.
- ◆ Submit details of any accident or near miss incident in which they are involved. Forms are available in the Technicians' Office (S1).
- ◆ Ask for help when in any doubt over laboratory related matters. Students should never be afraid to seek assistance. It is far better for students to ask for help than to potentially endanger themselves or others, damage equipment, ruin samples or produce bad data.

APPENDIX 2: Principles of good research practice

Professional Standards

Honesty

At the heart of all research endeavour, regardless of discipline or institution, is the need for researchers to be honest in respect of their own actions in scientific 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, publishing results, and acknowledging the direct and indirect contributions of colleagues, collaborators and others. All individuals must refrain from plagiarism, piracy or the fabrication of results.

Openness

While recognising the need for researchers to protect their own research interests in the process of planning their research and obtaining the results, Harper Adams encourages the researchers it funds to be as open as possible in discussing their work with other researchers and the public. Once results have been published, where appropriate the University College expects researchers to make available relevant data and materials to others, on request.

Guidance from professional bodies

Where available, Harper Adams expects researchers to observe the standards of research practice set out in guidelines published by research societies and other relevant professional bodies.

Leadership and co-operation in research groups

The culture and tone of procedures within any organisation must be set by individuals in authority. Within research, it is the responsibility of the Director of Academic Affairs and their senior colleagues to ensure that a climate is created which allows research to be conducted in accordance with good research practice. Within a research group, responsibility lies with the group leader. These individuals should create a research environment of mutual co-operation, in which all members of a research team are encouraged to develop their skills and in which the open exchange of research ideas is fostered. They must also ensure that appropriate direction of research and supervision of researchers is provided.

A critical approach to research results

Researchers should always be prepared to question the outcome of their research. While acknowledging the pressures – of time and resources – under which researchers often have to work, Harper Adams expects research results to be checked before being made public.

Documenting results and storing primary data

Throughout their work, Harper Adams requires researchers to keep clear and accurate records of the research procedures followed and of the results obtained, including interim results. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the researcher or the results obtained. For similar reasons, data generated in the course of research must be kept securely in paper or electronic form, as appropriate. Harper Adams expects data to be securely held for a period that complies with the requirements and best practice of the funding body, research council or legislative requirement as appropriate.

Publishing results

It is a condition of Harper Adams support for research that the results are published in an appropriate form. Papers published in refereed journals are strongly encouraged. This has long been widely accepted as the best system for research results to be reviewed – through the refereeing process – and made available to the research community for verification or replication. However, in recent years, questions have been raised, in particular about the growth in number of authors of individual papers, and the implications of increasing pressures to publish. The issue of authorship is important in the context of good scientific practice, and Harper Adams expects it to be taken seriously. In line with a suggested model published by Nature, Harper Adams expects anyone listed as an author on a paper to accept personal responsibility for ensuring that they are familiar with the contents of the paper, and that they can identify their contributions to it. The practice of honorary authorship is unacceptable. Harper Adams expects suitable acknowledgement of financial support in all publications.

Acknowledging the role of collaborators and other participants

In all respects of research, the contributions of formal collaborators and all others who directly assist or indirectly support the research must be properly acknowledged. This applies to any circumstances in which statements about the research are made, including provision of information about the nature and process of the research, and in publishing the outcome. Failure to acknowledge the contributions of others is regarded as unprofessional conduct.

Similarly, collaborators and other contributors carry their share of the responsibility for the research and its outcome.

The needs of new researchers

Researchers who are new to the scientific community may face particular difficulties. Responsibility for ensuring that students and other new researchers understand good research practice lies with all members of the community, but particularly with senior researchers. Research institutions should have in place systems which allow students and new researchers to adopt best practice as quickly as possible, for example, formal training or mentoring schemes.

(Adapted from BBSRC Statement on Safeguarding Good Scientific Practice)

Guidelines for Authorship of Published Papers

Co-authorship Scoring System

INTELLECTUAL INPUT

(Planning/designing/interpreting)

No contribution	0
One detailed discussion	5
Several detailed discussions	10
Correspondence or longer meetings	15
Substantial liaisons	20
Closest possible involvement	25

PRACTICAL INPUT: DATA-CAPTURE

(setting-up/observing/recording/abstracting)

No contribution	0
Small contribution	5
Moderate indirect contribution	10
Moderate direct contribution	15
Major indirect contribution	20
Major direct contribution	25

PRACTICAL INPUT: BEYOND DATA-CAPTURE

(Data processing/organising)

No contribution	0
Minor or brief assistance	5
Substantial or prolonged assistance	10

SPECIALIST INPUT FROM RELATED FIELDS

No contribution	0
Brief or routine advice	5
Specially-tailored assistance	10
Whole basis approach	15

LITERARY INPUT

(contribution to first complete draft of manuscript)

No contribution	0
Edited others' material	5
Contributed small sections	10
Contributed moderate proportion	15
Contributed majority	20
Contributed virtually all	25

Rod Hunt letter to Nature Vol 352, 18 July 1991

Notes

At least:

- 25 points needed to be a joint author. Otherwise person is acknowledged
- Person scoring highest number is first author

APPENDIX 3: Descriptors for masters and doctoral degrees by research

The Framework for Higher Education Qualifications (FHEQ) issued by the Quality Assurance Agency (QAA) of the UK provides helpful descriptors for Master's and Doctoral Degrees (August 2008) and are presented below.

Descriptor for a Higher Education Qualification at Level 7: Master's Degree

- Master's degrees are awarded to students who have demonstrated:
- A systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice.
- A comprehensive understanding of techniques applicable to their own research or advanced scholarship.
- Originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline.
- Conceptual understanding that enables the student:
 - to evaluate critically current research and advanced scholarship in the discipline,
 - to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

Typically, holders of the qualification will be able to:

- Deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences.
- Demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level.
- Continue to advance their knowledge and understanding, and to develop new skills to a high level.

And holders will have:

- The qualities and transferable skills necessary for employment requiring:
 - the exercise of initiative and personal responsibility,
 - decision-making in complex and unpredictable situations, and

- the independent learning ability required for continuing professional development.

Much of the study undertaken for master's degrees will have been at, or informed by, the forefront of an academic or professional discipline. Students will have shown originality in the application of knowledge, and they will understand how the boundaries of knowledge are advanced through research. They will be able to deal with complex issues both systematically and creatively, and they will show originality in tackling and solving problems. They will have the qualities needed for employment in circumstances requiring sound judgement, personal responsibility and initiative in complex and unpredictable professional environments.

Master's degrees are awarded after completion of taught courses, programmes of research or a mixture of both. Longer, research-based programmes may lead to the degree of MPhil. The learning outcomes of most master's degree courses are achieved on the basis of study equivalent to at least one full-time calendar year and are taken by graduates with a bachelor's degree with honours (or equivalent achievement).

Master's degrees are often distinguished from other qualifications at this level (for example, advanced short courses, which often form parts of continuing professional development programmes and lead to postgraduate certificates and/or postgraduate diplomas) by an increased intensity, complexity and density of study. Master's degrees – in comparison to postgraduate certificates and postgraduate diplomas – typically include planned intellectual progression that often includes a synoptic/research or scholarly activity.

Some master's degrees, for example in science, engineering and mathematics, comprise an integrated programme of study spanning several levels where the outcomes are normally achieved through study equivalent to four full-time academic years. While the final outcomes of the qualifications themselves meet the expectations of the descriptor for a higher education qualification at level 7 in full, such qualifications are often termed 'integrated master's' as an acknowledgement of the additional period of study at lower levels (which typically meets the expectations of the descriptor for a higher education qualification at level 6).

Descriptor for a higher education qualification at level 8: Doctoral degree

Doctoral degrees are awarded to students who have demonstrated:

- The creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication.

- A systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice.
- The general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems.
- A detailed understanding of applicable techniques for research and advanced academic enquiry.

Typically, holders of the qualification will be able to:

- Make informed judgements on complex issues in specialist fields, often in the absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences.
- Continue to undertake pure and/or applied research and development at an advanced level, contributing substantially to the development of new techniques, ideas or approaches.

And holders will have:

- The qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments.

Doctoral degrees are awarded for the creation and interpretation, construction and/or exposition of knowledge which extends the forefront of a discipline, usually through original research.

Holders of doctoral research will be able to conceptualise, design and implement projects for the generation of significant new knowledge and/or understanding. Holders of doctoral degrees will have the qualities needed for employment that require both the ability to make informed judgements on complex issues in specialist fields and an innovative approach to tackling and solving problems.

Doctoral programmes that may include a research component but which have a substantial taught element (for example, professional doctorates), lead usually to awards which include the name of the discipline in their title (for example, EdD for Doctor of Education or DCLinPsy for Doctor of Clinical Psychology). Professional doctorates aim to develop an individual's professional practice and to support them in producing a contribution to (professional) knowledge.

The titles of PhD and DPhil are commonly used for doctoral degrees awarded on the basis of original research.

Achievement of outcomes consistent with the qualification descriptor for the doctoral degree normally requires study equivalent to three full-time calendar years.

APPENDIX 4: Research Ethics

To be completed on line only: www.harper-adams.ac.uk/research-ethics

Handwritten/typewritten forms will not be accepted.

Application for the approval of a research project

PART A

Name of Student/Researcher Researchers Name

Supervisor/Line Manager/Approved Person

Working title of research project

Declaration by Researcher

I have completed all relevant questions in this form.

I have read the University College's Research Ethics Policy and my research will be carried out in accordance with

this policy and, where relevant, will be compatible with local rules for non UK research. For contracts which

cross national boundaries, where there are tensions or discrepancies, for the avoidance of doubt, I confirm

that the more exacting standards will prevail.

To the best of my knowledge, the information I have provided is accurate.

If there are substantial changes required for this research I will resubmit my Application for Research

Approval.

Signature of Student/Researcher:

Date

Declaration by Supervisor(s), Line Manager or another Approved Person

I support this research proposal and consider that all ethical considerations have been addressed:

Signature 1:

Date

Signature 2:

Date

Signature 3:

Date

PART B

B1. Does your research directly involve people? e.g. food tasting, interviews, focus groups, questionnaires,

test panels, observation

Yes

B2. Does the research directly involve animals?

Yes

B3. Might the research have an impact on the environment? e.g. air/water/land contamination, damage to

habitats

Yes

B4. Could the research have an adverse impact on people living/working in the immediate locality of the

study?

Yes

B5. Will the research involve working with any Genetically Modified Organisms? e.g. genetically modified

plants, animal or micro-organisms

Yes

B6. Is there any potential of harm to the researcher or others not directly involved in the research?

Yes

B7. Is it likely that there may be cultural or religious issues associated with the research? e.g. those

supplying technical support, questionnaire respondents

Yes

B8. Does the research have a sponsor?

Yes

B9. Will the research involve collaborating with another organisation?

Yes

PART C

Section C1 Research Involving People

C1.01. Is there any likelihood your research may cause distress or physical harm to people?

Yes

Likely harm:

How do you intend to deal with the harm?

Is a risk assessment needed?

C1.02. Will it be necessary for people to take part in the research without their knowledge and consent? e.g.

covertly observing people.

Yes

C1.03. Will you be providing full information of your research, including risks and benefits to the participants

prior to the study?

No

C1.04. Will participants be made aware that they may withdraw from the study whenever they wish?

No

C1.05. Will you obtain consent from the participants following the provision of full information regarding the

research?

No

C1.06. Will your study involve working with vulnerable groups e.g. the young, the elderly, those who may not

fully understand the situation or are not able to make fully considered decisions?

Yes

C1.07. Will any people or organisations be named by you as a result of your primary research? e.g. people

who have been interviewed, organisations that have been involved in the study.

Yes

C1.08. Explain what actions you will be putting in place to ensure security and confidentiality of data.

C1.09. Will inducements, other than reasonable expenses and reasonable compensation, be offered to

participants?

Yes

C1.10. If you are carrying out a survey will you be following the Market Research Society's Code of Conduct?

No

Section C2 Research Involving Animals or Animal By-Products

C2.01. Is the research covered by a Home Office Licence?

Yes

Project Licence Title:

Name of project licence holder:

C2.02. Explain why you need to use live animals in your study and why alternative methods would not be so effective?

C2.03. Where will your research be taking place?

C2.04. Do you have legal access/ permission to work on the site?

No

C2.05. What type of animals will be involved in your research?

C2.06. What species of animal will be used and what are your sampling techniques and disposal methods?

Name the species

How many animals will you be using?

For animals other than those in the wild

* where will they be obtained from?

* how suitable are these animals with respect to your research objectives?

For wild animals only describe

* how you will be collecting them

* the likely impacts on habitats

* the steps you will be taking to mitigate any impacts

How will you dispose of the animals on completion of the research?

C2.07. Will the research involve invasive techniques e.g. taking blood samples?

Yes

C2.08. For vertebrates only state if your research may cause fear, pain, distress or lasting harm to the animals?

Yes

C2.09. Describe how the 3 R's (reduction, refinement, replacement) have been applied to minimise the

potential for any animal suffering in your proposed study:

C2.10. Will your research be covered by a Protected Species licence?

Yes

Project Reference Number

Number of years you have held a licence

C2.11. If your research involves animals in the wild will you be complying with Section 5 of the Wildlife and

Countryside Act?

Yes

C2.12. If you are carrying out a statistical study using animals provide the following details:

How did you calculate the number of animals required?

Is the number of animals in your sample statistically valid?

Could you use fewer animals and still maintain a statistically valid test?

C2.13. Do the treatments/procedures comply with current welfare standards and legislation?

Yes

C2.14. Will you be testing animal by-products in the laboratories?

Yes

Will you be complying with animal by-product regulations?

Yes

Section C3 Impacts on the Environment

C3.01. Where will your research be taking place?

C3.02. Do you have legal access/permission to work on the site?

Yes

Have you provided full information about your research, including any adverse impacts, to the site

owner/manager of the research site?

C3.03. Does the site you will be using for your research have any sensitive features which need to be

considered?

C3.04. Does the site have a legal designation? e.g. SSSI

Yes

C3.05. Is there any likelihood that your research will have adverse impacts on the environment? e.g. damage

to habitats, air/water/land contamination

Yes

C3.06. What attempts will be made to mitigate any adverse impacts?

C3.07. Are there alternative methods which could be used which would avoid the adverse impact?

Yes

C3.08. If the adverse impacts on environmental quality or biodiversity cannot be prevented, eliminated or

reduced sufficiently what is the justification for carrying out the research?

C3.09. If you are carrying out crop trials which published Codes of Practice will you be following?

C3.10. Will you be importing plants, plant material, pests, soil or growing medium into the UK?

Yes

Provide details of Species:

Have you applied, or will you be applying, for a Plant Health Licence?

If you already have a licence state the Plant Health Licence number:

Section C4 Impacts on People Living/Working in the Immediate Locality of the Study

C4.01. How might people living/working in the immediate locality of the study be affected?

C4.02. Will people who live or work in the area be consulted or informed and asked to consent to the

research?

No

C4.03. Are there measures which can be taken to prevent/eliminate/reduce to an acceptable level any adverse

effects on people living/working in the area?

C4.04. If the adverse impacts on people living/working in the area cannot be prevented, eliminated or reduced

sufficiently what is the justification for carrying out the research?

Section C5 Working with Genetically Modified Organisms

C5.01. Provide details of your research in the box below. All new proposals for work involving GMOs must be

approved by the GM Ethics and Safety Committee.

Section C6 Health and Safety

C6.01. Indicate using the list below any situations which may have health and safety issues of relevance to

the well being of the researcher in relation to activities planned:

C6.02. Provide details of any risk identified in C6.01

C6.03. Is a risk assessment necessary with respect to the researcher?

Yes

C6.04. Will you be following an existing research protocol or a standard operational procedure regarding risk

assessment?

Yes

C6.05. Identify and provide details of all health and safety issues of relevance to the well being of people other

than the researcher e.g. members of the public, people helping with the research, people living/working

in the vicinity

C6.06. Is a risk assessment necessary with respect to people other than the researcher?

Yes

C6.07. If required, who will authorise the research as acceptable based on risk assessment?

Section C7 Cultural or Religious Issues

C7.01. Provide details of possible cultural or religious issues for those supplying technical or other types of support for the research.

C7.02. Provide details of possible cultural or religious issues for research subjects e.g. questionnaire respondents.

Section C8 Sponsoring Organisation

C8.01. Provide details of the sponsoring organisation(s)

Name of organisation

Contact within the organisation

Position of the contact within the organisation

Nature of the sponsor's business

Address

C8.02. Give details regarding the nature of the sponsorship:

Cash/Income

Use of sponsor's data

Assistance with experimental design

Use of sponsor's facilities

Provision of materials

Assistance with data collection

A list of contacts

Other

C8.03. Give details regarding the requirements of the sponsoring organisation:

Access to the data

Rights to see results

Control over the interpretation of the results and writing up of the findings

Rights to publish the result

Confidentiality

Storage of data/research output

C8.04. Has a formal agreement been drawn up?

No

C8.05. Provide details of any interests you have, commercial or otherwise, in the sponsoring organisation:

Section C9 Collaborating Organisation

C9.01. Provide the names and addresses of the collaborating organisation(s):

Name of organisation

Contact within the organisation

Position of the contact within the organisation

Nature of the sponsor's business

Address

C9.02. Provide details of the nature of the collaboration:

Research design

Collection of data

Experimental design

Provision of materials

Analysis of results

Preparation of report

Areas of responsibility

C9.03. Has a written agreement been drawn up?

No

APPENDIX 5: Student complaints policy and procedure

1. Introduction

- 1.1. As a mature, degree-awarding, higher education institution, Harper Adams University College encourages students to raise concerns, questions and problems promptly and responsibly. Prompt expression of concerns directly with the member of staff involved will normally lead to a quick and satisfactory informal resolution of most issues. This should always be the first method by which students attempt to deal with any concerns.
- 1.2. The University College seeks to resolve students' complaints as near to their source as possible and believes that most are capable of resolution without recourse to formal procedures. To this end, staff will make every reasonable effort to deal promptly and efficiently with all concerns and complaints brought to their attention. Nevertheless, the Academic Board recognises that these informal mechanisms may not always lead to a satisfactory resolution of issues raised, and has, therefore, adopted a formal complaints procedure which is explained in Section 3.
- 1.3. The Academic Board assures all students that reasonable complaints and criticisms are normal and perfectly acceptable in a responsible education institution, even if this means questioning authority. Students will not be blamed for raising legitimate concerns. However, the University College is prepared to defend its staff against spurious complaints, particularly those of a serious nature, which can affect the professional reputation of individuals. Disciplinary action will, therefore, be taken if a complaint is shown to be frivolous, vexatious or motivated by malice.
- 1.4. The Complaints Procedure applies to any kind of student complaint for students registered on taught or research programmes, other than appeals against an academic assessment decision of a Course Assessments Board or the Research Degrees Awarding Board, or appeals against a disciplinary decision, for each of which separate procedures exist. In the case of students registered on employer engagement programmes, the arrangements to deal with complaints are set out in the programme approval form which is considered as part of the validation of such programmes. Students registered on employer engagement programmes who wish to make a complaint should in the first instance contact the programme leader. If they remain uncertain, they should contact the Academic Registrar at Harper Adams University College.
- 1.5. A complaint can be defined as any expression of dissatisfaction with any service or lack of service provided by the University College to which a response is reasonably

expected, and in respect of which the informal approach outlined in 1.1 above has not produced a satisfactory outcome.

- 1.6. The University College recognises that there are different sources of complaints (e.g. academic educational matters, academic administrative matters, academic support services, non-academic support services). Nevertheless, to avoid confusion, the Academic Board has established a single complaints procedure. However, account has been taken of the need for individual treatment of each complaint by establishing different responsibilities within the procedure.

2. Policy

- 2.1. The University College will make every reasonable effort to deal promptly and efficiently with all complaints.
- 2.2. All complaints will be judged on their individual merit and will be dealt with in confidence, unless the complainant has clearly indicated otherwise.
- 2.3. All complaints will be thoroughly and objectively investigated.
- 2.4. In accordance with the University College's Equal Opportunities policy, all complainants will be treated equally regardless of their status and will not be treated adversely as a result of their making a complaint.
- 2.5. Where at any stage in the complaints procedure a grievance is made the subject of a formal discussion or hearing, students may, if they so wish, be accompanied by another person of their choice.
- 2.6. All complaints will be recorded in writing and will be subject to a monitoring and reporting system.

3. Procedure for complaints

- 3.1. If a student considers that he/she has cause to complain about any aspect of the University College's provisions/services he/she should submit the complaint to the line manager of the member of staff who dealt with the issue under the informal mechanism specified in 1.1.
- 3.2. If the complainant has any doubts as to whom to complain, he/she should seek advice from the Academic Registrar who will ensure that the complaint is appropriately referred.
- 3.3. All complaints must be summarised in writing and submitted on a complaints form (Annex 7.5), copies of which are available from the Registry.
- 3.4. Complaints should be made without undue delay. The normal time limit for completing a complaints form and handing it to the responsible person is:
 - (i) within 4 weeks after having become aware of the matter the student is dissatisfied with;

or

 - (ii) within 2 weeks after receiving an informal response under 1.1.

Extension of these time limits will normally only be possible in exceptional circumstances, such as illness or other circumstances beyond the student's control.

- 3.5. On receipt of a complaints form, the line manager will photocopy the form and lodge a copy with the Academic Registrar. Thereafter, the line manager will keep a file of all material concerning the complaint and will keep a record of the investigations made and of any action(s) taken.
- 3.6. The line manager must give the complainant a written response as soon as possible, but at the latest within 10 working days after the complaint form has been received.
- 3.7. If the student is dissatisfied with the outcome, the complaint and the reason(s) for dissatisfaction with the response can be submitted in writing, by the complainant, to the Vice Principal for academic grievances or to the University College Secretary for non-academic grievances.
- 3.8. The Vice Principal/University College Secretary may seek to resolve the issue on the basis of the documentation provided, or may, at his/her discretion, call a hearing at which the student and any other persons involved may submit their respective cases.
- 3.9. Following this process the Vice Principal/University College Secretary will communicate his/her decision in writing to the student within 10 working days of the date on which the Vice Principal/University College Secretary received the complaint. The student will be given 15 working days in which to appeal against the decision to the Principal. If no appeal is received within this period, a Completion of Procedures letter will be sent to the student, including information about the role of the Office of the Independent Adjudicator for Higher Education.
- 3.10. On satisfactory resolution of the complaint the file will be deposited with the Academic Registrar.
- 3.11. If the Vice Principal or the University College Secretary is personally involved in the complaint itself, the complaint form should be submitted to the Academic Registrar who will delegate it to another person who is not personally involved.

4. Appeal

- 4.1. In cases where the grievance remains unresolved, the complainant may appeal in writing to the Principal and must indicate the reasons why it is considered that exceptional circumstances exist. The Vice Principal/University College Secretary will provide the Principal all the necessary details of the case and an account of the measures which have already been taken to resolve the difficulties.
- 4.2. The Principal will review the circumstances of the case and will, if necessary, take further advice. The Principal may seek to resolve the issue on the basis of the documentation provided or may call a hearing at which the complainant and any other persons involved may present their individual cases.

4.3. The Principal's decision will be communicated to the student in a Completion of Procedures letter within 15 working days of receipt of the appeal, including information about the role of the Office of the Independent Adjudicator for Higher Education.

5. Monitoring

5.1. The Academic Board will receive an annual report, normally in December each year, on the operation of the University College's complaints procedure, if any complaints are received, and will be alerted to any policy issues arising when necessary. Such reports will not contain any confidential information relating to individual cases.

Approved by Academic Standards Committee, October 2004, revised April 2011 Harper Adams University College, Academic Quality Assurance Manual, Annex 7.4

APPENDIX 6: Policy on the Prevention of Bribery and Corruption

This policy applies to Research Students in receipt of a Harper Adams studentship funded or part-funded by an external organisation.

Summary

1. This document clarifies all existing University College policies and financial regulations relating to this area and introduces revised policies and regulations and new practices to enable the University College to comply with the Bribery Act 2010. The document should be read in full.
2. This document sets out how the University College complies with the Bribery Act 2010 and the HEFCE Audit Code of Practice. It has been approved by the Board of Governors.

Definitions

3. For the purposes of this document the following definition will apply:

'Bribery': the offering, promising, giving, accepting or soliciting of an advantage as an inducement for action which is illegal or a breach of trust.

Bribery is defined as:

- offering, promising or actually giving a financial or other advantage to another person, where it is intended that the advantage should induce another person to perform improperly a relevant function or activity, or to reward a person for the improper performance of such a function or activity, is an offence under the Bribery Act 2010. An individual or organisation that offers, promises or gives a financial or other advantage to another person, knowing or believing that acceptance of the advantage would itself constitute the improper performance of a relevant function or activity, is committing an offence under the Bribery Act 2010

The Bribery Act makes it clear that a corporate body should take all reasonable steps to ensure that it prevents bribes being offered on its behalf. It should also be noted:

- (i) that it does not matter whether the advantage is offered, promised or given by an individual or organisation directly or through a third party
and
- (ii) that where an act of bribery is committed overseas, it may constitute an offence under UK law. Convictions under the Bribery Act 2010 may have far-reaching consequences for individuals, and for organisations and employers

In summary, the following constitute individual offences under the Bribery Act 2010:

- bribing another person
- accepting a bribe
- bribing a foreign official

The following constitutes a corporate offence under the Bribery Act 2010:

- failing to prevent bribery within a commercial organisation (which includes Higher Education Institutions for the purposes of the Act)

Corruption: the misuse of public office or power for private gain or the misuse of private power in relation to business outside of the realm of the government

Under the Bribery Act 2010, bribery can be committed by an employee, officer or director; by any person acting on behalf of these individuals (a third party representative and by individuals and organisations where they authorise someone else to carry out these acts.)

Scope

4. This policy applies to all employees of the University College; students of the University College where they undertake work for or on behalf of the University College (e.g. research students carrying out work related to research grants or consultancy contracts); all members of the Board of Governors and committees of the Board; any Trustee of the Harper Adams University College Development Trust; all employees of the University College's subsidiary companies; any other persons associated with or contracted to provide services to the University College or its subsidiary companies, including but not limited to, consultants; third party representatives including, but not limited to agents working overseas.

Policy

5. The University College is committed to:
 - the highest standards of openness, probity and accountability;
 - it will, at all times, act honestly and with integrity and conduct its business without the use of any corrupt, unfair or unlawful practices, such as bribery, fraud and the use of facilitation payments
 - it seeks to conduct its affairs in a responsible manner taking into account the requirements of relevant funding bodies and the standards in public life determined by the Nolan Committee;
 - undertaking risk assessments in relation to areas in which it may face bribery and corruption risks;

- it regards the creation of false, misleading or inaccurate records as a breach of this policy;
- it will maintain accurate books, records and financial reporting throughout its structures and subsidiaries and in its relationships with third party representatives;
- it is committed to a programme of action to ensure that this policy is implemented, is effective and is brought to the attention of all members of the University College, relevant third parties, and as necessary, other individuals and legal entities.

Disciplinary Action

6. The University College will take disciplinary action where it is alleged that any person listed in paragraph 4 above has breached this policy

Responsibilities

7. All members of the University College:
 - have a personal duty to act in accordance with this policy and all relevant legislation and are required to comply with the regulations set out in this document
 - will lead by example and will act and conduct the affairs of the University College honestly, fairly, legally and transparently;
 - will ensure that this policy is drawn to the attention of :
 - staff for whom they have responsibility
 - students where they are engaged as an employee (whether paid or unpaid)
 - business clients and prospective business clients
 - providers of goods and services and prospective providers of goods and services
 - third party representatives and prospective third party representatives
 - any other individual or organisation, as appropriate

Note: Although students are often regarded as 'clients' of the University College, there is no requirement at present to bring this policy to their specific attention unless they are working for and employed by the University College in any capacity

- will, where they are responsible for existing contracts and/or the negotiation/formation of new contracts with: business clients/prospective business clients; providers of goods and services/prospective providers of goods and services; third party representatives/ prospective third party representatives or other individuals or organisations:

- i) before the conclusion of negotiations provide the other party with a copy of the document 'Anti-Bribery and Corruption' approved from time-to-time and for seven (7) years, maintain a record that they have done so;
- ii) circulate annually to business clients, providers of goods and services, third party representatives and any other party with whom the University is contracted, a copy of the document 'Anti-Bribery and Corruption' approved from time-to-time and for seven (7) years, maintain a record that they have done so
- iii) ensure that contracts include appropriate clauses to provide for immediate termination where it is discovered that the conduct of a party to the contract is inconsistent with the policy and regulations set out in this document or any relevant legislation
- iv) when instructing third party representatives, have regard for the significant potential risks to the University College of such arrangements/relationships in the event that the individuals or organisations concerned conduct University business in a manner that is inconsistent with the policy and regulations set out in this document or with relevant legislation and will, therefore, make an assessment of risk in each case prior to entering such an arrangement/relationship and prior to the renewal of any such arrangement/relationship
- v) maintain accurate and transparent records and financial reports, which reflect each underlying transaction, concerning business activities and relationships, including relationships with third party representatives
- vi) No member of the University College shall intentionally offer or receive any bribe or engage in any corrupt practice nor instruct others to do so
- vii) where a staff member is working overseas, it is particularly important that he/she complies with this policy at all times

Threats and Blackmail

8. Threats or blackmail, either direct or implied, must be reported, in confidence, to the University College Secretary or Head of Personnel (or nominee) and, where appropriate, to the Police

Declaration and Registration of Interests, Benefits and Gifts

9. All members of the University College are required to comply with the regulations and procedures set out in the financial regulations and referred to in the attached Notice for Suppliers, contractors, partners and clients. All staff must take steps to ensure that

any external company or persons they are working with are aware of this Notice as indicated above.

Negotiation and Formation of Contracts

10. All members of the University College must report to the University College Secretary or Director of Finance any instance where it appears that during a negotiation a person or a company/organisation may have acted or proposed to act in breach of this policy.

Public Interest Disclosure

11. Any member of the University College who observes or becomes aware of practices which they reasonably believe may breach this policy or any relevant legal obligation, should raise the matter by means of the Public Interest Disclosure (Whistleblowing) procedures.

Conflicts of interest in Relation to Research

12. Members of the University College engaged in research ('researchers') are required to declare any circumstances where the commitments and obligations owed by them to the University College or to other bodies, for example funding bodies, are likely to be compromised in ways that might lead to that person's personal gain. Such conflicts/potential conflicts of interest would include but are not limited to financial or non-financial gain or both, may relate to conflicts between the private interests of a research organisation and those of the researcher, and conflicts between the interests of the researcher and the interests of research participants

Hospitality and Gifts

13. Except in the circumstances described in paragraph 15 of this policy, Members of the University College are not normally permitted to accept hospitality with a value in excess of £80 unless prior written approval has been given by their line manager, and a declaration has been made. It is recognised that, in some exceptional cases, it may not be possible to anticipate value nor obtain the prior approval. In these circumstances, the member of the University College will make a declaration and a report to his or her line manager within three (3) working days of having accepted the hospitality. The line manager will determine whether the acceptance was appropriate and determine any course of action to be taken. It should be noted that such cases will be regarded as exceptional. Where hospitality with a value in excess

of £80 has been declined, a declaration must, nevertheless, be made by the member of the University College to whom the offer was made.

14. No member of staff may accept a gift unless the gift is a scholarly work which relates to the staff member's academic discipline. A personal gift with a value of less than £20 may be accepted provided that the circumstances in which the personal gift is being given do not conflict with the principles of the Bribery Act 2010.

A corporate gift e.g. a gift or free loan of machinery or equipment from a company that exceeds the value of £20 may be accepted on the basis that it is not a gift to the individual but to the University College for the purposes of supporting education and/or research and that this is made clear to the donor.

ALL GIFTS MUST BE DECLARED TO THE DIRECTOR OF FINANCE WITHIN 5 WORKING DAYS

Travel, Accommodation and Subsistence

15. Members of the University College should always meet the costs of their own travel, accommodation and subsistence when travelling on business and should follow the correct procedure to claim their expenses or use the appropriate internal mechanisms to book transport and/or accommodation where the invoice can be sent directly to the University College. Where a member of staff is being sponsored by an external organisation in full or in part to attend a conference e.g. as a speaker he/she should ensure that his/her line manager is made aware of the sponsorship and its purpose and provide evidence of payment/acknowledgement of intention to meet costs by the external organisation.

Private Work, including Private Consultancies, Directorships and paid memberships of External Committees

16. All such matters must be declared in accordance with a staff member's contract, or in the case of Governors, be included in the Register of Interests.

Family and close personal relationships

17. Members of the University College are required to declare any family relationship or where there is a conflict of interests or potential conflict of interests, any close personal relationship with another member of the University College which exists either at the time of their employment/the commencement of their association with the University College or any such family or close personal relationship that may arise and/or cease thereafter during the period of their employment/association.

Personal Relationships with Students

18. Where there is a conflict of interests or potential conflict of interests, members of staff and members of the Board of Governors are required to declare any personal relationship, other than a relationship of a normal recognised professional nature, with any student of the University College which exists either at the time of their employment/appointment or any such relationship that may arise thereafter. Staff should declare the conflict of interest to their line manager and the Academic Registrar. Governors should declare their conflict of interest to the Clerk to the Board

ROLES AND RESPONSIBILITIES

19. Board of Governors

The Board of Governors will determine University College policy and regulations in relation to bribery, corruption and related matters, including the regulations relating to the declaration and registration of interests, benefits and gifts and the University College's Register of Interests and retain overall responsibility for the effective operation of the policy and regulations set out in this document and for their review and revision. The Board will ensure that appropriate processes are in place such that all suspected irregularities, financial or otherwise, are reported, and in cases where the irregularity is of sufficient seriousness, to the Accounting Officer of HEFCE, in compliance with the HEFCE Code of Practice and/or to the Charity Commission.

20. Audit and Risk Management Committee

The Board of Governors has delegated responsibility to the Audit Committee for monitoring compliance with the policies and regulations set out in this document; reviewing the effectiveness of internal control processes and procedures; providing assurance to the Board; reviewing this policy and supporting regulations and recommending revisions for approval by the Board; annually, reviewing the value limits that apply to the declaration and registration of gifts and hospitality to be reported in compliance with this policy and its supporting regulations

21. The Principal

The Board has delegated responsibility to the Principal for the day-to-day implementation and operation of the policy and regulations set out in this document and for ensuring compliance.

The Principal (or nominee) may authorise any necessary investigations required in cases where non-compliance is suspected or has been alleged; initiate the relevant disciplinary procedure where the findings of an investigation indicate dishonest

behaviour; contact the Police where there is evidence that a criminal offence may have been committed; liaise with the Police and the Crown Prosecution Service concerning whether any prosecution will take place; ensure that Registers of Interest are maintained.

22. The University College Secretary

The University College Secretary (or nominee) will: (normally on a case-by-case basis), provide guidance and, where necessary, determine whether and how the policy and regulations set out in this document are to be interpreted/applied; report annually to the Audit Committee of the Board of Governors the number and type of declarations made to the Registers of Interest; at the earliest opportunity, alert the Audit and Risk Management Committee, the Principal and, where appropriate, the University College's auditors to any serious conflict of interest which has arisen and the name of the individual who has declared it and the nature of the conflict; alert the appropriate officer or body where there is evidence of under-reporting by any member of the University College.

23. The Director of Finance/Financial Controller

The Director of Finance and the Financial Controller shall support the Principal and University College to implement this policy and shall attend meetings of the Independent Committee on Bribery and Corruption. They will review the financial regulations and undertake such work as is required to ensure that the policy is upheld at all times.

24. Managers and Staff

All Managers and staff are required to ensure that they adhere to this policy at all times and immediately report any concerns they may have in relation to the policy or a particular incident they are aware of.

25. The Independent Committee on Bribery and Corruption

The Committee shall consist of The Principal, University College Secretary, Director of Finance, Head of Personnel, Financial Controller and such members of staff who may from time to time be co-opted or ask to attend the meeting to offer advice or expertise on the business being discussed. The Committee may invite legal advisers or consultants or internal /external auditors to attend its meetings. The Committee shall review the policy consider risk assessments and recommend changes as indicated above. It may also be called upon to investigate alleged breaches of the policy and shall inform the Chairman of Governors and the Chairman of Audit and

Risk Management Committee of any such allegations. Either may decide to attend the Committee meetings where such allegations are being considered, or they may nominate an independent Governor to attend and report back to them on the matter.

IMPORTANT NOTICE FOR SUPPLIERS, CONTRACTORS PARTNERS AND CLIENTS

Anti-Bribery and Corruption

1. Harper Adams University College has established policies, regulations and procedures, with the aim of ensuring that the highest standards of openness, probity and accountability are maintained in the conduct of all aspects of its business. They apply to all members of the University College's staff and to other individuals, including members of the University College's Board of Governors and the Directors and employees of the University College's subsidiary companies.
2. These regulations and procedures also apply to any person undertaking any business with the University College and all wholly owned subsidiaries or any person acting on their behalf (whether under contract or not) and are available to suppliers, contractors and clients on request.
3. Suppliers, contractors, consultants (including third party representatives), clients and partner organisations should note that a failure on the part of an employee or a person associated with the University College or its subsidiary companies (an 'associate'), to comply with University College policy and regulations relating to bribery and corruption, including the regulations relating to interests, benefits and gifts, may be a disciplinary matter and are strongly advised, therefore, to ensure that their actions do not compromise an employee or associated person.

Declarations by Suppliers, Contractors and Clients

4. To ensure that the University College is able to demonstrate the highest level of probity in its business dealings, suppliers, contractors and clients must declare in writing, any interest, personal relationship or other matter which might compromise or reasonably be deemed to compromise any relationship or contract with the Harper Adams University College or its subsidiary companies. Where an employee/associate of the University College or of its subsidiary companies has declared an interest in the company or organisation, the University College Secretary or Director of Finance (acting on behalf of the Independent Committee on Bribery and Corruption established by the University College) may judge that interest to be of sufficient significance to warrant the exclusion of the company or organisation from the list. Their decision may be reviewed by the Principal. The Principal's decision shall be final.

Declarations by Staff

5. All employees of the University College or its subsidiaries and any other persons carrying out any duties for the University College are required to declare, in the

context of carrying out such duties, any interest, including any matter that confers, or could reasonably be deemed to confer, directly or indirectly, an advantage, claim or legal share and/or any personal benefit. Suppliers, contractors and clients are also required to declare, in the context of their relationship with the University College, any interest which could or does affect their relationship with the University College.

Personal Gifts

- Suppliers, contractors and clients should note that with the exception of items of very small intrinsic value, such as business diaries or calendars, those employed by or associated with the University College or its subsidiary companies, **are not permitted to accept personal gifts** and are, nevertheless, required to declare any personal gift which is offered to them. As a general principle, the University College discourages suppliers, contractors and clients from making gifts to persons employed or associated with the University College.

Where a visitor to the University College from overseas wishes to make a presentation of a gift of small intrinsic value to a member of staff and to refuse the gift would cause offence, the staff member should accept the gift on behalf of the University College and display the gift in his/her office or where appropriate in the display case in the Main Building. The staff member must also declare the gift to the Director of Finance for recording in the Register of Gifts kept by his office.

It should be noted that the offering of any personal gift or hospitality of an inappropriate type which could reasonably be construed as being intended to induce the University College to enter into or maintain a relationship will be regarded as an inducement. Inducements are prohibited and staff must refuse such gifts without giving offence.

Under no circumstances should a staff member accept a gift of money.

Staff are required to seek advice from the University College Secretary or Director of Finance if they are unsure whether to accept a gift or not.

Hospitality

- The University College's regulations place certain restrictions on employees/associates with regard to the acceptance of offers of hospitality which take place during and/or outside normal working hours. Staff may, therefore, refuse offers of hospitality and are asked to do so without giving offence.

Breaches of the Policy

8. The University College reserves the right, at its absolute discretion, to terminate any relationship or contract in cases where an inducement has been offered/accepted and also where a matter has been declared after taking place which would make it inappropriate for the University College to continue with the relationship/contract.

Dr C E Baxter

University College Secretary

July 2011

APPENDIX 7: Term Dates for Undergraduate Students

(For information only)

Autumn Term

Year 1 Start Wednesday, 28 September 2011
 End Friday, 16 December 2011

All other years start Monday, 3 October 2011
End Friday, 16 December 2011

Spring Term

All years Start Monday, 16 January 2012
 End Friday, 30 March 2012

Summer Term

All years Start Monday, 30 April 2012
 End Friday, 6 July 2012

APPENDIX 8: Useful Contacts



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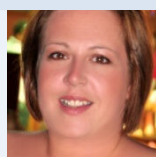


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