



Institute of Technology Tallaght
Institiúid Teicneolaíochta Tamhlacht

CODE OF PRACTICE

For

RESEARCH DEGREE PROGRAMMES

Including

Regulations for Supervised Postgraduate Research

&

Code of Conduct for Researchers

Approved by: Academic Council, Feb 15th 2006

Approved by: Governing Body, Mar. 23rd 2006

Approved by the Higher Education and Training Awards Council - June 2006.

INDEX

1.0 Regulations for Supervised Postgraduate Research

2.0 Code of Conduct for Academic Researchers & Postgraduate Students

3.0 APPENDICES

1.0 REGULATIONS FOR SUPERVISED POSTGRADUATE RESEARCH

Table of Contents

I	INTRODUCTION	7
(I)	Background to the Development of a Code of Practice for Postgraduate Studies by Research	7
(II)	Postgraduate Studies by Research at the Institute of Technology Tallaght	9
(III)	Research Policy & Strategy	11
(IV)	Research Quality Assurance Framework	12
(V)	Guidelines on the Promotion of Equality of Opportunity	19
(VI)	Provision for the Protection of Learners	19
SECTION 1	RESEARCH APPLICATION & CANDIDATE SELECTION	20
1.1	Appointment of Research Supervisors to Research Degree Programmes	20
1.2	Application to Conduct Supervised Postgraduate Research	23
1.2.1	Preparation & Submission of Project Proposals for Internal & External Funding of Research Degree Programmes	23
1.2.2	Preparation & Submission of Project Proposals for Non-Grant Aided Research Degree Programmes	24
1.3	Postgraduate Recruitment & Selection Process	25
SECTION 2	ADMISSION & REGISTRATION	26
2.1	Academic Entry Requirements & Assessment of Qualifications	26
2.1.1	Masters Degrees	27
2.1.2	Doctoral Degrees	27
2.1.3	Assessment of Qualifications	28
2.1.4	Language of Instruction & Thesis	29
2.1.5	Qualifying Examination	29
2.2	Application Procedure for Admission to a Postgraduate Degree Register	30
2.2.1	General Application Procedure	31
2.2.2	Assessment of Application	31
2.2.3	Acceptance or Rejection of Application	32
2.2.4	Appeals Process for Unsuccessful Applicants to Research Degree Programmes	33
2.2.5	Annual Renewal of Registration	33
2.2.6	Application to Transfer from the Masters to Doctoral Register	35
2.2.7	Application to Transfer from the Doctoral to Masters Register	36

2.2.8	Termination of Registration	36
2.2.9	Withdrawals, Extensions & Deferrals	37
2.2.10	Payment & Collection of Fees	38
SECTION 3	MONITORING & ASSESSMENT	40
3.1	Duration of Research Degree Programme	40
3.2	Commencement of Research & Statements of Responsibility	40
3.2.1	Responsibilities of the Postgraduate Student	41
3.2.2	Role of the Supervisors	42
3.2.3	Roles of Heads of School & Department	44
3.2.4	Role of the Registrar	45
3.2.5	Role of the Development Office	46
3.3	Postgraduate Student Training	47
3.3.1	Induction Training	47
3.3.2	Ongoing Training	47
3.4	Supervisory Training	49
3.5	Monitoring Research Progress	49
3.6	Annual Assessment Process	49
3.7	Complaints Procedures	51
3.8	Feedback Procedures	52
3.9	Appeals Procedures	53
3.10	Changes to Supervisory Arrangements	53
3.11	Changes to Mode of Study	53
3.12	Annual Leave	53
3.13	Leave of Absence from Studies	54
3.14	After Hours Access & Laboratory Research Work	55
3.15	Postgraduate Research Conducted Off-Campus	55
SECTION 4	EXAMINATION & AWARD	55
4.1	Thesis Format	56
4.1.1	General Formatting	56
4.1.2	Thesis Cover	57
4.2	Thesis Layout	57
4.2.1	Title Page	57
4.2.2	Declaration Statement	58
4.2.3	Acknowledgements	58
4.2.4	Abstract of Thesis	58
4.2.5	Abbreviations List	58
4.2.6	Table of Contents	59
4.2.7	Chapters in Sequence	59

4.2.8	References/Bibliography	59
4.2.9	Appendices	59
4.2.10	List of Publications	59
4.2.11	Index	60
4.2.13	Presentation of Performed/Exhibited Element(s)	60
4.2.14	Copyright & Intellectual Property Rights	59
4.2.15	Publication of Material from Thesis	60
4.2.16	Access to Postgraduate Research & Thesis	61
4.3	Submission of Thesis	61
4.3.1	Notice of Intention to Submit a Thesis	61
4.3.2	Submission Process	62
4.4	Examination Procedures	63
4.4.1	Standard to be attained by Master's Degree Candidates	63
4.4.2	Standard to be attained by Doctoral Degree Candidates	64
4.4.3	Duties of Research Degree Examiners	65
4.4.4	Criteria for the Appointment of External Examiners	65
4.4.5	Criteria for the Appointment of Internal Examiners	66
4.4.6	Examination of Thesis & Candidate	66
4.4.7	Viva Voce Examination	67
4.4.8	Examiner's Reports	68
4.4.9	Examination Board Meeting	69
4.4.10	Disagreement Amongst Examiners	69
4.4.11	Appeals Against the Outcome of Examination	69
4.4.12	Plagiarism & Academic Fraud	70
2.0	CODE OF CONDUCT FOR RESEARCHERS	
PART 1	Code of Good Practice in Research	72
PART 2	Procedures for the Examination and Resolution of Allegations of Research Misconduct	77

3.0 APPENDICES

Appendix A	Institute Piroritised Research Areas by Department/Discipline	83
Appendix B	Summary Procedure for the Preparation & Submission of Research Applications	84
Appendix C	Procedure for Ethics Clearance	85
Appendix D	Guidelines on the Recruitment & Selection of a Candidate for a Research Studentship	86
Appendix E	Guidelines for the Completion of the HETAC registration Form	89
Appendix F	Institute of technology Research Degree Programme Appeals Procedure	91
Appendix G	Institute Procedures for the Management of Research Project Funds	92
Appendix H	Postgraduate Induction Course	94
Appendix I	Procedure for Dealing with Unsatisfactory Progress by a Postgraduate Research Student	95
Appendix J	Complaints Procedure	96
Appendix K	After Hours Access Policy & Procedures	97
Appendix L	Research Off-Campus Policy & Criteria	99
Appendix M	Guidelines on How to Avoid Plagiarism	100
Appendix N	Disciplinary Board Proceedings for Students Allegedly Breaching Research Examination Regulations	101
Appendix O	General Student Discipline Policy & Procedures	105
Appendix P	Procedures for the Resolution of Grievances/Disputes [Academic Staff]	113

Introduction

(I) Background to the Development of a Code of Practice for Postgraduate Studies by Research

This Code has been compiled for the guidance of those who are or will be involved in management and supervision of postgraduate research degree programmes and all registered postgraduate students on these programmes. It provides research degree students with a guide as to what they can expect from their programme of study and to what the Institute expects of its research degree students.

It includes policy, regulations and procedures in respect of supervised research studies from admission through to final recommendation for award. It includes the Institute codes of conduct for the responsible practice of research along with disciplinary policy and procedures for dealing with allegations of misconduct.

An Institute Code of Good Research Practice is a Higher Education and Training Awards Council (HETAC) requirement for the operation of all approved and accredited research degree programmes. The Code of Practice has been drafted in consultation with Academic Council including staff and students. It has been written to meet the criteria and guidelines given in the HETAC policy document for postgraduate research degrees *“Taught and Research Programme Accreditation Policy, Criteria and Processes”* August 2005 and references therein.¹ It supersedes the Institute’s 2002 *Postgraduate Research Degrees Policy & Procedures* document.

Guidelines from those who sponsor research at the Institute have also been consulted in developing this Code of Practice.² It is the responsibility of academic researchers to make themselves aware of the specific guidelines of the funding body that sponsors their research, and bring these to the attention of their students as appropriate.

A review of this Code of Practice will be carried out following a successful outcome to the Institute’s application to HETAC for accreditation to maintain a research degree register or sooner as appropriate where changes in the HETAC guidelines occur. Appendices may be altered in their detail from time to time as specific procedures are updated or revised without full review of this Code of Practice, in accordance with Institute Standard Operating Procedures. All stakeholders will be informed of such changes by the Registrar’s Office.

¹ This document supersedes HETAC’s previous publication – “Postgraduate Research Degrees Policy and Procedures” [2001].

² The Irish Research Funding Bodies, government departments and other relevant agencies: Department of Education and Science; Department of Enterprise Trade and Employment, HEA, IRCHSS, IRCSET, HRB, TEAGASC, SFI, EI, COFORD, BIM, MI.

Comments on this Code of Practice and on how it might be improved have been considered as part of the consultative process with staff and postgraduate degree students.

Any additional comments or suggestions for improvement should be forwarded directly to the Registrar of the Institute for consideration at the next review.

External collaborators involved in research projects leading to higher degrees should be provided with a copy of the Code of Practice by the lead or Principal Supervisor of the project.

Following HETAC approval of this Code of Practice it will be integrated into the Institute Quality Assurance System in the form of a Quality Manual for Supervised Research Studies. It will also be included in the postgraduate student handbook.

Both hard and soft copies of the Code of Practice will be made available to research Supervisors through their sponsoring School and postgraduate students at Induction. It will also be available online to staff and students on the intranet at

<http://intranet@ITTDublin.ie/registrarsoffice/>

(II) Postgraduate Studies by Research at the Institute of Technology Tallaght

What is Research?

Research is investigation, original or applied, undertaken to gain knowledge and understanding. It includes work of direct relevance to the needs of commerce and industry, as well as to the public and voluntary sectors. More specifically research involves invention and generation of new or improved insights, materials, devices, products, processes, images, performances or artefacts. It includes design and construction.

Basic or pure research consists of inquiry and new knowledge development at the cutting edge of a given discipline.

Applied research involves utilising pure research in the development of real-world products.

Postgraduate research is scholarly work in a discipline area at a higher level and for a more sustained period than can be generally achieved in an undergraduate degree course. It is normally undertaken in an area closely related to the undergraduate discipline or the industrial/professional work-experience of the student.

Postgraduate research studies are carried out under the supervision and guidance of an academic member staff in the specialist area or field involved.

A research degree programme is a programme of study designed to enable a student to acquire through supervised personal research, knowledge, skill and competence at Master's or Doctoral degree levels. The programme may have a taught component. However, a substantial majority of the student effort is spent on research resulting in the production of a thesis that is submitted for examination prior to recommendation for award of the appropriate degree.

Postgraduate Studies by Research at the Institute of Technology Tallaght

The Institute provides opportunities for postgraduate study by research on both a full-time and part-time basis. It is a recognised provider of Higher Education and Training Awards Council (HETAC) research degree programmes. While HETAC is the awarding body for the research degree awards, the overall standards for these awards are established by the National Qualifications Authority of Ireland (NQAI) which is the body responsible for the development and maintenance of the National Framework of Qualifications. The framework comprises ten levels, with each level based on specified standards of knowledge, skill and competence. HETAC makes awards from levels 6-10 of the framework.

A Master's Degree (Research) award is made at Level 9 of the framework while a Doctoral (PhD) Degree award is made at Level 10, the highest award level that can be attained under the framework.

Candidates who study for the Degree of Master (Research) are expected to acquire a mastery of the principles and theory underlying their chosen subject and a knowledge and appreciation of the relevant literature.

Candidates who study for the Degree of Doctor of Philosophy (PhD) are expected to have reached advanced levels of achievement, in which the candidate demonstrates outstanding scholarship and ability. The candidate must demonstrate that he/she has conducted original, independent research; have acquired a broad knowledge of a particular field of study; and have acquired a comprehensive knowledge of the specialist area upon which their research was focused.

The Institute can offer research degree programmes in specialist areas through its three academic schools at both Levels 9 [Master's Degree] and 10 [Doctoral Degree]. Each school comprises a number of discipline-based departments, as outlined in Table 1. Each department has its own specialist sub-discipline areas in which there is capacity and potential to carry out research.

Table 1: Academic Schools and Departments at the Institute of Technology Tallaght.

<i>School</i>	<i>Department</i>
<i>Business & Humanities</i>	Accountancy & Professional Studies Humanities Management Marketing & Business Computing
<i>Engineering</i>	Electronic Engineering Mechanical Engineering
<i>Science & Computing</i>	Computing Science

Details of the research activities and research degree programmes in the different Schools and Departments may be found on the Institute's departmental web pages and also at <http://www.ITTDublin.ie/researchinnovation/research/>

This information is updated on a regular basis by the sponsoring Schools and the Office of Development & External Services to allow prospective students to make an informed choice on programmes of study at the Institute. The information on research provides stakeholders and prospective students with the most recent details on research activities of staff, facilities, performance through publications, conferences etc.

HETAC awards Masters and Doctoral degrees to those students who successfully complete approved programmes of supervised research at the Institute of Technology Tallaght. The award is conferred following assessment and examination of the candidate's thesis and approval by HETAC.

Students may register through the Institute with HETAC for a research programme leading to one of the following awards:

Degree of Master (Research)
Master of Arts (MA)
Master of Business (MBS)
Master of Engineering (MEng)
Master of Science (MSc)
Doctorate in Philosophy (PhD).

(III) Research Policy & Strategy

Policy Statement

The Institute is fully committed to research as a core mainstream activity. By supporting the pursuit of excellence in research it seeks to strengthen education and training provision, create and disseminate new knowledge, concepts and applications, and support regional and national socio-economic development. It aims to achieve this through being a leader in the development of research and innovation in the region and establishing itself as a centre of excellence for targeted research areas.³

This policy forms the basis of the Institute's research strategy. The key objectives for research in the Institute are as follows:

- The Institute will develop designated Institute Research Centres, and allocate resources for their support, in 5 areas identified as strategically important, by the end of 2006.
- The Institute will develop strategic partnerships with other institutions and/or corporations in prioritised areas of research.
- The Institute intends that the physical infrastructure necessary to support Research and Development will be expanded and improved, through the provision of dedicated research space.
- The teaching, learning and research needs of students and staff will be supported through the provision of high quality and up to date information resources within the library.

³ IT Tallaght Strategic Plan 2005-2008 available at
http://intranet.it-tallaght.ie/staff/reports/strategic_plan/index.htm.

- Together with the other Institutes, we will pursue the establishment of an Institute of Technology funding regime whereby Government provides each Institute with baseline finance for research and scholarship.
- The Institute will identify and implement a range of initiatives to encourage and support the involvement of staff in research activity.
- The Institute will implement best practice in the management and resourcing of Research and Development.
- The capability and effectiveness of the Research and Development Committee of Academic Council will be strengthened through a number of initiatives, including the involvement of respected researchers from external institutions and companies.
- The excellence of the Institute as a centre for research will be promoted to all relevant audiences, domestic and international, including funding agencies, industry and business, higher education and research institutions, and the public.
- The Institute will seek authority to maintain a register of postgraduate students and will seek delegated authority for postgraduate research awards.

The Institute supports research across all disciplines. Schools and Departments within the Institute have however, identified key and emerging areas of research [Appendix A] where the combination of staff expertise and facilities enable them to compete at a higher level to secure funding to pursue research activity. This approach is also compatible with the Institute's Strategic Plan where it seeks to establish itself as a Centre of Excellence in specialist research areas.

The Institute of Technology Tallaght encourages co-operation with other academic, industrial, commercial and professional establishments for the purposes of research leading to research degree awards. Such co-operation is intended to:

- a) Encourage joint research which is mutually beneficial;
- b) Extend the postgraduate student's own experience and perspectives of the research work;
- c) Provide a wider range of experience and expertise to assist in the development of the project;
- d) Enable the postgraduate student to become a member of a wider research community where appropriate.

(IV) Research Quality Assurance Framework

The Institute has developed its own Quality Management System that ensures quality in the educational service it provides. The Quality Management system is applied at every level of the organisation. Staff and students are regularly reminded of the importance of assuring and enhancing quality through processes and procedures in their sponsoring School.

The Quality Management System for the Institute is outlined in Quality Assurance Manual available at <http://intranet.it-tallaght.ie/staff/reports/qmanual/default.htm>

It was drawn up to describe how the Institute performs its academic operations using

HETAC guidelines⁴ and was approved by HETAC in August 2004.

The Governing Body has ultimate responsibility for the management and control of the affairs of research. It is supported in its decisions by advice from Academic Council on all academic matters pertaining to research. Executive decisions in relation to the management of research are taken by the Senior Management Team⁵ who is directed in this by the Governing Body through the Director.

The Academic Council established by the Governing Body of the Institute⁶ is the body responsible within the Institute for overseeing the development of course programmes, and for maintaining and enhancing academic standards and quality in all programmes of study, including postgraduate research. The sub-Committees of Academic Council that are directly involved in the development of research policies and procedures for supervised research studies are shown, along with their summary terms of reference, in Table 2.

Table 2: Academic Council Sub-Committees

Academic Council Sub-Committees	Summary Terms of Reference
Postgraduate Policy	<p><i>To assist Academic Council in analysis, review and development of strategy in relation to supervised research studies.</i></p> <p><i>To make recommendations to Academic Council on issues related to research policy and procedures, Regulations and Codes of Practice as applied to postgraduate research.</i></p> <p><i>To assist Academic Council in the making of Academic Regulations in relation to postgraduate research degree progression and transfer.</i></p> <p><i>To engage with external academic bodies or accrediting agencies as required by Academic Council or the Registrar.</i></p>
Research & Development	<p><i>The identification, development and recommendation of policy on research and development to Academic Council.</i></p> <p><i>Advise on expanding, developing and promoting research and development within the Institute.</i></p> <p><i>Provide a forum to examine research strategy in different Schools and Departments within the Institute.</i></p> <p><i>Provide a forum for the identification of issues in implementation of research policy within the Institute.</i></p>
Ethics in Research & Development	<p><i>To advise Academic Council on policies and procedures in relation to ethical conduct of research and development within the Institute.</i></p>

The organisational structure underpinning research is illustrated in Figure 1.

⁴ Guidelines & Criteria for Quality Assurance Procedures in Higher Education and Training, HETAC 2002.

⁵ Senior Management Team is comprised of the Director, Registrar, Heads of School, Secretary/Financial Controller and Head of Development.

⁶ As outlined in the RTC Act of 1992.

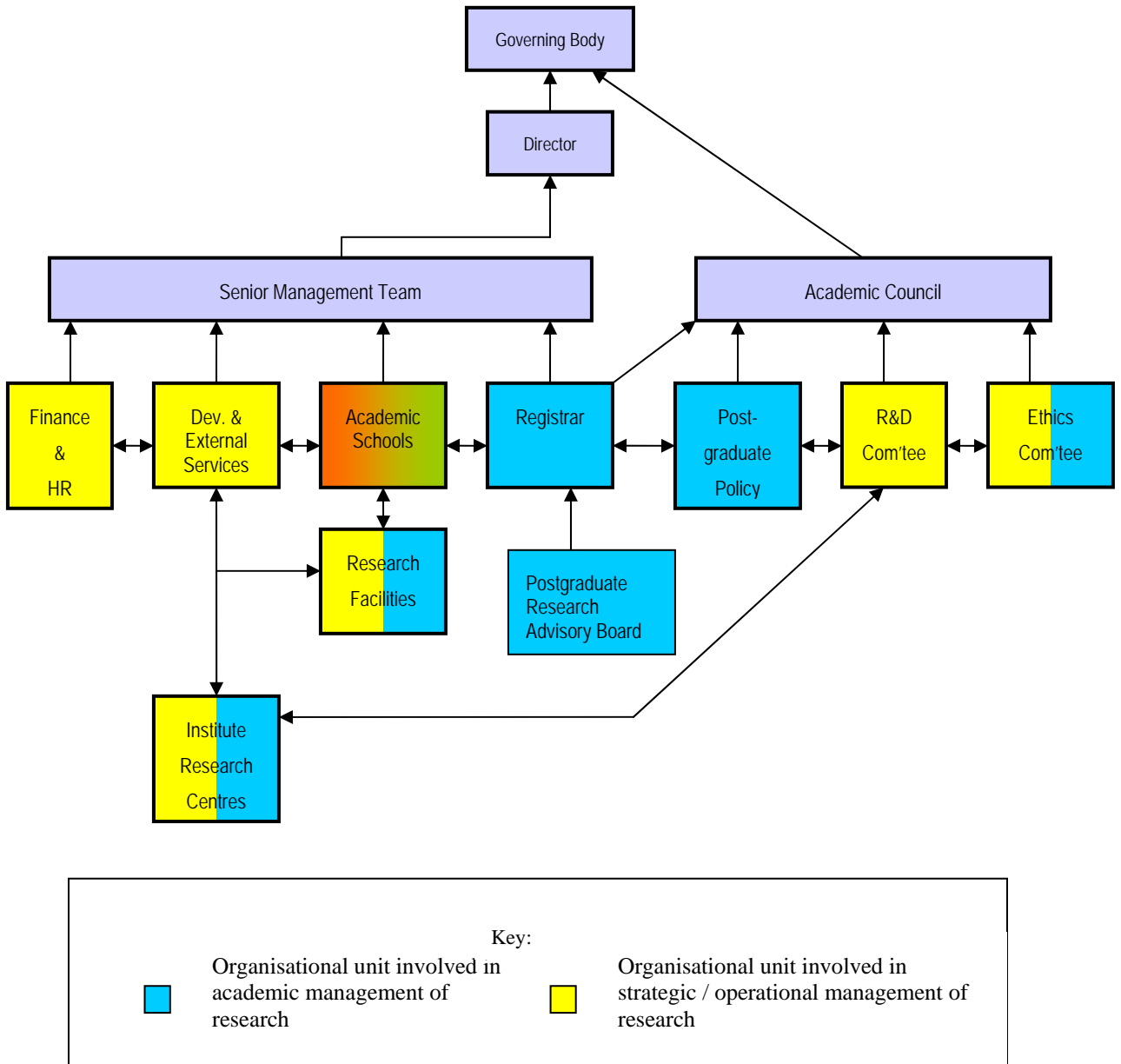


Figure 1: Organisational structure for research.

A register of postgraduate students is maintained by the Registrar's Office in the Institute. All registrations are submitted to HETAC for approval following an internal evaluation by the Department and Registrar (through the Postgraduate Research Advisory Board).

The Postgraduate Research Advisory Board

The primary function of the Postgraduate Research Advisory Board is to assist and advise the Registrar in monitoring the overall registration, assessment and examination of candidates for the Institute's research degree programmes. The Registrar sends reports from this Board to Academic Council, who is responsible for making recommendations to the Governing Body for the selection, admission, retention and exclusion of students.⁷

Composition of the Postgraduate Research Advisory Board:

It consists of the Registrar, Head of Development, Heads of School (3), Heads of Department (2), Academic Representatives (4) plus a panel of external academic advisors as nominated by the Registrar. The Board should meet at least once a year and thereafter on an ad hoc basis as required. In case of matters arising for consideration by the Board at other times, an executive core committee comprising three members of the Board can be convened by the Registrar.

Since requests for registrations, transfers and examination of candidates often occur periodically throughout the year, the Registrar may liaise with the Board and external panel members as required in writing to seek their advice or approval in relation to these requests rather than convene a meeting.

Terms of reference:

- Review and approve all new applications for registration to research degree programmes before submission to HETAC.
- Approve the results of any qualifying examination process as required to support a registration application.
- Review the annual assessment reports and approve the annual renewal of registrations.
- Review and approve applications for transfer between postgraduate research degree registers.
- Provide advice on the approval of internal and external examiners as required.
- Deal with appeals & complaints as appropriate.

The Departments and Schools are responsible for the delivery of research degree programmes. They work closely with the Registrar's Office in this regard. They also work closely with Development & External Services (D&ESO) in relation to support services for research. Research degree Programme Boards reside within the Departments. They are established in accordance with the procedures as described in the Quality Assurance Manual. The Programme Board is comprised of a Head of Department (or nominee) and the research academic staff and student representatives, other staff or external advisors. Their main focus is to monitor and

⁷ Institute of Technology Tallaght Dublin Academic Council Constitution 21/03/05

improve the ongoing delivery of the research degree programmes.

Monitoring of progress on the project is carried out by the Supervisor(s) through regular scheduled meetings and discussions with the student. The overall monitoring of the supervision process is carried out by the sponsoring Department for example through the Programme Boards, annual reviews, and complaints mechanisms. It is Institute policy that postgraduate research assessment should be conducted rigorously, fairly and consistently. It is only undertaken by those individuals with relevant qualifications and experience and with a clear understanding of the task. Student progress is assessed on an annual basis by this Board through formal reports completed by the supervisors and students.

The examination criteria, along with those for the appointment of internal and external examiners are applied by the Registrar as per Institute (Section 4) and HETAC guidelines.

Continuous improvement of the Quality Assurance framework for research is an ongoing objective. Staff and student participation at research degree Programme Boards and the relevant sub-Committees of Academic Council are the main routes for providing feedback on the quality & effectiveness of the structures in place to support the Institute's research degree programmes.

The main stages of a postgraduate research programme are shown in Table 3.

Table 3: Stages of a research degree programme.

Stage	Action	Section
Application to conduct research leading to postgraduate award	<p>Proposal submitted to Head of Department for approval & sign off.</p> <p>Ethical approval sought where necessary.</p> <p>Approved proposal submitted to Development & External Services Office (grant-aided programmes) by the funding applicant, normally the proposed Supervisor.</p>	1.2, Appendix B & C
Recruitment of selection candidate	<p>Studentship advertised by Development & External Services Office in consultation with Supervisor(s).</p> <p>Candidate submits application.</p> <p>Qualifications of candidates checked.</p> <p>Candidate interviewed.</p> <p>Successful candidate selected and offered studentship. <i>Note: In all cases the studentship is offered subject to <u>successful</u> outcome of registration application.</i></p>	1.3 & Appendix D
Admission of student on the postgraduate degree programme	<p>Candidate prepares an application for admission to research degree register with the Supervisor(s).</p> <p>Application approved by the Head of Department and submitted through the sponsoring Department to the Registrar.</p> <p>Approved within on behalf of the Institute by the Registrar in consultation with the Postgraduate Research Advisory Board.</p> <p>Application submitted to HETAC for approval.</p> <p>HETAC approves the application for registration.</p> <p>Formal letter sent to candidate with offer of place on research degree programme by the Registrar.</p>	2.2 & Appendix E
Research commences on the programme	<p>Project plan (which must be in line with original project proposal) agreed with Supervisor(s).</p> <p>Resources assigned to student and project.</p> <p>Initial training specific to project takes place.</p> <p>Student completes the Institute Induction Programme.</p> <p>Project plan implemented by the student under direction of Supervisor(s).</p>	3.2, 3.3 & Appendices G, K and L
Monitoring of progress on the programme	<p>Progress monitored on a regular basis by Supervisor(s).</p>	3.5 & Appendix I
Annual review and registration of student	<p>Supervisor(s) and students prepare and submit independent annual assessment reports on progress of project.</p> <p>Supervisor(s) prepare and submit an application for renewal of registration on behalf of student.</p> <p>Reports reviewed and renewal application approved within the Institute by the Postgraduate Research Advisory Board.</p> <p>Institute approved applications submitted to HETAC.</p>	3.6
Transfer to Doctoral register (optional)	<p>Student recommended by Supervisor(s) for transfer to Doctoral register.</p> <p>Student prepares a transfer report which is assessed by an</p>	2.2.6 & Appendix E

	<p>independent external assessor.</p> <p>Student prepares an application for admission to transfer to the doctoral degree register with the Supervisor(s).</p> <p>Application submitted through the sponsoring Department to the Registrar.</p> <p>Approved within on behalf of the Institute by the Registrar in consultation with the Postgraduate Research Advisory Board.</p> <p>Application submitted by the Registrar to HETAC for approval.</p> <p>HETAC approves the application to transfer to the PhD register.</p> <p>Formal letter sent to student with offer of place on doctoral degree programme by the Registrar.</p>	
Thesis is written up	<p>Student writes thesis under the guidance of Supervisor(s).</p> <p>Notice of intention to submit prepared by Supervisor(s) in consultation with student.</p>	4.1 & 4.2
Examination	<p>Notice of intention to submit, including recommended internal and external examiners, submitted through Head of Department to the Registrar.</p> <p>Notice of intention to submit a thesis sent to HETAC by the Registrar.</p> <p>HETAC nominates chair of examination process who establishes formal contact with the examiners.</p> <p>Student submits thesis to Registrar for examination normally with approval of Supervisor(s).</p> <p>Thesis examined and viva conducted if required. <i>Note: A viva is mandatory for PhD candidates.</i></p> <p>Chair of Examiners sends report to HETAC & copies to Institute Registrar.</p> <p>School convenes Exam Board to record the examination result for the Institute.</p>	4.3 & 4.4
Result issued	<p>Formal letter sent to candidate by the Registrar.</p>	4.4.19
Feedback	<p>Feedback provided on the project to student on a regular basis by Supervisor(s).</p> <p>Feedback on annual review provided by Supervisor(s)</p> <p>Specific feedback on project generally provided by student to Supervisor(s) directly.</p> <p>General feedback on the programme generally provided by student to the annual Departmental Research Programme Board.</p>	3.8
Appeals	<p>Appeals on unsuccessful applications for registration, annual renewal of registration, and transfer to doctoral register are reported to the Registrar.</p> <p>Examination appeals are reported to the Registrar.</p>	2.2.4, 3.9 & 4.4.11 & Appendix F & N
Complaints	<p>Complaints in relation to the delivery of the programme where they are unresolved between student and Supervisor(s) are normally reported to Head of Department.</p>	3.7 & Appendix J
Graduation	<p>Programme successfully completed.</p> <p>Student conferred with award.</p>	

(V) Guidelines on the Promotion of Equality of Opportunity

The Institute is committed to promoting equality, diversity and inclusiveness. The quality assurance procedures as outlined in the Quality Manual reflect this commitment. A number of policies have been developed by the Institute in this regard namely - Equality & Diversity; Equal Opportunities in Recruitment; Bullying & Harassment Policy; Parental Leave Policy; Students with Disabilities.

It is the responsibility of the sponsoring Head of School and the Registrar to promote equality of opportunity in all procedures relating to postgraduate research degree studies, from consideration of candidates at admission through to assessment and appeals. The Access Office co-ordinates and operates a support service for students with a disability or specific learning difficulty following a request from the student through the sponsoring School. It also offers advice and information to students directly on disability/specific learning assistance. There is a dedicated Assistance Technology room in the library for use of students with a disability/specific learning difficulty.

(VI) Provision for the Protection of Learners

The Institute is committed to providing appropriate support and guidance to enable postgraduate research students to complete their programmes once they have been admitted to the register. Student progress is monitored on a regular basis and assessment is conducted fairly and consistently in line with approved Institute and HETAC policy & procedures. Research students are encouraged to offer informal feedback on their programme of study through their Supervisor(s). Each Department is encouraged to seek feedback on a regular basis on topics such as quality of supervision, support mechanisms and physical resources through Departmental Programme Board and other Institute staff/student group meetings. Students are welcome to offer feedback on Institute-wide issues related to their programme through their sponsoring Head of Department. Appeals and complaints are dealt with fairly and consistently in line with Institute procedures outlined in this Code of Practice and its Appendices. At the commencement and during the course of a project post-graduate students are required to notify their project supervisor(s) of any medical condition they have which might lead to a medical emergency in a laboratory environment or that might be exacerbated by exposure to laboratory chemicals, reagents, cultures, samples or equipment, or by the lifting and/or moving of reagents, equipment etc. Examples of certain medical conditions include Insulin dependent diabetes, Chronic asthma, Allergies (including Anaphylaxis), Epilepsy, Heart Pace Makers on similar devices and Physical disability including spinal injury. Post-graduate students having such a medical condition should also notify/advise the Institute Nurse/Health Centre. Certain medical conditions (including pregnancy) may require that a post-graduate students' access to certain laboratory activities and/or equipment be restricted for reasons of health, safety and welfare. It is not the intention of the Institute to exclude any person from study, work or laboratories - only to assure their safety and well being.

It is the responsibility of the Principal Supervisor, along with the proposed sponsoring Department and School to give due consideration to the health status of the post-graduate researcher and the potential results of exposure to chemicals, cultures, sample, tasks and equipment, when designing the research programme of the postgraduate researcher.

SECTION 1 RESEARCH APPLICATION & CANDIDATE SELECTION

The Higher Education and Training Awards Council (HETAC) shall award Masters' and Doctoral degrees to registered candidates who successfully complete approved programmes of supervised research.

Programmes of research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners and that the Institute has the facilities, resources and expertise to supervise the topic. The written thesis may be supplemented by material in other than written form. All proposed research programmes shall be considered for research degree registration on their academic merits and without reference to the concerns or interests of any associated funding body.

Priority areas for research at the Institute have been identified in the Institute's Strategic Plan [Appendix A]. Where a new avenue of research is being proposed for an application for admission to the postgraduate register, it is the responsibility of the proposed research Supervisor to consult with the Head of Department and seek their approval prior to submission of the application.

Where the proposed research is multidisciplinary across more than one Department, it rests with the proposed Supervisor in consultation with the relevant Heads of Department to identify one Department that is to assume primary responsibility for the delivery of the research programme.

Where a proposed Supervisor is a Head of Department the Head of School should approve the research proposal and supervisory arrangements. Where the proposed Supervisor is a Head of School this should be carried out by the Director or nominee.

1.1 Appointment of Research Supervisors to Research Degree Programmes

Academic supervision is central to the successful completion of postgraduate research work. The supervisors play a key role in designing the research project, guiding the postgraduate student in their work, maintaining the general direction of the research, setting and maintaining appropriate targets & academic standards along with preparing the student for submission of their final thesis for examination. All proposed Principal Supervisors must hold either a Masters (level 9) or a PhD (level 10) Degree.

It is the responsibility of the Head of School to generate a list of approved Supervisors for research degree programmes and to make this information available to the Registrar and Heads of Department. The Registrar is responsible for maintaining the approved list for the Institute. The Head of School may submit amendments to their approved Supervisors' lists at any time. Such amendments may include recommendations for the transfer of a Co-Supervisor to the Principal Supervisor listing.

The nomination of Supervisors for a research project is normally done through agreement by the proposed academic researchers themselves. The nomination can also come from a team of researchers for projects run through Research Centres or specialist research groups. Where there is conflict of interest in this area it rests with the Principal Investigator to resolve the issue.

Where the project is to lead to an academic award the Head of Department should approve the nomination(s) prior to submission of an application for registration. Where

there is conflict of interest in the area it rests with the Head of Department to resolve the issue.

A single Supervisor (in the category of Principal Supervisor) may be appointed to supervise a candidate registered on a research degree programme. In such cases the Head of Department may be required to act in an ancillary supervisory role (e.g. where Supervisor leaves or in cases of dispute) or make arrangements for another suitably qualified academic to do so.

Where more than one Supervisor is appointed, one Supervisor is normally appointed as the Principal Supervisor and the second or subsequent Supervisors nominated as the Co-Supervisor.

Categories of Supervisor:

Category A: Principal Supervisor

The Principal Supervisor is responsible for:

- a) the running of the project
- b) providing guidance to the postgraduate student on the planning of the project, how the research is to be conducted, the standard expected, assessment of progress and the presentation of the research results in the final thesis.

Criteria for the Approval of Principal Supervisors:

In order to act in the role of Principal Supervisor, a member of staff will normally meet the following requirements:

- Be a member of the Academic staff of the Institute, includes Heads of Department and Heads of School.
- Have academic qualifications at least at the level of the award being sought by the candidate in the broad discipline area of the proposed research project.
- Have experience and demonstrated ability to supervise research students at the appropriate level at a recognised academic institution.
- Has a minimum of two years experience of acting in the role of Co-Supervisor.

It is desirable that a Principal Supervisor:

- Be research active and have a publication record in appropriate academic journals etc.
- Have a high level of experience in research in order to be able to make postgraduate students aware of the appropriate standards for a research thesis to the level of the award being sought.
- Have a record of bringing research postgraduates through to graduation at least to the level of the awards being supervised.

Members of Academic staff on contract for a time period shorter than the duration of the proposed programme of study may also be appointed to act as a Principal Supervisor, but in such cases a Co-Supervisor (Category B), who is a permanent member of staff, should be appointed as well.

Where a proposed Principal Supervisor does not satisfy the requirements laid out above, a Mentoring Supervisor (meeting the criteria laid out in Category C below) must be appointed to supervise on the programme.

Category B Co-Supervisor

A Co-supervisor may be appointed not only to provide additional expertise and specialist knowledge as deemed necessary but also to function in an ancillary role, in the event of:

- a) Departure of the principal supervisor (retirement, illness, leave of absence etc.).
- b) Irreconcilable breakdown in the supervisory relationship between the Principal Supervisor and the postgraduate research student.

Criteria for the Approval of Co-Supervisors:

In order to act in the role of Co-Supervisor, a member of staff will normally:

- Have an academic qualification to Level 9 of the NQAI framework (Masters Degree).

Members of staff in this category are normally internal collaborators in the proposed area of research who often meet the criteria for Principal Supervisors as well. However, they may also be new Academic Researchers, visiting Academic staff or Postdoctoral Fellows who do not meet the criteria for Principal Supervisors but in most cases progress to it in a relatively short time.

Category C Mentoring Supervisor

A Mentoring Supervisor must always be appointed to supervise on a research programme where the Principal Supervisor does not meet the required criteria laid out in Category A above.

Criteria for the Approval of Mentoring Supervisors:

- It must be demonstrated that he/she has the prerequisite experience within the discipline area proposed and that they meet all of the criteria for the approval of a Principal Supervisor as outlined in Category A above.

If a permanent academic staff member is not available to act as the mentoring supervisor, arrangements must be made with an experienced academic staff member from another Academic Institution/Research Centre to serve in that capacity for the duration of the project.

External project collaborators may also be nominated as research Supervisors where they meet the relevant criteria above.

1.2 Application to Conduct Supervised Postgraduate Research

1.2.1 Preparation & Submission of Project Proposals for Internal & External Funding of Research Degree Programmes

Calls for funding from internal and external sources take place throughout the year at the discretion of the funding agency (external funding) or the Institute (internal funding). Complete lists of external funding agencies, along with details on internal funding mechanisms are available from the Development & External Services Office.

The Development & External Services Office co-ordinates the overall process for research funding applications. It also provides staff with the appropriate application and proposal forms, guidelines for completion, deadlines etc.

The proposed Supervisor must seek approval from their Head of Department before preparing a funding application in accordance with the Institute procedure for the Preparation & Submission of Research Funding Applications [Appendix B]. Where the research application is for a studentship to support a postgraduate research project leading to the award of a research degree qualification the proposed researcher must submit a written request to the relevant Head of Department who must confirm:

- a) The availability of adequate and appropriate space accommodation⁸ within their Department.
- b) The proposed Supervisor(s) meet the criteria for the appointment of Supervisors.
- c) The supervisors existing commitments and responsibilities allow sufficient time for supervision of the student.
- d) Research in the proposed topic/area can be facilitated within the Department and School.
- e) The training needs of the postgraduate student can be accommodated.
- f) Any potential ethical considerations have been highlighted.

Following Departmental approval the Principal Supervisor in collaboration with Co-supervisors and/or External Collaborators where appropriate prepares a research project proposal/application following the guidelines issued by the funding agency and following the Institute procedure for the Preparation & Submission of Research Funding Applications [Appendix B].

Where an ethical risk has been highlighted for a research project the proposed Researcher(s) must obtain clearance from the Ethics Committee before submitting the research proposal. This may also be a requirement of the funding agency. The procedure for ethics clearance where required is outlined in Appendix C. Research projects will not normally be approved and the registration of postgraduate research students will not normally be processed until the proposal has been approved following

⁸ It is the Head of Development who signs off on the availability of general office-type accommodation in line with the procedure outlined in **Appendix B**.

the procedure in Appendix C.

A re-assessment of ethical and risk factors must be undertaken by researchers in any research project where any significant change in the direction or focus of an ongoing research project is intended.

The Development & External Services Office notifies the proposed Supervisor(s) of the outcome of the funding application. Where the applicant has been successful in securing funding for a postgraduate studentship a suitable candidate can be recruited following the guidelines in Section 1.3.

Where there has been a successful application by a prospective student candidate then the candidate can prepare an application for registration following the guidelines in Section 2.

1.2.2 Preparation & Submission of Project Proposals for Non-Grant Aided Research Degree Programmes

It is usually an Academic or proposed Supervisor who prepares and submits an application to conduct a research degree project leading to a postgraduate award. The prospective applicant (usually an Academic Researcher) discusses his/her intentions regarding a research funding opportunity with their Head of Department. Approval of the Head of Department will be necessary before the application can proceed. This is documented by means of the form attached at the end of Appendix B. The Head of Department considers whether the project in question can be supported within his/her Department as previously outlined in Section 1.2.1 above, with reference to such issues as lecturer commitments, technician support, bench space and utilisation and maintenance of equipment.

The proposed Supervisor(s) should consider any risks associated with the proposed work. The Head of Department also considers any risks associated with the proposed work, and may recommend ethics clearance be obtained where appropriate.

If the Head of Department decides that the application may proceed, the appropriate form is completed and submitted with the application for admission to the appropriate register in Section 2.

Where an ethical risk has been highlighted for a proposed research project the proposed academic researcher(s) must obtain clearance from the Ethics Committee before submitting the research proposal. The procedure for ethics clearance where required is outlined in Appendix C. Research projects will not normally be approved and the registration of postgraduate research students will not normally be processed until the proposal has been approved following the procedure in Appendix C.

A re-assessment of ethical and risk factors must be undertaken by researchers in any research project where any significant change in the direction or focus of an ongoing research project is intended.

1.3 Postgraduate Recruitment & Selection Process

All applicants wishing to register for a research degree programme must undergo a formal interview process to ascertain their suitability for carrying out the proposed research to the level required for the postgraduate award.

A candidate applying for a studentship that funds a postgraduate research degree programme is normally recruited following public advertisement. Studentship availability is dependent on the successful outcome an application for research funding to an internal or external funding authority.

The process for the Recruitment & Selection of a Candidate for a Research Studentship is managed overall by the Development & External Services Office. Guidelines on the Selection & Recruitment process are given in Appendix D of this document.

The letter of offer for the postgraduate studentship is sent out by the Principal Researcher to the successful applicant but must also be signed by the Development & External Services Manager or nominee. The letter of offer must mention the following:

1. The name of the studentship being offered, its duration and proposed start date.
2. That the studentship is conditional on a successful outcome to the candidate's application to register on the appropriate research degree programme.⁹
3. That the applicant must send back a letter of acceptance on or before a specific date.
4. That failure to send in a letter of acceptance will result in a retraction of the studentship offer to that candidate.
5. The candidate is told they can prepare an application for admission to the appropriate research degree register and that the Principal Researcher will contact them on how that application is to be carried out as per Institute procedures.

An ITT Dublin - Studentship Acceptance Form should be included with the letter.

Letters of Acceptance of Studentship

Acceptance of the studentship post is indicated by the successful applicant completing, signing and returning the ITT Dublin - Studentship Acceptance Form to the Principal Researcher within two weeks of receiving the offer, who then forwards a copy to the Head of Department and the Development & External Services Office.

Once the candidate has accepted their studentship they are deemed eligible prepare and submit an application to register for the appropriate degree programme. The registration process can be initiated immediately before the commencement of the

⁹ This is a mandatory requirement for all PRDSP funded studentships.

project, following the procedures outlined in Section 2 of these regulations. The procedures regarding admission & registration should be provided to the candidate by the proposed Principal Researcher at the time of offer of the studentship.

Where candidates are applying for a non-funded full-time or part-time postgraduate research programme, a formal pre-admission interview following the guidelines outlined in Appendix D must also be conducted by the proposed Supervisor or Supervisory team. This can only take place once the sponsoring Department has approved the proposed research project as outlined in Section 1.2.2 above.

Following a successful outcome to the pre-admission interview the candidate is deemed eligible to register for the appropriate degree programme. The registration process can be initiated immediately before the commencement of the project, following the procedures outlined in Section 2 of these regulations.

All candidates are required to consult the Institute Code of Good Practice for Research Degree Programmes prior their application to obtain details on the regulations governing admission and registration to research degree programmes and the appropriate codes of conduct. The procedures regarding admission & registration should be provided to the candidate by the proposed Principal Researcher.

Feedback to Unsuccessful Candidates

Once the successful candidate has notified the proposed Principal Researcher of their acceptance of the studentship it is then the responsibility of that supervisor to notify, in writing, all of the unsuccessful applicants.

SECTION 2 ADMISSION & REGISTRATION

2.1 Academic Entry Requirements & Assessment of Qualifications

The right to admit graduate students to the research degree register rests with the Awarding Body HETAC and ultimately the NQAI. The Registrar is responsible for the submission of all Institute admission applications to HETAC.

The entry requirements for postgraduate students to research degree programmes are compatible with progression routes through the National Framework for Qualifications, at NQAI levels 9 and 10 for Master's and Doctoral degree awards. All applicants are normally required to possess a minimum of a second class honours grade 2 degree at level 8 or an equivalent qualification in terms of knowledge, skill and competence in order to be considered for admission to a research degree register. However, possession of such a qualification does not guarantee acceptance.

The qualifications of all applicants who wish to register for research degree

programmes are assessed as part of the formal registration application process outlined in Section 2.2 below. This should be conducted at the candidate selection stage before the offer of a studentship as previously outlined in Section 1 following the procedure outlined in Section 2.1.3.

The requirements for consideration for entry to the higher degree programmes by research on offer at the Institute are as follows:

2.1.1 Masters Degrees

To be eligible for consideration for entry to the Master's Register an applicant is required to hold an Honours Bachelor Degree with a performance equivalent of at least a second class honours grade 2 (at Level 8 of the NQF). The honours Bachelor's qualification must be in a field of study directly related to the subject matter of the proposed Master's Degree.

In exceptional circumstances applicants who hold recognised academic qualifications determined to be at least equivalent to the above may be considered. Prospective applicants with a recognised professional qualification (which requires experience and work achievement) and which testifies to the possession of the required knowledge, skill and competence for entry to the Masters programme may also be considered. Consideration of applications from candidates with equivalent and professional qualifications follows a process of assessment within the Institute before submission of the application to HETAC (see Section 2.1.3). In some cases a qualifying examination (see Section 2.1.5) may be used to determine whether the prospective applicant may be reasonably expected to succeed in the programme.

2.1.2 Doctoral Degrees

To be eligible for consideration for direct entry onto the Doctoral Register an applicant is required to possess a Master's degree by research (at Level 9 of the NQF) in a cognate area.

All other applicants will be required to be entered on the Master's Register for at least one year full-time before applying to transfer to the Doctoral Register on the recommendation of the principal supervisor following the transfer assessment process outlined in Section 2.2.6.

In exceptional circumstances applicants who hold recognised academic qualifications determined to be at least equivalent to the above may be considered. Prospective applicants with a recognised professional qualification (which requires experience and work achievement) and which testifies to the possession of the required knowledge, skill and competence for entry to the Doctoral programme may also be considered. Consideration of applications from candidates with equivalent and professional qualifications follows a strict process of assessment within the Institute before submission of the application to HETAC (see Section 2.1.3). In some cases a qualifying examination (see Section 2.1.5) may be used to determine whether the prospective applicant may be reasonably expected to succeed in the programme.

2.1.3 Assessment of Qualifications

Procedures exist to determine whether applicants holding qualifications not placed on the NQAI framework or not from the Irish University Sector (i.e. non-national degrees, professional or equivalent qualifications) have the knowledge, skill and competence required to successfully complete the proposed research degree programme within the time allowed. These procedures are consistent with international best practice.

For applicants holding academic degree qualifications from outside the State the assessment of the candidate's qualifications relies on the National Academic Recognition Information Centre (NARIC) guidelines to which the Institute subscribes. The following procedure applies:

- a) Prior to the formal application for registration the proposed Candidate must provide the Principal Supervisor with details of their qualifications on the ITT Dublin - *Application form for the Assessment of Qualifications*.
- b) The Registrar's Office checks the qualification against the National Academic Recognition Information Centre (NARIC) guidelines at the request of the Principal Supervisor.
- c) The Registrar's Office communicates the outcome of NARIC check back to the Principal Supervisor before a formal registration application can proceed as per guidelines in Section 2.2.
- d) Where there is a serious doubt about comparability of standards in the qualifications of an overseas applicant the Registrar will make the final determination and may take advice on this from the Institute's Postgraduate Research Advisory Board and/or HETAC.

For applicants with equivalent and/or professional qualifications the following procedure applies:

- a) Prior to the formal application for registration the proposed Candidate must provide the Principal Supervisor with details of their qualifications on the ITT Dublin - *Application form for the Assessment of Qualifications*, who then submits the form to the Registrar's Office for consideration.
- b) The Registrar assesses the qualifications in consultation with the Institute's Postgraduate Research Advisory Board.
- c) The Registrar's Office communicates the outcome of the qualifications assessment back to the Principal Supervisor before a formal registration application can proceed as per guidelines in Section 2.2.

In considering an applicant in this category, the Institute Research Advisory Board shall look for evidence of the candidate's ability and background knowledge in relation to the proposed research. Professional experience, publications, written reports or other appropriate evidence of accomplishment shall be taken into consideration. The Registrar may require an applicant to pass a qualifying examination (see Section 2.1.5) normally at final year honours degree level in appropriate modules as determined by the Supervisor(s) (in consultation with the relevant Head of Department) before registration is approved. An applicant wishing to be considered under this regulation must include in the application for registration the names of two suitable persons

whom the Institute may consult concerning the candidate's academic attainment and fitness for research.

2.1.4 Language of Instruction & Thesis

Studies are normally conducted and the final thesis submitted through the medium of English as agreed between the postgraduate student and the Supervisor(s). Theses and other materials submitted may be presented in another language (as dictated by the balance of the subject matter), provided that prior written approval of the Supervisor(s) and the Institute Registrar has been obtained. In those cases all applicants must demonstrate their proficiency in that language in their admission application to be in line with the entry requirements outlined in Section 2.1.1 and 2.1.2 above.

All applicants who have not been educated through the medium of Irish or English to Leaving Certificate or equivalent must present one of the qualifications presented in Table 4 in the English language with their application.

Table 4: English language qualifications required.

<i>Examination</i>	<i>Minimum Level Required</i>
<i>International English Language Testing System (IELTS)</i>	Grade 6
<i>Test of English as a Foreign Language (TOEFL)</i>	213 - computer-based 550 - paper-based
<i>Cambridge Certificate of Advanced English</i>	Grade C
<i>Cambridge Certificate of Proficiency in English</i>	Grade C

Certain projects may require a higher level of proficiency in English than mentioned those above. In such cases the Registrar on recommendation from the Supervisor(s) may require the applicant to take part in a further oral and/or written examination to demonstrate the required level of proficiency for the project. If the Registrar deems the applicant does not possess the level of English required then the application cannot be progressed further.

2.1.5 Qualifying Examination

The purpose of a qualifying examination is to determine whether or not applicants with overseas, equivalent or professional qualifications can demonstrate, where there is doubt, that they have the necessary knowledge, skill and competence required to

successfully complete the proposed research degree programme within the time allowed (timeframes given in Section 3.1). The Qualifying examination will be set by the proposed Supervisor(s) in conjunction with the Head of Department and the Registrar and will have an approved Departmental External Examiner in accordance with the Institute's procedures for taught programmes. The results of the examination must be approved by the External Examiner and endorsed by the Head of Department and the Registrar. The outcome is communicated by the Registrar to the applicant.

2.2 Application Procedure for Admission to a Postgraduate Degree Register

Applications to register on a research degree programme should be made as soon as possible after the recruitment of the student and not less than one month after the project commencement date. The student should be informed that the programme may only lead to a HETAC award if successfully registered.

No retrospective registrations will be allowed after a period of six months from the date of admission of the student to the Institute and project commencement unless in exceptional circumstances as dictated by the Registrar.

Only candidates who have been deemed eligible to register for a research degree programmes (see Section 1.3) should submit an application for registration.

This involves the candidate, in conjunction with the Supervisor(s), preparing and submitting two forms simultaneously:

- a) The first form must be submitted to the awarding Body HETAC following the Institute procedures outlined below to obtain full registration for the proposed programme of study.
- b) The second form must be submitted to the Institute to obtain temporary registration to allow the applicant begin the programme pending the successful outcome of their HETAC registration application.

Note: where applicants have not paid the required fees they cannot progress to the full registration category. Appeals should be submitted to the Registrar.

All admissions to conduct postgraduate research studies at the Institute are probationary pending a successful outcome to the formal HETAC registration process. Where a registration application is unsuccessful the candidate cannot continue to pursue the proposed research degree programme. Where this affects a studentship position, this will be dealt with by the Head of Development in consultation with the Project Supervisors and funding agency where necessary.

Where a proposed Supervisor is a Head of Department the Head of School should approve the application for registration. Where the proposed Supervisor is a Head of School this should be carried out by the Registrar.

2.2.1 General Application Procedure

The candidate is first required to submit a formal application to HETAC by completing the ITT Dublin - *Application to HETAC for Registration of a Research Degree Programme* form in conjunction with the appointed Supervisor(s) for the proposed programme of study. The HETAC registration form including guidelines for its completion is given in Appendix E of this document.

The following additional information from the applicant must accompany the completed application form:

1. Transcript of final examination results as required for entry to the Masters or Doctoral research degree programme being applied for.
2. Institute authenticated copy of the primary degree parchment as required for entry to the Masters or Doctoral research degree programme being applied for.
3. The name and short curriculum vitae of the proposed Supervisor(s), including Co-Supervisor(s) and Mentoring Supervisors where necessary.

The HETAC registration form, along with guidelines for completion, can also be obtained directly from the Registrar's Office.

Completed forms along with the supporting additional information must be submitted to the proposed sponsoring Head of Department for assessment as outlined next in Section 2.2.2.

The candidate should then apply for temporary Institute registration for the proposed research degree programme by completing the ITT Dublin - *Postgraduate Research Degree Admission Form* available from the Registrar's Office. This form can be submitted directly to the Registrar. A central file is then set up for the candidate in the Registrar's Office.

2.2.2 Assessment of Application

Following receipt of the candidate's HETAC application form and supporting documentation the application is formally assessed by the Institute in a two-step process.

Within the proposed sponsoring Department the assessment of the application is carried out by the Head of Department. The Head of Department may seek external advice on the proposed application and its suitability for the proposed award level. Following a successful outcome to this assessment¹⁰ the Principal Supervisor can submit the formal application to the Registrar's Office.

¹⁰ Any issues associated with the application at this stage should be minimal since the Head of Department will already have conducted a detailed assessment of the proposed project, candidate suitability and supervisory arrangements to ensure the candidate was eligible to register in the first place.

The Registrar convenes the Institute Postgraduate Research Advisory Board to evaluate registration application proposal forms and supporting documentation.¹¹ If the Institute Board is satisfied that the application meets all the requirements for registration the Registrar will submit the application to HETAC for their consideration and approval. Where the Board is not satisfied the application is returned to the sponsoring Department with an appropriate recommendation providing reasons for its rejection, e.g. additional information required for the candidate, more clarity on supervisory arrangements required, etc.

The Institute and HETAC reserve the right to request further information or evidence where appropriate to support an application for admission to a postgraduate degree register.

2.2.3 Acceptance or Rejection of Registration

All registrations to research degree programmes must have approval from HETAC. The outcome of an application for admission to the appropriate postgraduate degree register is communicated to the Registrar by HETAC, following consideration by its Research Degree Programme Committee.

Failure to obtain HETAC approval for registration to the appropriate degree programme will result in termination of the proposed supervised programme of study unless a re-application is successful.

The outcome of the application is communicated to the candidate and Principal Supervisor by the Registrar's Office directly and copied to the sponsoring Head of Department.

Where HETAC has approved an application for registration, the Registrar sends the student a letter of acceptance that should include:

- The official commencement date of registration for the research degree programme.
- The official MRA number that HETAC has assigned to the new student (to be used in all subsequent communications with HETAC).
- Statement requesting the student familiarise themselves with the Institute Research Regulations and Code of Good Research Practice.
- Statement indicating that the student must agree, jointly with the Supervisor(s), and regularly update a plan and timeframe for the completion of the research degree programme including the scheduling of meetings and arrangements for the regular evaluation of progress.
- Statement indicating the timescale for completion of studies and that the

¹¹ The Postgraduate Research Advisory Board meets at least once a year in October. For registration applications that occur outside of this time period, the Registrar will send the application to at least three of the Board members who will review the application and give their recommendations directly to the Registrar in writing to facilitate timely submission to HETAC.

student is required to prepare and submit a thesis for examination in accordance with the Institute Regulations.

A bank giro will also be included with the letter of acceptance for the student to pay the fees where required. Details on the collection and payment of all fees for postgraduate research degree programmes are given in Section 2.2.10 below. Student details are entered on the Institute student database by the Registrar's Office.

Where HETAC have rejected an application for registration, the comments and guidance provided in writing by HETAC should dictate whether a re-application with additional documentation or clarification is appropriate. Alternatively in the case of the rejection of an application to be admitted to the Doctoral Register the applicant may be advised to submit an application for the Masters Degree register instead following the procedures described in Section 2.2.1. The Registrar may take guidance on this from the Institute Postgraduate Research Advisory Board.

2.2.4 Appeals Process for Unsuccessful Applicants to Research Degree Programmes

Appeals - Submission of an Application for Registration from the Institute to HETAC:

In the case of a rejection by the Institute of an application for admission to a research degree register, the candidate may submit a request to the Institute Registrar to appeal the decision. All appeals should be lodged with the Registrar not later than ten working days after the date of receipt of the original outcome of the registration process. Only written appeal requests will be considered.

It rests with the Registrar to determine whether the appeal should go ahead or not and how the appeal should be processed in accordance with the Institute appeals procedures (Appendix F). All such appeals will be processed by the Institute within four weeks of receipt of the request. In the event of the written appeal to the Institute proving unsuccessful the candidate has the right to further appeal in writing to the Director within five working days of receiving the original decision.

Appeals - Unsuccessful HETAC Registration:

HETAC will only consider appeals on unsuccessful registrations through the Director of the Institute. All registration appeals to HETAC should be communicated in writing by the Director of the Institute.

The Institute appeals procedure in Appendix F should be followed first in this instance. Once a written appeal is received by HETAC it will be considered by their Research Degree Programme committee. In the event that an appeal is not upheld by the committee the Institute may appeal to the decision to the NQAI.

2.2.5 Annual Renewal of Registration

The Institute is required to renew the registration of all its research postgraduate degree students and submit update forms to HETAC on an annual basis. Progress reports must be submitted by the Head of Department to the Registrar for the following:

- a) Student (ITT Dublin - *Postgraduate Student Annual Report Form*),
- b) Principal Supervisor (ITT Dublin - *Supervisors Annual Report Form*)
- c) Letter from the Head of Department¹² indicating the level of satisfaction with each student's progress and a recommendation for continuing registration, for the subsequent academic year.
- d) A HETAC Postgraduate Research Degree Candidate/Supervisor Update Form for each candidate that has been completed by the Principal Supervisor.

All documentation regarding a candidate's annual review will be held in the Registrar's Office in their Central file.

The Registrar sends out a request to Academic Supervisors for the completion of the annual progress reports at the start of the new academic year.

The Principal Supervisor is also required to complete a *HETAC Postgraduate Research Degree Candidate/Supervisor Update Form* to be submitted along with the annual progress report. Failure to complete these forms will result in the registration becoming lapsed.

The Registrar will recommend continuing registration as a research student for all candidates that have made satisfactory progress and shown sufficient commitment to proceed with the programme. Where unsatisfactory progress has been reported it refers those reports the Institute's Postgraduate Research Advisory Board for consideration and to an external academic expert where necessary. All students must pay the prescribed annual fees as discussed in Section 2.2.10 where required.

Where progress by the student is deemed to be satisfactory by the Registrar, he/she will then submit the update form to HETAC and hold the progress reports on file for each student. Where student progress is deemed to be unsatisfactory the Institute Board may seek further clarification from the Principal Supervisor and Department before making a decision on whether to submit a renewal of the registration to HETAC or request the registration is terminated in accordance with Section 2.2.8 below.

Students who do not maintain adequate contact with their Supervisors may be deemed to have made unsatisfactory progress and a request for a termination of registration may be considered as outlined in Section 2.2.8 below.

The first year of registration is probationary for all students on the Doctoral register. Following a satisfactory outcome to the annual assessment, the student will be formally admitted to the Doctoral register, following the approval of the Institute's Registrar and HETAC. Otherwise the student will be placed on the appropriate Master's Register and advised thereof by the Registrar.

It is essential to note that all students who wish to submit a thesis for examination for the next academic year must have renewed their registration with HETAC. It is the responsibility of the sponsoring School to ensure the students are notified of this.

The outcome of the application for renewal is communicated to the candidate and Principal Supervisor by the Registrar's Office directly.

¹² A single letter with the names and recommendations for all students in a Department will suffice.

2.2.6 Application to Transfer from the Masters to the Doctoral Register

Students wishing to transfer from the Master's Register to the Doctoral Register will make a formal application to the Registrar through the sponsoring Department. Normally, such applications should not be made earlier than one year after admission to the Master's register; and not later than one year before the expected date of completion of the proposed doctoral research.

A request for transfer can only be initiated following the recommendation of the Supervisor(s) in consultation with the sponsoring Department. The Head of Department should carry out a review of the supervisory arrangements and availability of accommodation to ensure that

1. The Supervisor(s)' continuing availability to supervise the project for the extended duration of the new level of award.
2. The Supervisor(s) meets the criteria to supervise to the higher level of PhD award.
3. The Department has the facilities required to complete the extended programme.

The student is required to submit a typewritten report (normally 5000 words in length at least) to the Principal Supervisor for consideration by an external academic expert in the field of study proposed for the new award level. The report must include details of:

- Review and discussion of the work already undertaken
- An outline of the proposed doctoral research project and a general timescale for completion of the work
- Confirmation statement by the supervisors that they consider that the candidate has made sufficient progress to justify the transfer.

The external expert may be an approved External Examiner for research degree programmes and where they are not, they must meet the same criteria for External Examiners as described in Section 4.

The external expert is required to carry out an assessment of the student's suitability to conduct proposed research to the knowledge, skill and competence level required for Doctoral Degree programmes. They must submit a report on their assessment to the Head of Department indicating whether it is recommended the student transfer to the Doctoral register or not with supporting reasons.

Where the external examiner recommends the student for transfer, the student and supervisors must complete the *HETAC Application for Transfer to Doctoral Register form*. The completed form and assessors' report are submitted directly to the Registrar's Office for consideration by the Institute's Postgraduate Research Board before submission to HETAC for approval. The outcome of the HETAC approval process is communicated to the student, Principal Supervisor and Head of Department by the Registrar.

Where the student has not been recommended for transfer by the Institute or HETAC then the student can appeal the decision through the appropriate registration appeals process outlined in Section 2.2.4 and Appendix F.

2.2.7 Application to Transfer from the Doctoral to the Masters Register

Students on the Doctoral Register, who are unable to complete the approved programme within the permitted duration for any reason may through the sponsoring Department, apply to the Registrar for permission to transfer to the Master's Register. The Registrar may permit such a transfer if satisfied that there are good reasons for doing so, and submits this request to HETAC to have the registration amended. The attachment of special conditions, including provisions with regard to duration, to the candidate's registration for the Degree of Master may be required at the request of the Institute's Postgraduate Research Board and/or HETAC as required.

The outcome of the HETAC amendment process will be communicated to the student, Principal Supervisor and Head of Department by the Registrar.

2.2.8 Termination of Registration

The submission of a written request to HETAC seeking to terminate the registration of a postgraduate student can only be carried out by the Registrar. The Registrar may seek advice on the matter from the Institute's Postgraduate Research Board along with an external academic expert and/or HETAC.

The grounds for a request from the Registrar to HETAC for termination of registration may include an instance where:

- A student has been found to be in breach of Institute Regulations.
- A student's registration has become lapsed beyond the time period allowed for completion of the appropriate degree programme (i.e. 4 years for Masters and 6 years for PhD as calculated from their initial registration date as mentioned in their letter of offer)
- The Registrar upholds a request for termination by the Head of Department due to unsatisfactory progress.
- The Registrar upholds a request for termination by the Head of School due to a breach of the Institute's Code of Conduct for Researchers.

The Registrar may seek advice on this from the Institute's Postgraduate Research Board along with an external academic expert and/or HETAC.

A request for termination of registration may be a suggested outcome from the annual assessment process. Alternatively, such requests may be considered at any time during the project as the need arises.

Every student will be warned that their registration may be terminated by letter sent to his/her contact address as given to the Institute on their Registration Form.

The outcome of this process will be communicated to the student, Principal Supervisor and the relevant Head of Department by the Registrar.

Any appeals against this deregistration must be lodged with the Registrar within ten working days of the date of issue of the deregistration notice. The appeals process is the same as previously outlined in Section 2.2.4 and Appendix F.

2.2.9 Withdrawals, Extensions and Deferrals

Withdrawal by the Postgraduate Student

In the event that the student wishes to withdraw from the programme, they should notify their Supervisors and complete the ITT Dublin - *Application for Withdrawal from a Research Degree Register Form*.

It is, however, desirable that the student first discuss their intention to withdraw from the programme with their Supervisor(s) on an informal basis.

The completed form is submitted to the Registrar's Office for consideration by the Registrar. The withdrawal of the student from the programme is noted at the next Institute Postgraduate Research Board meeting.

The Registrar notifies HETAC of the withdrawal of the student from their programme of study and deletes the name from the live register.¹³

Extension of Time to Complete Thesis

Where the student requests an extension of time to submit their thesis they should notify their Supervisors and complete the ITT Dublin - *Request for Extension of Registration Form*.

It is however desirable that the student first discuss their intention to apply for an extension with their Supervisors on an informal basis.

Extension of time to complete a thesis may only be granted with the agreement of the Registrar in consultation with the Supervisors and HETAC under exceptional circumstances, e.g. prolonged period of illness or other personal circumstances.

Both student and supervisors must complete the HETAC *Application for Re-Admission to Postgraduate Register form* where the allowed registration period has passed. Both forms are submitted to the Registrar's Office for consideration by the Registrar.

The Registrar submits the re-admission form to HETAC for consideration by their Research Degree Programme Committee. The HETAC recommendation is communicated to the student, Supervisors and Head of Department by the Institute Registrar. The appeals process is the same as previously outlined in Section 2.2.4 and Appendix F.

Deferrals

A request for deferral from a research programme of study must be notified in writing by the student to the Supervisor(s).

It is however desirable that the student first discuss their intention to apply for a deferral with their Supervisors on an informal basis.

¹³ Any issues with regard to the studentship should be dealt with by the Supervisor(s) and the Head of Development. This includes whether to recruit another candidate for the studentship, who would then have to go through the full application process as outlined in Section 1.

A deferral may only be granted by the Registrar under exceptional circumstances, e.g. prolonged period of illness or other personal circumstances.

The Student must complete the ITT Dublin - *Request for Deferral from a Research Degree Programme Form*. The completed form is submitted to the Registrar's Office for consideration by the Registrar and should be copied to the sponsoring Head of Department for information purposes.

The Registrar notifies HETAC in writing of the request for deferral with supporting reasons.

Where the period of deferral goes beyond the time allowed for completion of the required thesis, the student and Supervisors must follow the procedure outlined in the "Extension of Time to Complete Thesis" sub-section above.

2.2.10 Payment & Collection of Fees

Full registration for a research degree programme is normally conditional on the receipt of payment of the appropriate registration, tuition and capitation fees at the outset from the postgraduate student and/or the appropriate studentship or grant authority as outlined in Table 5. Fees can be paid in instalments by agreement with the Registrar's Office.

Table 5: Fees Listing for Research Degree Programmes

Research Degree Programme Fee*	Typically Paid By
HETAC Registration	Postgraduate Student
Tuition	Postgraduate Student or Studentship or Local Authority Grant (<i>see 2 & 3 below</i>)
Capitation	Postgraduate Student
Examination & Writing Up	Postgraduate Student
Transfer Fee	Institute

All fees are set on an annual basis and must be lodged with the Institute within seven days of the student being notified of their acceptance on the register. In the cases where fees are to be paid in instalments the first instalment must be lodged within this seven day period. The remaining instalments must be in accordance with the method of payment and dates as set out by the Registrar's Office.

The Development & External Services Office will ensure that all agreed deductions from the project budget for fees have been carried out [Appendix G.1]. This involves notifying the Registrar's Office where a studentship fund makes provision for fees for a research degree programme. The Registrar's Office notifies the Institute's Finance

Department to take the appropriate tuition fee from the research studentship/scholarship fund on behalf of the student.¹⁴

The prescribed examination fee must be paid by the postgraduate student in full or instalments (as agreed with the Registrar's Office) at the time of submission of the thesis through the Registrar's Office.

A late payment charge applies for fees received after their due date. If fees are still unpaid four weeks after the due date a replacement fee will apply. Written appeals may be made to the Registrar.

Research students in the following categories, i.e. a Masters student entering their 3rd or subsequent years or a PhD student entering their 4th or subsequent years are eligible for the "partial fee refund scheme". Those research students who submit their thesis within six months of their renewal date may apply to the registrar for a refund of 50% of that year's tuition fee.

The Institute will consider valid applications for postgraduate fee concession, as notified to them by the Registrar's Office following completion of the ITT Dublin - *Institute Fee Concession Form*. Applications will be considered for the following where:

- (a) The applicant is a permanent wholetime staff member of the Institute who is seeking a higher degree by research.
- (b) The Institute wishes to foster Research and Development in an area, which is strategic to the Institute, and where no other funding source is available.
- (c) The applicant is a student who has financial difficulties.

Failure to pay the prescribed fee where required within the prescribed time period will lead to automatic de-registration of the postgraduate student.

The Institute reserves the right not to submit a thesis for examination where the student is not in good standing with the Institute in relation to fee payment.

Appeals can be made following the procedures outlined in Appendix F.

¹⁴ In the case of postgraduate students who are eligible for a Local Authority Grant the Finance Department of the Institute will charge the full tuition fee to the Local Authority. A local Authority will only provide grant aid for a total of five years of a student's third level education. Hence, this option is available for approved applicants who have completed a four year honours degree for the first year of the research project only.

SECTION 3 MONITORING & ASSESSMENT

3.1 Duration of the Research Degree Programme

The minimum and maximum periods of registration for full time students are as follows:

Award	Minimum	Maximum
Masters	18 months	48 months
PhD	36 months	72 months

Note: a longer time period may be applied to part time students at the discretion of HETAC.

Should the candidate not complete the programme within the allowed timeframe the registration becomes lapsed. If the candidate wishes subsequently to present for the degree, an application for re-registration to the Institute and HETAC is a mandatory requirement following the procedure in Section 2.2.9 under the heading “Extension of Time to Submit Thesis”.

The minimum period of time before a Master’s thesis can be submitted, is one year from the date of registration for full-time or two years part-time.

The minimum period of time before a Doctoral thesis can be submitted, is two years from the date of registration for full-time or three years part-time.

In the case of a candidate transferring from the Master’s to the Doctoral Register, the required and permitted duration shall be measured from the date of admission to the Master’s Register originally.

3.2 Commencement of Research & Statements of Responsibility

The Institute undertakes to make satisfactory arrangements for the admission, candidature, supervision and examination provision of all of its postgraduate students. The Institute Code of Practice has been written bearing these responsibilities in mind.

The research student will receive a copy of the Institute Code of Practice from their Supervisor(s) on commencement of the programme at Induction. A formal induction session on this Code of Practice is also included in the Postgraduate Induction Training Programme as outlined in Section 3.3 of this document.

This section specifies the responsibilities and duties of the student, along with the roles of the research supervisors and those areas responsible for the delivery of research degree programmes within the sponsoring School. The purpose of the statements which follow below is to establish clear and explicit mutual expectations and so minimise the risks and problems of personality clashes, inadequate supervision, or unsatisfactory progress.

3.2.1 Responsibilities of the Postgraduate Student

The student should work with the Supervisor(s) to establish an effective supervisory relationship, tackling the research with a positive commitment, and taking full advantage of the resources and facilities offered by the academic environment.

The responsibilities of a postgraduate student include:

- Taking responsibility for his/her research activity and candidacy for the degree.
- Ensuring that he/she is familiar with relevant aspects of the Institute health safety and welfare framework.
- Ensuring that he/she is familiar with and complies fully with the Institute's rules and regulations, Code of conduct for Researchers, Intellectual Property policy and procedures appropriate to their research degree programme.
- Making Supervisor(s) aware of any specific needs or circumstances likely to affect their work (e.g. disability, pregnancy etc.).
- Ensuring that any circumstances that might require his/her mode of study to be modified or his/her registration to be extended, suspended or withdrawn, are brought to the attention of his/her Supervisor(s).
- Making appropriate use of any teaching and learning facilities and training opportunities made available by the Institute, School or Department.
- Successfully completing any training arranged.
- Maintaining satisfactory progress with the programme of research. This includes keeping up-to-date with the literature related to the research area; performing and completing tasks in the research project on a day-to-day basis.
- Conducting their research within the ethical standards of the Institute.
- Maintaining regular contact with Supervisor(s). The student should agree with the Supervisor(s) to have regular meetings and to prepare adequately for those meetings to discuss plans of action and targets for progression of the research work. The student should provide adequate explanation of any failure to attend these meetings.
- Setting and keeping to timetables and deadlines, including planning and submitting work as and when required. The student should take note of guidance and feedback given by their Supervisor(s).
- Developing responsibility for the direction of and innovation in the research project as it develops. The student should submit written work to the Supervisor(s) regularly and in good time, in accordance with the agreed timetable.

- Communicating both orally and in writing, his/her research findings, as agreed by the Supervisor(s). Typically this would involve presentation at seminars and conferences and/or preparing or writing papers for submission to journals etc.
- Completing an annual progress report by the set date each academic year. The student may be required to make an oral presentation to an assessment panel where there has been unsatisfactory progress.
- Informing the Supervisor(s) of significant problems and difficulties as early as possible. The importance of prompt identification and resolution of any problems cannot be over emphasised, and it is the responsibility of the student in the first instance to ensure that any problems are raised at the appropriate level at the earliest opportunity.
- Deciding when he/she wishes to submit their thesis, in agreement with their Supervisor(s).
- Complying fully with the examination procedures. Students must refrain from interacting with the examiners.

Note: Failure to comply with the Research Regulations & Code of Conduct may result in disciplinary action culminating in de-registration.

3.2.2 Role of the Supervisors

The Supervisor(s) should work with the student to establish an effective supervisory relationship. The Supervisor(s) have a range of duties and responsibilities in overseeing the progress of the postgraduate student's research work. These include:

- Selecting & recruiting a suitable postgraduate student for admission to the proposed research degree programme on Departmental approval.
- Advising on the nature of any qualifying process necessary with the Head of Department and the Registrar at the time of the student's application for admission to the research degree programme.
- Providing satisfactory guidance and advice to the student on the research project and the standard expected; the planning and timing of the successive stages of the research programme; literature and sources of information for the project; research methods and instrumental techniques; attendance at appropriate courses; avoidance of plagiarism and respect for copyright. The Supervisor(s) should guide the student on how best to complete the research project, including preparation of a thesis within the time available.
- Monitoring the progress of the student's research programme. The Supervisor(s) must ensure that regular meetings or supervisory sessions take place, the frequency of such sessions will vary according the nature of the research (e.g. whether laboratory work is involved), the particular research project, and may depend on whether the student is registered on a full-time or part-time basis. The length of sessions will also vary from student to student, across time and between disciplines. The key point is that both student and supervisor should have a clear, agreed understanding of the frequency and nature of contact required at any particular stage of the project.
- Ensuring that the student is aware of his/her requirement to conduct their research in accordance with the ethical and safety standards of the Institute.

- Arranging training on subject-specific material and skills and generic skills as appropriate.
- Establishing and maintaining a satisfactory timetable for the research. The Supervisor(s) should ensure that the student is informed of any inadequacy of standards of work below that generally expected from research students and should suggest remedial action as appropriate.
- Maintaining a record of formal supervision meetings for each student to include: date of meeting, summary of discussion and any specific advice given.
- Providing timely, constructive advice and effective feedback on the student's work, including his/her overall progress within the programme on a regular basis. The supervisor should take note of feedback from the student.
- Reading promptly all the written work submitted in accordance with the agreed timetable.
- Arranging, as appropriate, for the student to present work to staff or graduate seminars or conferences. The Supervisor(s) should provide advice on writing up the research, or parts of it, for publication and presentation.
- Notifying the student well in advance of any planned periods of absence from the Institute. If the period of absence is significant the Supervisor(s) should ensure that appropriate arrangements for alternative supervision are made, where required, and that the student is informed of them.
- Completing annual progress reports on the project. The Supervisor(s) may also be required from time to time by either the external funding bodies or collaborative Centres to provide a written report on the progress of the research project and should ensure that all requirements concerning the submission of such reports are complied with.
- Making recommendation on requests for transfer to a higher or lower register and advise the student on writing the transfer report required for Master's to Doctoral transfers.
- Initiating the process for the appointment of examiners well in advance of the thesis being submitted. The Supervisor(s) should advise on the nomination of appropriate examiners and seek approval for the proposed examiners from the Head of Department.
- Advising the student on the format and lay-out of the thesis, and providing guidance on the drafting of the thesis.
- Reading thesis material in both proof and final form, making suggestions on editing and/or correction, before it is formally submitted for examination.
- Ensuring that the student understands the procedures for the submission and examination of theses and assisting the student in preparing for the oral examination, where required.
- The financial monitoring of all projects, see Appendix G.

A Mentoring Supervisor appointed supervise on the research degree programme must provide guidance and assistance to the original proposing Principal Supervisor in complying with those responsibilities outlined above that relate to the planning of the research programme and ensuring the attainment and maintenance of an appropriate academic standard in the work being undertaken.

3.2.3 Role of Schools and Departments

The Departments and Schools have duties and responsibilities in overseeing the delivery of research degree programmes for registered postgraduate students. Once their approval or endorsement has been secured for a research degree programme their role is to support the efficient delivery of the programme and therefore act in an ancillary role. They are not directly involved with the day-to-day running of the specifics of the research project being carried out as part of the programme, this being the responsibility of the Supervisor(s).

The Institute recognises that (a) a Head of Department or (b) a Head of School can also act as a Supervisor on a research degree programme. In the case of (a), the Departmental roles should then be fulfilled by the Head of School. In the case of (b), the School roles should then be fulfilled by the Registrar or suitable person nominated by the Director.

Responsibilities of the Head of School include:

- Planning for and overseeing the management of research degree programmes within the School, to include: policy & strategy; availability of space accommodation; quality.
- Developing and implementing, with appropriate consultation, quality assurance procedures for the efficient delivery of research degree programmes.
- Generating a list of approved research Supervisors for the School on an annual basis for submission to the Registrar.
- Ensuring the research Regulations & Code of Conduct are communicated to all staff within their School.
- Ensuring there is a plan for the training of Supervisors and/or academics that wish to undertake research.
- Produce an annual research examination report for Academic Council.
- Invoke the relevant procedures for appeals made by the postgraduate student and/or Supervisors related to the delivery of the programme.
- Invoke the relevant procedures for complaints made by the postgraduate student and/or Supervisors related to the delivery of the programme.
- Convening an annual Exam Board for research degree awards.
- Promoting the research degree programmes running within their School.

Responsibilities of the Head of Department include:

- Leading and managing research degree programmes within their Department, to include areas such as: policy & strategy; availability of space accommodation.
- Advising on and implementing quality assurance procedures for the efficient delivery of research degree programmes.
- Approving applications for admission to these programmes before they are submitted to the Registrar, and notifying the Head of School.

- Advising on the nature of any qualifying process necessary with the proposed Supervisors and the Registrar.
- Ensuring Academic Staff who wish to act as Supervisors on research degree programmes meet the criteria and requirements to do so.
- Ensuring there is provision for training of research degree Supervisors where required.
- Ensuring there is provision for the replacement of Supervisors where required.
- Taking an active role in the Postgraduate Research Advisory Board when requested by the Registrar.
- Monitoring and continuous improvement of research degree programmes generally through the mechanism of an annual Programme Board meeting.
- Assisting in the preparation of the annual school research examination report for submission to Academic Council.
- Co-ordinating the annual review process for postgraduate students registered on research degree programmes in their Department.
- Facilitating and scheduling research seminars within the Department.
- Approving examiners for research degree programmes within their Department as recommended by the Supervisor(s).
- Invoke the relevant procedures for appeals made by the postgraduate student and/or Supervisors related to the delivery of the programme.
- Invoke the relevant procedures for complaints made by the postgraduate student and/or Supervisors related to the delivery of the programme.
- Promoting the research degree programmes running within their Department.

3.2.4 Role of the Registrar

The Registrar is responsible for the admission and registration of students on the Institute's research degree programmes. He/she also manages the overall examination process. Specifically the Registrar is responsible for:

- How the research Regulations & Code of Conduct are communicated to the Schools and prospective & registered postgraduate students, dealing with all breaches of same.
- Managing the registration process for research degree programmes within the Institute.
- Chairing & managing the activities of the Postgraduate Research Advisory Board.
- Making recommendation regarding HETAC requirements for the provision of support services & training to the Departments, Schools and the Development & External Services Office for the Institute's research degree programmes.
- Overseeing the monitoring of progress for research degree programmes.
- Overseeing and managing the appeals processes that relate to registrations and examinations.
- Overseeing and managing the complaints processes that relate to registrations

and examinations.

- Overseeing & managing the examination and final awards process for the Institute.
- Overseeing the promotion the Institute's research degree programmes to prospective students.
- Ensuring that the student is aware of the Institute's health, safety and welfare regulations.
- Ensuring the necessary support & welfare services are made available to postgraduate students for the duration of their studies from the Institute's function areas, such as Finance, Computing Services, Building & Estates, Student Services etc.
- Submitting to HETAC documentation relating to students and supervisors.
- Organising audits to ensure compliance with procedures, to include reporting to senior management on audits and compliance.

3.2.5 Role of the Development & External Services Office

The Development & External Services Office is responsible for the overall management and promotion of research activities for the Institute. In that context it is responsible for the non-academic or operational management of research degree projects including the administration studentship and scholarship funds. In this role as related to research degree programmes the D&ESO is responsible for:

- Development of Research Strategy.
- Provision of office-type accommodation for research degree students.
- Ensuring that the student is aware of appropriate Institutional support systems and sources of advice.
- Administration of research studentships and scholarships, including financial monitoring, orders and claims & making this information available to Supervisors.¹⁵
- Overseeing & managing the postgraduate student Induction Training Programme.
- Monitoring and implementing the Institute's policies and procedures in relation to Intellectual Property emanating from results obtained from research degree projects.
- Promoting & publishing information on the Institute's research degree programmes to stakeholders, including prospective students.

¹⁵ Refer to summary of SOP DR021 in **Appendix G.1** for General Financial Management of Research Projects.

Refer to summary of SOP DR022 in **Appendix G.2** for Ordering and Invoicing for Research Projects.

3.3 Postgraduate Student Training

Training of the postgraduate student throughout their studies is vital to a successful outcome within the timeframe of the proposed degree research programme. It is comprised of two components:

- Induction Training: to aid the adjustment of the new postgraduate researcher into their new environment within the Institute & sponsoring School
- Ongoing Training: to focus on specialist or core skills specific to the research project and transferable or generic skills specific to the discipline area.

3.3.1 Induction Training

The role of the induction programme is to familiarise the postgraduate research students with:

- a) the Institute Code of Practice for Research Degree Programmes, including information on student expectations and entitlements
- b) the Institute resources available to support their research activity
- c) the research environment and provide initial generic training in basic research skills to support their programme

It is compulsory for each new postgraduate student registered on a research degree programme.

All postgraduate students are required to attend a two day Postgraduate Induction Course, organised by the Development & External Services Department, in the first year of their studies. It is the responsibility of the Principal Supervisor to notify details of any new student to the Development & External Services Office. The Induction Course will normally be provided twice a year, at the start of each semester as required. At the Postgraduate Induction Course each student will receive a copy of the postgraduate student handbook which includes this Code of Practice. Details on the structure of the Postgraduate Induction Course are provided in Appendix H.

At the end of the induction programme each student is required to complete the ITT Dublin - *Postgraduate Induction Course Completion Form* as provided by the Development & External Services Department. The form is a tick box check that all elements of the course have been completed and must be signed by each student. A copy of the form is sent to the Registrar's Office and the principal Supervisor for their records.

Failure to successfully complete the induction programme may result in the procedures for termination of registration to be invoked by the Registrar.

Induction training on equipment & specialist techniques specific to the project are organised by the project Supervisor(s).

3.3.2 Ongoing Training

Core skills training specific to the project is normally provided throughout the project under the guidance of the supervisor(s). In some discipline areas this may be achieved by attendance at specific short courses provided within the Department or Research Centre/Group. It may also be augmented by seminars from postdoctoral fellows, other Institute academic staff and external recognised experts in thematic areas of research

and is normally organised within the sponsoring Department or Research Centre/Group.

The professional development of postgraduate students may be catered for through attendance at workshops or seminars on writing and presentation skills, along with career planning as organised within the sponsoring Department and School from time to time. Pedagogical training from a practical perspective is normally provided through the postgraduate student's involvement in the supervision of undergraduate laboratory practical sessions. They are mentored by Academic staff in this regard.¹⁶

Information skills training sessions specifically aimed at postgraduates are provided on an ongoing basis by the library at the request of the supervisor and are conducted in a group or one-to-one environment. They are tailored to cover resources specific to subject/discipline areas. A one-to-one research consultation is also available with the relevant subject librarian. Other sessions relevant to postgraduates and researchers focus on

- Doing research, copyright and citing sources
- Individual resources
- Inter-library loans.

An essential part of the ongoing training of the postgraduate student in presentation skills is their preparation for and participation in regular in-house seminars where they are required to present results from their research project on an annual basis. Attendance and presentation at national and international conferences is strongly encouraged and is normally organised by the Supervisor(s) and funded normally by the project funds.

Where multi-disciplinary training (for example across Departments/Schools) is required the Supervisor(s) normally arrange this in consultation with the appropriate Head of Department.

Guidance and training on the standard norms and methods for presenting research results from the specific project, in the form of reports, articles for journals and reviews is provided throughout the project by the appointed Supervisors, who also direct the students to copies of relevant texts etc. in the library. In addition, the Principal Supervisor guides the student in the preparation of (a) transfer reports and (b) a thesis, detailing how to write an abstract, introduction, discussion, results and experimental sections, where required, and suited to the level of award sought by the student. Training in writing styles for theses is provided by the Institute library on a needs basis, following recommendation and referral of the student by the Supervisor(s).

¹⁶ The amount of time that a research student may allocate to other duties such as teaching and demonstration is determined by the Supervisor(s) and is normally not more than three hours a week.

3.4 Supervisory Training

It is the responsibility of the Head of School to ensure all new and accredited supervisors receive the appropriate level of training as required.

Training in the following areas is recommended through participation in workshops as organised by the sponsoring School in areas such as administration & management of research; research methodologies: codes of conduct & ethics in research; intellectual property in research; and the supervision process.

There is a continuing professional development programme for all members of staff which includes research supervisors. Regular professional development training courses are normally communicated and offered to staff through their sponsoring Department. Provision is also made for attendance at external courses as identified by staff including research supervisors.

3.5 Monitoring Research Progress

Supervisors and students are required to meet on a regular basis to discuss progress on the project. A record or log of these meetings must be maintained by the Supervisor(s). These documents must be made available to the Head of Department, School and/or Registrar on request. This log should detail the progress of the research work and the decisions made at each stage of the project. It may also be used in cases where there are grievance issues to be resolved.

In addition students may be requested to prepare and submit quarterly written reports (in particular where the student is part of a Research Centre of specialist research group). Presentations made by the student as part of Departmental Seminar programmes on an annual basis generates additional records of student progress. They also serve as an informal assessment by the supervisors and other academics in the Department.

All supervisors and students must carry out independent assessment reports on an annual basis as per instructions in Section 3.6.

Procedures for Dealing with Unsatisfactory Progress by the Postgraduate Student

The reporting of unsatisfactory progress of a student registered on a research degree programme can be carried out at any time during the programme of study and not just at the annual review stage. The postgraduate student will be informed by the Principal Supervisor in writing of the nature of the unsatisfactory progress. The procedure for dealing with unsatisfactory progress is outlined in Appendix I.

3.6 Annual Assessment Review

The renewal of registration for a research degree programme is dependent on a positive outcome to an annual assessment review.

All annual assessments should be conducted within the first three months of the new academic year.

Progress reports must be submitted by the Head of Department to the Registrar from the following:

- e) Student (ITT Dublin - *Postgraduate Student Annual Report Form*),
- f) Principal Supervisor (ITT Dublin - *Supervisors Annual Report Form*)
- g) Letter from the Head of Department¹⁷ indicating the level satisfaction with each student's progress and a recommendation for continuing registration, for the subsequent academic year.
- h) A HETAC Postgraduate Research Degree Candidate/Supervisor Update Form for each candidate that has been completed by the Principal Supervisor.

All documentation regarding a candidate's annual review will be held in the Registrar's Office in their Central file.

The Registrar sends out a request to Academic Supervisors for the completion of the annual progress reports at the start of the new academic year.

The Principal Supervisor is also required to complete a *HETAC Postgraduate Research Degree Candidate/Supervisor Update Form* to be submitted along with the annual progress report. Failure to complete these forms will result in the registration becoming lapsed.

Each postgraduate student must complete and submit a *Postgraduate Student Annual Progress Report form* to their Head of Department. The report indicates progress under the following headings:

- a) agreed research plan with supervisors
- b) structured work schedule and compliance with schedule
- c) level of satisfaction with supervision and general progress to date
- d) frequency of meetings with supervisors
- e) target date for submission of thesis.

Each Principal Supervisor (in conjunction with the co-supervisor where applicable) must complete and submit a *Supervisors Annual Progress Report form* to their Head of Department. The report addresses a number of issues and indicates progress to date under the headings below:

- a) agreed research plan with postgraduate student
- b) structured work schedule and compliance with schedule
- c) frequency of meetings with postgraduate student
- d) training in research skills and techniques required by the student
- e) summary of feedback received from the student to date
- f) any serious problems encountered with the research to date

¹⁷ One letter per Department listing - the student names, level of satisfaction & recommendation regarding renewal of registration.

- g) supervisor satisfaction with the general progress of the work to date
- h) target date for submission of thesis
- i) Supervisor's recommendation for transfer to a higher or lower register.

All completed forms should be submitted to the Head of Department who can make one of the following recommendations to the Registrar regarding the student:

- a) the research is progressing satisfactorily and the candidate should be allowed to apply for transfer to a higher register, as recommended by the Supervisor(s)
- b) the research is progressing satisfactorily, and should continue.
- c) the research is not progressing satisfactorily, and a clear outline of remedial action to be taken should be provided to the student by the Supervisor(s) and they should be required to report again for review within one month.
- d) the research is not satisfactory for the level of the award being sought and the student should be transferred to a lower register at the request of the Supervisor(s).
- e) the research is completely unsatisfactory and the project should be ended and the student not re-registered.

Where there is a negative outcome to the assessment (as in c), d) or e) above) the Registrar will refer the case to the Postgraduate Research Advisory Board for consideration. They may request the postgraduate student make an oral presentation to an assessment panel convened by the Registrar or nominee, consisting of

- *two Academic Researchers independent of the project, as nominated by the Registrar*
- *the Head of Department or nominee*
- *the Head of School or nominee*
- *the Registrar (Chair).*

The panel may also include an external expert in the assessment process where necessary.

The Institute Postgraduate Research Advisory Board meets to consider all the outcomes of the assessment in such cases and makes recommendation on the renewal of registration as previously outlined in Section 2.2.5.

3.7 Complaints Procedures

Supervisors and postgraduate students are encouraged to solve any disputes/grievances through open informal dialogue before invoking the formal grievance or complaints procedure outlined in Appendix J. Where the matter cannot be resolved in this manner, either party may formally invoke a complaints procedure.

Disciplinary procedures are dealt with in the Code of Conduct Section of this document.

In the event of a difficulty arising during the project between the postgraduate

student and Supervisors:

- The postgraduate student should normally first consult the Principal Supervisors to seek to resolve the issue.
- The Principal Supervisor should normally first consult the postgraduate student to seek to resolve the issue.
- The Co-Supervisor should normally first consult the postgraduate student to seek to resolve the issue.

In cases where a dispute arises between postgraduate students and their Supervisors or where student progress between annual assessments is considered to be unsatisfactory, this matter should be referred to the relevant Head of Department (or Head of School where the Head of Department is the Supervisor). They will seek to find a resolution of the matter. Where the complaint remains unresolved it is dealt with in turn by the Head of School and then the Registrar.

If the postgraduate student considers that they are receiving inadequate supervision, they may normally register a complaint with the relevant Head of Department, who may then invoke the complaints procedure. Where the complaint remains unresolved it is dealt with in turn by the Head of School and then the Registrar.

A complaint of inadequate supervision will not normally be entertained after submission of the thesis.

3.8 Feedback Procedures

Feedback from the Registrar on the outcome of the annual assessment review is provided to the Supervisor(s) and student within three weeks of the submission of the progress reports where there has been satisfactory progress. Where an issue of unsatisfactory progress has been referred to the Registrar, feedback to the student should take place within three weeks of the submission as per Institute procedures outlined in Appendix I (last paragraph) and should not be delayed to the next annual review process.

Feedback to students on all other academic matters pertaining to delivery of the research degree programme is normally provided through the following mechanisms:

- the regular meetings with Supervisor(s)
- programme boards convened within a Department.

Feedback in relation to cases of alleged disputes between postgraduate students and their Supervisors or where student progress between annual assessments is considered to be unsatisfactory is normally provided by the Head of Department.

In the case where a termination of registration has been recommended feedback is given by the Registrar.

3.9 Appeals Procedures

If the result of the annual assessment is unfavourable, the student may appeal this result directly to the Registrar, following the procedure outlined in Appendix F. Appeal requests must be lodged with the Registrar within ten working days after the original notification of the assessment result. Only written appeals will be considered. Where an appeal is unsuccessful the student may submit a further written appeal to the Director within five days of receiving the original decision. The annual renewal of registration will only progress if the appeal has been successful.

3.10 Changes to Supervisory Arrangements

There may be a need to change a Supervisor during the programme due to (a) a supervisor being ill, (b) a supervisor being absent for too long a period, or (c) any other cogent reason. If such need arises, this must be communicated to the Head of Department. A proposal to change the supervision arrangements is normally made by the Head of School to the Registrar.

Where a change to the supervisory arrangements is mandated by the Institute, the Institute would continue to support the programme of learning being undertaken by the research degree student.

The Registrar submits this request to HETAC for consideration. The outcome from HETAC should be communicated to the student and principal supervisor by the Registrar.

3.11 Changes to Mode of Study

In the event that a postgraduate student wishes to change their mode of study, from part-time to full-time or vice versa, it is essential that they consult the Supervisor(s) about the implications and feasibility of this course of action and make application through the Head of Department and to the Registrar. Where the Registrar upholds a request in terms of change of mode of study the request must be sent to HETAC for consideration. The student may need to apply for an extension of their registration following the appropriate procedure in Section 2.2.9.

The outcome from HETAC should be communicated to the student and Principal Supervisor by the Registrar and copied to the relevant Head of Department for information purposes.

3.12 Annual Leave

All postgraduate students are eligible for up to 21 days of recreation leave, excluding days that the institute is closed, in each year by arrangement with their supervisors.

All requests for annual leave must be made in writing to the principal supervisor on the ITT Dublin - *Application for Annual Leave Form*.

The postgraduate researcher must undertake the following:

- Discuss informally with their supervisor their plans for leave of absence
- Complete the appropriate form and submit it to their Supervisor(s) at least 2 weeks prior to the commencement date of the leave
- Immediately notify their Supervisor(s) upon their return from annual leave.

3.13 Leave of Absence from Studies

All requests for extended periods of leave (including maternity leave) outside of annual leave require the approval of the Supervisors and Head of Department. Such requests must be made in writing outlining the reasons for the request. Where the extended leave has an impact on the proposed target date for submission of a thesis, this must be communicated by the Principal Supervisor to the Registrar, so HETAC can be notified. The student may need to apply for an extension of their registration on return from leave following the appropriate procedure in Section 2.2.9.

However, the granting of leave of absence may have significant impact on the postgraduate educational programme. These will be assessed on an individual basis. Extended leave of absence may render the research programme untenable.

In general, research grants do not provide for sick leave or maternity leave. Where the extended leave occurs while the student is receiving payment of a studentship or scholarship stipend, the Principal Supervisor must also notify the Development & External Services Office to request a deferral of the stipend. Only in exceptional circumstances will the Institute consider requests for a reduced stipend to be paid during the period of leave. However, this will result in some equivalent short fall in funding towards the end of the project.

A request for leave of absence must be made by the student first to the Principal Supervisor. Such a request may require the permission of a Research Centre or Manager and/or the appropriate funding body. The outcome of the request must be notified to the student by the Principal Supervisor following consultation with the relevant Head of Department for academic reasons.

In the case of a pregnancy, the Institute policy for postgraduate researchers is in keeping with the provisions normally applied to employees. The post-graduate student is required to notify their supervisor(s) and through them, the Head of Department of their condition. The post-graduate student, in consultation with their project supervisor(s) must re-evaluate their schedule of work to take cognisance of the pregnancy and precautions appropriate to it. The post-graduate student must notify their due date (i.e. expected birth date) to their supervisor(s) with a supporting letter from their physician. The post-graduate student will be required to take the statutory period of maternity leave. On returning from leave of absence, students are required to notify their Supervisor(s).

3.14 After Hours Access & Laboratory Research Work

It is recommended that all lone/after hours' experimental laboratory work be undertaken only when necessary and no other alternatives exist. The Institute's policy and procedures in this regard are given in Appendix K. The Institute defines lone/out of hours work as follows

- Any laboratory / experimental work undertaken outside of 8am - 5.30pm Monday - Friday.

It is important to note that at Christmas and Easter the Institute's campus closes down for certain defined periods of time and access to the Institute is only granted under exceptional circumstances.

The Institute's procedures outlined in the annex documentation in relation to lone/out of hours research work must be adhered to at all times.

3.15 Postgraduate Research Conducted Off-Campus

Postgraduate students may be required to spend periods of time away from the Institute as part of their research degree programme. In such cases, the student must fully complete, in consultation with their principal supervisor, the ITT Dublin - *Notification to Undertake Research Outside the Institute Form*. No postgraduate researcher will be permitted to undertake research outside the institute if they have not fully completed this form and submitted it to the Head of Department. This form must be submitted to the Head of Department for consideration at least two weeks before the planned start date of the visit.

The Institute policy & criteria regarding research conducted off-campus by postgraduate student researchers are given in Appendix L.

SECTION 4 EXAMINATION & AWARD

The form and method of presentation of the candidate's work shall be proposed by the sponsoring Department and Supervisors and shall be appropriate in nature to the nature of the work (e.g. in the case of certain disciplines it may take the form of an exhibition or a performance). Students can only submit their thesis for examination with the approval of their Supervisors. Where a student does not obtain the approval of the supervisors, they can appeal the decision to the Registrar following the procedure outlined in Appendix F before progressing with the submission.

The length of the thesis is not strictly prescribed, but the content of the thesis should be sufficient to demonstrate that the candidate has fulfilled the criteria for the

relevant award as outlined in Section 4.4. A thesis is a written document prepared by the student under the guidance of the supervisors. It can also encompass the student's peer-reviewed papers and other publications, models, designs, artistic compositions, business plans, audiovisual and/or multimedia materials, etc., depending on the discipline.

The final thesis is submitted normally through the medium of English as agreed between the postgraduate student and the Supervisor(s) (as previously discussed in Section 2.1.4). Theses and other materials submitted may be presented in another language (as dictated by the balance of the subject matter), provided that prior approval of the Supervisor(s) and the Institute's Postgraduate Research Advisory Board has been obtained one year before the anticipated submission date. This is to allow sufficient time for the selection and appointment of suitable Internal and External Examiners.

The thesis presented for examination must be the student's own work and must not have been previously submitted, either in whole or in part, for a separate award from this or any other Awarding Body. A declaration statement to this effect must be included at the start of the thesis (See Section 4.3.3). The declaration must be signed by the student and Supervisor(s).

If the work carried out is part of a collaborative project, the thesis should clearly show the student's specific contribution and the extent of collaboration involved.

The following regulations shall apply to the presentation and examination of theses for the Degrees of Master (Research) and Doctor of Philosophy.

4.1 Thesis Format

4.1.1 General Formatting

The thesis should be in typescript or print (12-point type) on A4-size paper single sided, with pages numbered consecutively. The main text should be typed or printed in one and one half or double spacing; footnotes and quotations should be typed or printed (10-point type) in single spacing. On each page there should be a left-hand margin of at least 40mm and a right hand margin of at least 20mm. Each such page should also have a page number.

Photographs or diagrams, if any, should, where feasible, be incorporated digitally within the text. Where this is not appropriate or practicable they should be fixed firmly in place. They should be provided with reference numbers and legends.

Where the thesis consists of more than one volume, the pagination should indicate the relevant volume number as well as the page-number on each page.

Appendices should be named alphabetically, and each appendix paginated consecutively but separately from the main text and from each other.

Page numbers should be located centrally at the bottom of the page and about 20mm above the edge of the page.

4.1.2 Thesis Cover

The covers of the copies of the thesis initially submitted are soft. The copies of the

thesis finally submitted are hard-bound, with inscriptions on the cover and spine as specified below.

For a Master's thesis the hard-bound cover is required to be of dark (navy) blue colour. For Doctoral theses the hard-bound cover is required to be black. In all cases the cover should be of sufficient strength that it may stand upright unsupported on a shelf.

The front cover must be gold-embossed with the following inscription:

- Full title of the thesis (in 20 point type) together with any subtitles
- Name of the candidate
- Award for which the thesis is submitted
- Full name of the Institute
- Year of submission
- Volume number and the total number of volumes, if more than one.

The spine of the hard-bound cover thesis is also required to be gold-embossed, in a smaller type if necessary, with the following:

- Name of the candidate
- Award for which the thesis is submitted
- Year of submission
- Volume number, if more than one.

4.2 Thesis Layout

The elements of the thesis should be set out in the following order.

4.2.1 Title Page

The title page of each volume of the thesis should contain the following information:

- Full title of the thesis, with any subtitles, in 20 point type; if there is more than one volume, the total number of volumes and the number of the particular volume;
- Institute logo
- Full name of the author with, if desired, any qualifications or distinctions;
- Award for which the thesis is submitted in the following format “being a thesis presented for the award of Master of xx (by research) degree or “being a thesis presented for the award of Doctor of Philosophy”
- Names of the supervisors of the research, including titles and full qualifications;
- Name and address of the Institute, including the name of the sponsoring Department
- As the last line on the page, the statement "Submitted to the Higher Education and Training Awards Council (HETAC)"

- Month and year of submission of thesis to HETAC.

4.2.2 Declaration Statement

The following declaration with the appropriate signatures must be included:

Declaration

I hereby certify that the material, which I now submit for assessment on the programmes of study leading to the award of [a Master of xx (Research) or PhD], is entirely my own work and has not been taken from the work of others except to the extent that such work has been cited and acknowledged within the text of my own work. No portion of the work contained in this thesis has been submitted in support of an application for another degree or qualification to this or any other institution.

_____	_____
Signature of Candidate	Date

I hereby certify that all the unreferenced work described in this thesis and submitted for the award of [a Master of xx (Research) or PhD], is entirely the work of _____. No portion of the work contained in this thesis has been submitted in support of an application for another degree or qualification to this or any other institution.

_____	_____
Signature of Supervisors	Date

4.2.3 Acknowledgements

Personal acknowledgements and/or dedications may be included by the candidate directly after the declaration page. Where possible these should be kept to one page and be of a tone appropriate to a higher degree.

4.2.4 Abstract of Thesis

The thesis should include a single-page abstract not exceeding 300 words. The abstract should be printed or typed in single spacing and should indicate the author and title of the thesis in the form of a heading.

Each copy of the thesis submitted to HETAC should include a separate copy of the abstract (See Section 4.3).

4.2.5 Abbreviations List

At this stage a list of abbreviations and symbols used in the thesis should be provided, where necessary, together with their meanings, definitions and/or the terms they represent. The abbreviations or symbols should be listed alphabetically and each one

followed by its full term or definition as appropriate.

4.2.6 Table of Contents

There should be a table of contents which includes the number and title of each chapter of the thesis, numerically referenced chapter subsection headings, references and appendices with corresponding page numbers. Thesis page numbering should begin directly after the table of contents.

A table of illustrations, figures etc. may also be included where it is deemed appropriate.

4.2.7 Chapters in Sequence

The main headings for the chapters themselves and for the main sections of the chapters should be given in capital letters. Subsidiary headings, used for subsections of associated paragraphs, should use initial capital letters only.

4.2.8 References/Bibliography

References should be thorough and comprehensive. It is essential that a consistent single form or style of referencing is used throughout the thesis. It is recommended that the style of referencing used be consistent with any pre-determined Departmental format. The form used should accord with the norms and accepted standards for the discipline and should be agreed with the Supervisor(s). Within the text, every reference should enable the reader to identify the work cited and locate the specific passage referred to.

Footnotes and indented quotations, where included, may be single line spaced. The footnotes in each chapter should be numbered consecutively.

A list of the references should be included in a separate section located at the end of the main body of the text chapters and before any appendices. Any separate bibliography should be included after the specific references.

4.2.9 Appendices

Appendices may be included where necessary. An appendix consists of supporting material of considerable length, or of lists, documents, commentaries, tables or other evidence, which, if included in the main text, would interrupt the flow of the narrative. The style of appendices should be consistent with the style of the main text. Long appendices may be divided into sections, which should be entered in the table of contents under the main headings for those appendices.

Any appendices should be positioned after the references and bibliography.

4.2.10 List of Publications

The final element of the thesis is a list of the candidate's publications where they exist at the time of thesis preparation. They include peer-reviewed journal articles or others, relating to or arising from the research work reported in the thesis. The inclusion of the full published articles is optional.

4.2.11 Index

If considered necessary, an index is the final element in the thesis and is located at the end of the thesis document. It is an alphabetical listing of key words/phrases/concepts, together with a list of page numbers where those words appear in the thesis, given after each.

4.2.12 Unbound material

If material that constitutes part of the thesis can not be conveniently submitted in bound form, the unbound material and its packaging shall both be marked with the student's name, initials and award for which the work is submitted, in such a way that it can readily be linked with the thesis. Reference to any such unbound material shall be made in the thesis in a fashion in keeping with the international norms and standards of the discipline, together with appropriate instructions for its use.

4.2.13 Presentation of Performed/Exhibited Element(s)

The form in which the practitioner element is to be presented is proposed by the supervisors and sponsoring Head of Department, who must notify the Registrar of any special arrangements to be made by the candidate in relation to presentation.

Where performance or exhibition, whether on the part of the candidate or of another person or persons, comprise the practitioner element, it is the Registrar's responsibility to arrange appropriate and convenient access by the external examiner(s) to any necessary performance(s) or exhibition(s) and to such facilities as are required for full and proper assessment.

Requirements for submissions, of which performance, practice or exhibition forms a significant part for the purposes of postgraduate research awards, are as follows:

- a) the work must have been undertaken as part of a registered postgraduate research programme;
- b) the final submission must be accompanied by a permanent record of the creative work(s);
- c) the creative work(s) must be set in its relevant theoretical, historical, critical or visual context;
- d) there must be a written dissertation;
- e) the work will constitute an independent and original contribution to knowledge;
- f) the submission will demonstrate an understanding of appropriate methodology;
- g) there will be a viva voce examination.

4.2.14 Copyright & Intellectual Property Rights

Issues of copyright in the thesis and patent rights arising from any product or process developed during the course of or as a result of the project, are matters for agreement between student and the Institute. They are normally finalized and agreed on project commencement. Any further discussion at the write up stage will not be entertained. It is incumbent on the Institute, through the Development & External

Services Office, on the advice of the Supervisor(s), the Head of School and/or the Director, to make adequate provision in relation to these matters.

Any intellectual property generated by student and/or Supervisor(s) in the course of the work leading to a research degree award and/or activities directly or indirectly related to your discipline and/or research work, is the property of the Institute, as set out in the Institute's policy on Intellectual Property available from the Development & External Services Office.

4.2.15 Publication of Material from Thesis

Publication of material arising from the research work in reputable journals, at conferences and elsewhere, is a key aim of postgraduate research. Students are encouraged to publish material, with the approval of the Supervisor(s) only, even in advance of the submission of the thesis. To do otherwise is deemed a breach of the Institute's Code of Conduct and lead to disciplinary action. Reference should be made to any such publication in the thesis. Such publications can give the student and supervisors strong peer review feedback on the research work, and may form part of the thesis itself. The Institute and the Supervisor(s) must be acknowledged in all such publications.

4.2.16 Access to Postgraduate Research & Thesis

All copies of the thesis and all accompanying materials finally submitted become the property of the Institute. One copy is normally lodged with the Registrar (for the Institute library). If sufficient reason exists by way of commercial or other sensitivity of information contained within the thesis, the Supervisor or the Head of School may request that restricted access only be allowed to the thesis material. In such cases the thesis is held in the School and does not go to the library. The Supervisor or Head of School will inform the Institute library directly of this and HETAC through the Registrar.

The awarding body, HETAC, also retains a copy of the thesis for record purposes, and will not normally make this copy available without receipt of written permission from the Institute which the thesis was written and/or the research undertaken.

4.3 Submission of Thesis

4.3.1 Notice of Intention to Submit a Thesis

All students must give their Supervisors three months notice of their intention to submit their thesis. The student can only give such notice following approval from their supervisors indicating that the work is at a stage suitable for submission.

The Principal Supervisor should have proposed Internal and External examiners for the candidate by this stage and must seek the approval of the Head of Department before completing the appropriate HETAC Form [*Notification of intention to submit a thesis for examination*]. When approving the composition of Examiners the Head of Department should ensure the Examiners satisfy the criteria in Section 4.4 below.

Members of the candidate's supervisory team should take no active part in the examination process, unless specifically requested to do so by the examiners. Supervisors may attend the *viva voce* as observers, providing both the candidate and the examining committee are agreeable.

The Principal Supervisor should then submit the *Intention to Submit Form* to the Registrar which includes details of the proposed Examiners. They must indicate to the Registrar that the student is eligible to submit their thesis. The Registrar should submit the completed *HETAC Intention to Submit Form* to HETAC.

HETAC reserve the right to nominate the Chairperson of the examination process, however, the Institute Registrar can make a recommendation as to the chairperson of examiners for consideration by HETAC along with the Intention to Submit Form. The HETAC outcome is communicated to the Principal Supervisor by the Registrar.

Where HETAC approve the proposed examiners, the Registrar notifies the Principal Supervisor, who then informally contacts the examiners indicating an expected date for submission of the student's thesis.

Where HETAC fail to approve one or both Examiners, then new Examiners must be proposed by the Supervisors as outlined above.

The Registrar notifies the HETAC appointed Chairperson of Examiners of the impending submission of the candidate's thesis, along with details of the candidate's Internal and External examiners.

4.3.2 Submission Process

In order to submit a thesis for examination the candidate must be fully registered (appropriate fees paid in full) on the appropriate postgraduate register of the Institute.

Initially, the candidate should present the thesis in soft binding to facilitate any subsequent revisions that may be required.

For the initial submission, the candidate must prepare one copy of the thesis for distribution by the Registrar to the Internal Examiner who may make recommendations of changes needed before the thesis can be formally submitted for assessment. Following completion of those recommendations to the Internal Examiners satisfaction two copies of the thesis are submitted through the Registrar to HETAC for distribution to the Chairperson of Examiners and the External Examiner.

On receipt of feedback in respect of the initial, bound submission and the completion of required amendments, if any, and/or viva (as outlined in Section 4.3) the candidate must make a minimum of four hard bound copies of the thesis (see Section 4.1.2 for details). They should submit one copy to the Supervisor(s), one to the sponsoring Head of Department, and two to the Registrar for submission to the Institute library and to HETAC. Each copy of the thesis must be typed and hard-bound in a fixed binding so that leaves cannot be removed or replaced at this point. HETAC request a separate copy of the abstract to be submitted with their hard bound copy of the thesis.

In the case of a thesis, which is accompanied by an exhibit or artifact produced or developed by the candidate, which forms a significant part of the submission, it is the Institute's responsibility, through the Registrar, to arrange appropriate and convenient

access to the exhibit or artifact for the purpose of assessment by the examiners. The artifact should remain with the Institute (either with the Supervisors or in the library) following completion of the examination process.

The thesis should normally be submitted for examination at least two months in advance of the Institute's Examination Board Meetings. Information on the dates of these meetings is published by the Registrar's Office at the end of the old academic year, normally by June 20th.

4.4 Examination Procedures

The candidate's research must be examined by two Examiners: an External Examiner, and an Internal Examiner who is not the candidate's Supervisor(s). The arrangements for the candidate's examination shall be made by the Institute's Registrar in consultation with HETAC.

The examination must be conducted rigorously, fairly and reliably and should only be undertaken by those individuals with relevant qualifications and experience and with a clear understanding of the task. Hence, all examiners must meet the criteria for appointment outlined in Section 4.4.4 and 4.4.5 below.

For all candidates for presenting for the award of Masters Degree the examiners are required to assess the candidate using the thesis as evidence and satisfy themselves that the candidate has attained the standard.¹⁸ To recommend the award the examiners must be convinced that the candidate has attained the standard for the award (see Section 4.4.1). The examiners may request a *viva voce*.

For all candidates presenting for PhD awards the examiners are required to assess the candidate by thesis and *viva voce* and satisfy themselves that the candidate has attained the standard¹⁶ for the award (see Section 4.4.2).

The candidate and Supervisor(s) must note that under no circumstances can they attempt to contact the Examiners during the period of the examination.

4.4.1 Standard to be attained by Master's Degree Candidates

The award of Master's Degree by research is made at level 9 in the National Framework of Qualifications.¹⁹ The overall standard at level 9 of the framework is established in the following quotation "Learning outcomes at this level relate to the demonstration of knowledge and understanding which is the forefront of a field of learning. The outcomes relate to the application of knowledge, understanding and problem solving abilities in new or unfamiliar contexts related to a field of study. The

¹⁸ These standards are generic and not discipline specific. Where HETAC/NQAI discipline specific standards become available they will be added to the Institute's research Regulations as the necessary standards to be achieved within the discipline area.

¹⁹ The following National Qualifications Authority of Ireland Documentation - National Framework of Qualifications - An Overview & Determinations for the Outline National Framework of Qualifications.

outcomes are associated with an ability to integrate knowledge, handle complexity and formulate judgments.

Examiners should assess and may recommend the award of Degree of Master (Research) in accordance with the following general criteria:

Knowledge-breadth		A systematic understanding of knowledge at, or informed by, the forefront of a field of learning
Knowledge-kind		A critical awareness of current problems and/or new insights, generally informed by the forefront of a field of learning
Know-how and skill-range		Demonstrate a range of standard and specialised research or equivalent tools and techniques
Know-how and skill - selectivity		Select from complex and advanced skills across a field of learning; develop new skills to a high level, including novel and emerging techniques
Competence-context		Act in a wide and often unpredictable variety of professional levels and ill defined contexts
Competence- role		Take significant responsibility for the work of individuals and groups; lead and initiate activity
Competence-learning to learn		Learn to self-evaluate and take responsibility for continuing academic/professional development
Competence-insight		Scrutinise and reflect on social norms and relationships and act to change them
Progression Transfer	&	Progression to programmes leading to Doctoral Degree (Award-type O), or to another Masters Degree or to a Post-graduate Diploma (Award-types M or N).

4.4.2 Standard to be attained by Doctoral Degree Candidates

The award of Doctor of Philosophy is made at level 10 in the National Framework of Qualifications.¹⁷ The overall standard at level 10 of the framework is established in the following quotation “Learning outcomes at this level relate to the discovery and development of new knowledge and skills and delivering findings at the frontiers of knowledge and application. Further outcomes at this level relate to specialist skills and transferable skills required for managing such as the abilities to critique and develop organisational structures and initiate change.”

Examiners should assess and may recommend the award of Degree of Doctor of Philosophy in accordance with the following general criteria:

Knowledge-breadth Knowledge-kind	A systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of a field of learning The creation and interpretation of new knowledge, through original research, or other advanced scholarship, of a quality to satisfy review by peers
Know-how and skill-range	Demonstrate a significant range of the principal skills, techniques, tools, practices and/or materials which are associated with a field of learning; develop new skills, techniques, tools, practices and/or materials
Know-how and skill-selectivity Competence-context	Respond to abstract problems that expand and redefine existing procedural knowledge Exercise personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent contexts
Competence-role Competence-learning to learn Competence-insight	Communicate results of research and innovation to peers; engage in critical dialogue; lead and originate complex social processes Learn to critique the broader implications of applying knowledge to particular contexts Scrutinise and reflect on social norms and relationships and lead action to change them

4.4.3 Duties of Research Degree Examiners

The duties of Examiners for research degree candidates are as follows:

- To review the thesis or published papers submitted together with performance recordings where appropriate. Examiners should feel free to prepare independent preliminary observations on the submission if they so wish.
- To attend the viva voce examination for all Doctoral candidates and where deemed necessary for Master's candidates.
- To attend any other assessment event where the Chairperson of Examiners deems necessary.
- To judge with fellow examiner(s) whether the thesis or published papers contain sufficient evidence of systematic study and, for a Doctorate degree, makes an original contribution to the candidate's subject shown either by the discovery of new facts or by the exercise of independent critical power, and for a Master's degree, is either a record of original work or a critical exposition of existing knowledge. In this way to judge whether the required academic standards have been achieved (see statement of standards in Section 4.4.1. and 4.4.2).
- To make a recommendation in agreement with fellow Examiner(s) in relation to the outcome of the examination.

4.4.4 Criteria for the Appointment of External Examiners

The external examiner, nominated in accordance with the procedures outlined previously in Section 4.3.1, will be substantially independent of the Institute and of

the co-operating off-campus organisation, if any, and shall not have acted as the candidate's internal or off-campus supervisor.

The external examiner must be:

- a) An Academic or recognised expert from outside Academia.
- b) Currently active in research.
- c) Have recognised expertise in the general area of the thesis or cognate area.
- d) Have a qualification at least to the level of the award being sought by the postgraduate student or higher.
- e) Have experience of successfully supervising postgraduate students to awards of the level of the award being sought, or higher
- f) Have experience as a postgraduate research examiner, at the appropriate level, for a recognised university or institution.

Through a process of informal contact, the Supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as their availability within an approximate six-week period after the intended submission date of the thesis.

4.4.5 Criteria for the Appointment of Internal Examiners

A member of the lecturing staff of the Institute, independent of the research project and unrelated to the supervisor(s) or the postgraduate student, is nominated in accordance with the procedures outlined in Section 4.2.1. The internal examiner must not be the candidate's supervisor.

The internal examiner must be:

- a) Academic member of the staff of the Institute
- b) Have knowledge and research experience in the general discipline of the thesis
- c) Have a degree at the level of the award being sought by the postgraduate student or higher.

It is desirable that the internal examiner has supervised research students successfully at least to the level of the award being sought by the candidate. Where this is not the case the Head of Department should either act in this capacity or nominate a suitable Academic to do so. Where this cannot be facilitated internally within a Department, an external Academic may be nominated to act in this role.

The supervisor(s) should ascertain the willingness of the nominee to act in this capacity, as well as their availability within an approximate six-week period after the intended submission date of the thesis.

Where the candidate and internal Supervisor are both members of staff of the Institute, an Internal Examiner will not be appointed from within the institution. Instead, a further Examiner must be appointed from outside the Institute to fulfill the duties normally assigned to the Internal Examiner.

4.4.6 Examination of Thesis & Candidate

The work leading to a postgraduate research degree will be referred by the Institute's

Registrar (not by the candidate or the Supervisor(s)) to the examiners, who will also provide the examiners with a copy of the examination procedures and criteria for the proposed award.

HETAC must be invited to nominate a chairperson of examiners at the request of the Institute's Registrar at the time of notice of the intention to submit the thesis (see Section 4.3.1). The chairperson's role is to:

- communicate with the examiners to achieve consensus among them
- ensure the implementation of procedures which are fair and consistent for the purpose of compliance with standards determined by HETAC
- report on the outcome of the examination through the Institute's Registrar to HETAC.

Each examiner is required to assess the candidate against the National Qualifications Framework standard¹⁷ for the appropriate award using the thesis and/or viva voce as evidence of attainment of the required standard.

Examiners are normally expected to carry out their duties within six weeks of referral to them of the work in question.

The examiners may, if they consider it necessary, conduct a viva voce examination (in accordance with the procedures outlined below) of the candidate on the programme of work and on the field of study concerned.

A viva voce examination is a mandatory requirement for the assessment of the Degree of Doctor of Philosophy examination.

Degree of Master (Research)

Examiners should assess and may recommend the award of Degree of Master (Research) in accordance with the level 9 criteria outlined previously in Section 4.3.1.

Degree of Doctor of Philosophy

Examiners should assess and may recommend the award of Doctor of Philosophy in accordance with the level 10 criteria outlined previously in Section 4.3.2.

4.4.7 Viva Voce Examination

A viva voce examination is a mandatory requirement for the award of PhD. The requirement for such an examination at Master's Degree (Research) level is normally at the discretion of the examiners.

The viva voce examination will normally take place as soon as possible, or within three months of submission of the work presented. It will normally be conducted in English except by agreement with the Supervisor(s), the Registrar and the Examiners.

The examiner(s) for the viva voce examination should consist of the Internal and External Examiners. It should be chaired by the appointed Chairperson of Examiners. The Supervisor(s) will normally be in attendance but cannot take part in the examination of the candidate's work.

The purpose of a viva voce examination is to assess the work submitted by the candidate. It gives the candidate the opportunity to present and defend the work

through high-level debate with experts in the subject. It enables the examiners to confirm that the candidate has a thorough understanding of the practical and theoretical aspects and methods involved in the work.

Conduct of Viva Voce Examination

The Chairperson's primary duty is to ensure that the examiners and the candidate have adequate time for discussion of issues arising from the work submitted.

As a matter of practicality, the chairperson should assume responsibility for the organisation of the examination on the day. However, where the appointed Chairperson is not a member of the Institute, this should be carried out by the relevant Head of Department or their nominee. This includes determining whether the candidate has any special requirements for the examination such as booking a neutral room (not the supervisor's, Chairperson's, or candidate's office).

Before the examination itself, the chairperson should ensure that the external and the internal examiners have had the opportunity to confer. The chairperson should agree the approach and broad lines of questioning with the examiners, allowing the external examiner(s) the major say in the framing of these. It is particularly important the examiners identify areas of particular interest in advance, in order to ensure that these are adequately explored in the dialogue with candidate.

The Chairperson should introduce the examiners to the candidate, briefly explain the purpose of the examination and the procedures to be followed, and advise the candidate to deal with questions as fully as he/she thinks necessary. The chairperson's overall aim should be to ensure a fair and constructive dialogue between the examiners and the candidate.

4.4.8 Examiners Reports

Following examination of the work, the Examiners should return the copy of the submitted work together with a report on their assessment and observations, under the three learning outcomes appropriate research degree programme, to the Chairperson of Examiners and make one of the following recommendations:

- Recommended;
- Recommended with minor revisions;
- Not recommended but referred for major revision and re-examination; and
- Not recommended.

The Chairperson is required prepare a summary report (on the *HETAC Examiners Report Form*). The report should include a brief outline of how the learning outcomes were achieved by the candidate, the names of each of the examiners along with an outline of the assessment (the reports of the Examiners may be attached) and a report of the consensus recommendation and the agreed recommendation.

Recommendations should be presented by the Chairperson of Examiners to the Institute Registrar. The report is sent to HETAC as soon as possible after the assessment by the Registrar. Where the candidate has been recommended for award HETAC then issues a broadsheet for the examination.

The option to refer the thesis for revisions is only available the first time the thesis is examined.²⁰

4.4.9 Examination Board Meeting

An Examination Board meeting should then take place within the School in accordance with Institute procedures to record the result for the Institute. The award recommendation is included in the annual research examination reports submitted by the School to Academic Council.

Degree of Master (Research)

The Degree of Master (Research) is of honours standard and is awarded without classification. In the case of successful candidates, the Broadsheet of Results should be annotated "Recommended" and signed by the examiner(s) concerned.

Doctor of Philosophy

The Degree of Doctor of Philosophy is awarded without classification. In the case of successful candidates, the Broadsheet of Results should be annotated "Recommended" and signed by the examiner(s) concerned.

The outcome of the examination along with details of the graduation ceremony is notified to the candidate in writing directly by the Registrar's Office.

4.4.10 Disagreement Amongst Examiners

Where there is disagreement amongst the examiners, the Chairperson is expected to clarify and, where possible, reconcile those differences. In the exceptional case of irreconcilable disagreement, each examiner shall submit a separate report to the Chairperson, who will then refer the case to the Institute Registrar, and also HETAC for consideration. Thereafter HETAC has the power to recommend to the appointment of a further external examiner or examiners.

4.4.11 Appeals Against the Outcome of Examination

A candidate may appeal their examination result to the Registrar. The written appeal request must specify the grounds on which the review is sought and must contain all the information which the candidate requires to have taken into account in the review. The grounds for review of an examination result are as follows:

²⁰ Not recommended = a first attempt, then only one attempt is left. If the thesis is not recommended then, the candidate fails the examination.

- a) The examination regulations have not been properly implemented.
- b) The regulations do not adequately cover the candidate's case.
- c) Compassionate or medical circumstances (made known to appropriate Head of Department or to the Registrar) related to the candidates examination situation of which the Examiners were unaware, prior to or during the examination process.
- d) Significant performance related information which the appellant believes was not considered by the Examiners.

Such an appeal can be made in relation to the examination process only. Any complaint about other matters such as inadequate supervision must have been raised during the research and long before submission of the thesis.

Appeal requests must be received by the Registrar not later than ten working days after the candidate received notification of the examination result and will first consider whether there is a prima facie case for a review of the examination result.

If it is considered that the request is clearly frivolous, vexatious or outside the permitted grounds, the Registrar will discuss the request with the Director. If it is agreed that there is no prima facie case, the recommendation will be submitted to the Institute Postgraduate Research Advisory Board for a decision. The Board may support the recommendation or require further investigation or action on the review, including seeking advice from HETAC on the matter. There shall be no appeal from the decision of the Board or HETAC.

If it is considered that there is a prima facie case for a review the Registrar will gather such evidence as is considered appropriate and likely to assist a panel in reviewing the case. This may include seeking written or oral testimony from the examiners, from other persons present at the oral examination, from supervisors or other members of the academic staff, or further evidence or statements by way of elucidation from the candidate.

The request for a review shall be considered by a review panel, constituted by the Registrar in accordance with standard Institute procedures. It must include persons who have experience of supervising and examining research degrees and who have had no previous involvement in the case. No student or research degree candidate shall be a member of the research degree review panel. A review panel shall not be constituted as an examination board.

If the review panel decides that a candidate has valid grounds for a review, it shall recommend that the Registrar request HETAC to either:

- a) invite the examiners to reconsider their decision; or
- b) appoint new examiners.

There shall be no appeal from the decision of the review panel and HETAC.

4.4.12 Plagiarism and Academic Fraud

Plagiarism is defined for candidates as the passing off of someone else's work. Information on how to avoid plagiarism is provided in Appendix M.

Any action on the part of a candidate which involves plagiarism (defined as the unacknowledged use of another's work as if it were one's own exemplified by copying from a source without acknowledgement of its origin) or other form of academic dishonesty, in work which may be assessed as part of the requirements for an academic award, will be regarded as a serious offence.

Where a substantive case of academic dishonesty or plagiarism is detected by an Examiner, a written report of these allegations shall first be made to the Chairperson of Examiners to deal with the issue at a special *Board of Examiners* meeting. The Board will make one of the following recommendations in writing to the Registrar:

- a) The examiner is satisfied that the matter should be noted but requires no further action by the Board because it involves no more than a single lapse or a very few minor lapses which have been taken into account in the examiner's assessment of the work.
- b) The nature of the academic dishonesty is such that it is appropriate to investigate the matter further as per Institute procedures outlined in Appendix N [Disciplinary Board Proceedings for Students Allegedly Breaching Examination Regulations].

The outcome of the investigation in this regard will be communicated to the candidate by the Registrar, who will also notify the Board's decision to the Principal Supervisor and sponsoring Department and School.

Appeals will be dealt with in accordance with the procedures outlined in Appendix N.

The decision of any Academic Disciplinary Board hearing will be communicated to HETAC by the Registrar.

2.0 CODES OF CONDUCT FOR RESEARCHERS

PART 1 Code of Good Practice in Research

This Code has been developed by the Ethics Sub-Committee of Academic Council and forms the basis of the Institute's Ethics Policy for all its research activities, including postgraduate research degree programmes. It draws on a variety of resources as referenced in the footnote.²¹

Standards of Professional Behaviour in Research

- 1.1 All researchers within the Institute (including all students of the Institute) have a duty to society, to their profession, to the Institute and to those funding their research, to conduct their research in a conscientious and responsible manner. The Nolan Committee on Standards in Public Life in the U.K.²¹ identified seven principles which have relevance to best practice in the conduct of research: selflessness, integrity, objectivity, accountability, openness, honesty and leadership. These standards also form the basis of the Wellcome Trust Guidelines on Good Research Practice, January 2002.

Together, these principles provide a foundation for the personal integrity that should be reflected in the professional conduct of research by every individual who contributes to research at the Institute. Institute staff members in leadership or supervisory positions have an obligation to foster personal integrity in the conduct of any individual carrying out research for the Institute under their direction. They are also responsible for the ethical basis of the research and its funding, and for the safety of all involved in the research process. Many professional associations have ethical codes and guidelines for the conduct of research and all individuals carrying out research for the Institute are also expected to comply with such standards when collaborating with such associations for research purposes or as members of such associations.

- 1.2 Research misconduct is least likely to arise in an environment where good open research practice (e.g. documentation of results, peer review of research, regular discussion and seminars) is encouraged and where there is adequate supervision at all relevant levels. It is a responsibility of Heads of School and Department to convey clearly to research group leaders or principal

²¹ Taken from

- <http://pubs1.tso.parliament.uk/pa/cm199697/cmselect/cmstand/688/code1.htm>,
- <http://www.public-standards.gov.uk/>
- <http://www.archive.official-documents.co.uk/document/parlment/nolan/nolan.htm>
- http://www.wellcome.ac.uk/doc_WTD002753.html: Wellcome Trust Guidelines on Good Research Practice January 2002

investigators/supervisors in their area the standards, protocols and ethics for research in their departments and relevant areas, and to ensure that adherence to those standards is a matter of course. Principal investigators/supervisors and research group leaders must in turn convey clearly to all researchers under their care the standards and protocols for research in their relevant areas, and to ensure that adherence to those standards is a matter of course.

- 1.3 All individuals (including students) carrying out research for the Institute should be made familiar with, and be expected to comply with, the Institute's Code of Good Practice in Research. The Heads of Department or Function should also bring to the attention of any individual carrying out research for the relevant Department or Function any specific standards and ethics which may be applicable in that Department or Function.

Every individual carrying out research for the Institute is expected to follow these principles. The following are of particular relevance to research:

Honesty

- A. At the heart of all research endeavour, regardless of discipline or institution, is the need for researchers to be honest transparent, and amenable to reasonable enquiries in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research, including experimental design, generating and analysing data, publishing results, and acknowledging the direct and indirect contributions of colleagues, collaborators and others.
- B. All individuals in the Institute's employment must refrain from plagiarism, piracy or the fabrication of results and committing any of these actions is regarded as a serious disciplinary offence.

Openness

- A. While recognising the need for researchers to protect their own research interests in the process of planning their research and obtaining their results, the Institute encourages researchers to be as open as possible in discussing their work with other researchers and with the public. Once results have been published, where appropriate, the Institute expects researchers to make available relevant data and materials to others, on request.
- B. In addition, where available and relevant to the research or individual researcher in question, the Institute expects researchers to observe the standards of practice set out in guidelines published by funding bodies, scientific societies and other relevant professional bodies.

Leadership and Co-operation in Research Groups

- A. The culture and tone of procedures within any organisation must be facilitated and resourced by individuals in authority. Within the Institute, it is the responsibility of the Director, Heads of School, Heads of Departments and Senior Staff to ensure that a climate is created which allows research to be conducted in accordance with good research practice.
- B. Within a research group, responsibility lies with the group leader. Group Leaders 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 and research students is provided.
- C. Good research practice should be encouraged and there must be adequate supervision at all relevant levels (e.g. documentation of results, peer review of research, regular discussion and seminars).
- D. It is the responsibility of Heads of School and Heads of Department to convey clearly to principal investigators or research group leaders the standards and protocols for research in their departments and relevant areas, and to ensure that adherence to those standards is a matter of course.
- E. Principal investigators and research group leaders must in turn convey clearly to all researchers under their care the standards and protocols for research in their relevant areas, and to ensure that adherence to those standards is a matter of course.

Documenting Results and Storing Primary Data

- A. Throughout their work, researchers are required 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 research or the results obtained.
- B. For similar reasons, data generated in the course of research must be kept securely in paper or electronic form, as appropriate. The Institute expects such data to be securely held for a period of ten years after the completion of a research project, as required by several Research Councils. The storage of such Data must also be kept in accordance with the Institute's Data Retention policy available from the Information Officer.

Publishing Results

- A. It is usually a condition of research funding that the results are published in an appropriate form, usually papers in refereed journals. 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.

- B. The issue of authorship is important in the context of good research practice. The Institute 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.

Acknowledging the Role of Collaborators and Other Participants

In all aspects 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. Conversely, collaborators and other contributors must carry their share of the responsibility for the research and its outcome.

The Needs of New Researchers

Researchers who are new to the Institute's research community may face particular difficulties in compliance with good research practice. Responsibility for ensuring that students and other new researchers understand good research practice lies with all members of the Institute, but particularly with Heads of Department and Research Group Leaders.

Integrity in Submitting Research Proposals

Principal Investigators/Supervisors should take all reasonable measures to ensure the accuracy and completeness of information which is contained in applications for funding and in managing research projects, to ensure compliance with all sponsor, institutional, legal, ethical and moral obligations.

Integrity in Managing Research Projects

Principal Investigators/Supervisors should take all reasonable measures to ensure compliance with sponsor, institutional, legal, ethical and moral obligations in managing projects.

Conflict of Interest

It is the responsibility of all individuals who carry out research for the Institute to

identify and declare to the Institute any conflicts of interest, whether legal, ethical, moral, financial, personal or other nature, so that it does not become a complicating or actionable issue.

Ethical Practice

A. Research Involving Human Participants and Biological Samples.

Ethical approval is required prior to conducting research involving human participants and using biological samples from the Institute Research Ethics Committee. In addition approval is also required from collaborating Hospital Research Ethics Committees and from other regulatory bodies as relevant, and as required by individual research sponsors (e.g. Health Research Board). Researchers should also ensure the informed consent and confidentiality of personal information relating to the participants in research and that the research fulfils any legal requirements such as those of the Data Protection Act and the Freedom of Information Act.

B. Research Involving Animals

Ethical approval is required prior to conducting research involving animals from the Institute Research Ethics Committee and the research must comply with all statutory licensing requirements. Researchers should consider, at an early stage in the design of any research involving animals, the opportunities for reduction, replacement and refinement of animal involvement.

C. Research Involving Genetically Modified Organisms (GMO's)

Ethical approval is required from the Institute Research Ethics Committee and the research must comply with all statutory licensing requirements with regard to the generation of GMO's, their modification, their containment, and their release to the environment.

Research Misconduct

The Institute takes seriously any allegation of research misconduct and has written procedures for investigating and resolving such allegations, as outlined in Part 2 of this Code of Practice below. Any member of the Institute who believes that an act of research misconduct has occurred or is occurring should notify the relevant Head of Department. If, for any reason, this is not possible or appropriate, the individual should contact the relevant Head of School or the Registrar.

PART 2 Procedures for the Examination and Resolution of Allegations of Research Misconduct

Definition of Misconduct in Research²²

All individuals carrying out research for the Institute are expected to observe high standards of professional behaviour both in the practice and in the publication of research.

Any practice or conduct by an individual that deviates significantly and unacceptably from the professional academic standards applicable to the relevant Department or Function for proposing, conducting and publishing research constitutes research misconduct. Violation of Institute policy is likely to render any individual researcher liable to the Institute's disciplinary procedures.

Research misconduct includes, but is not limited to:

- (i) falsification or fabrication of data, including intentionally misleading or deliberately false reporting of research information;
- ii) unacknowledged appropriation of the work of others, including plagiarism, the abuse of confidentiality with respect to unpublished materials, or misappropriation of results, physical materials or other resources;
- (iii) conduct which seriously deviates from accepted ethical standards in research;
- (iv) falsification of credentials.

The setting of standards of professional behaviour in research is not intended to compromise the freedom, within the law, of Academic Staff to question and test received wisdom and to put forward new ideas and controversial or unpopular opinions.

The procedures below apply to all individuals carrying out research in the Institute including, without limitation,

- all Institute employees, irrespective of whether their current place of work is within or outside Institute premises
- all visiting researchers to the Institute irrespective of whether they are employed by the Institute, including persons with honorary positions, conducting research within, or on behalf of, the Institute,
- all postgraduate students of the Institute; and,
- all visiting postgraduate students.

After investigation into alleged misconduct by any individual who is not an employee of the Institute, the Director or representative or duly convened investigating group will determine the nature of any further action to be taken in relation to the misconduct.

²² Note: research misconduct in relation to the examination process is dealt with in the Research Regulations following the procedures outlined in Appendix N.

Any disciplinary proceedings against a registered postgraduate student or researcher in respect of alleged research misconduct shall be dealt with in accordance with the provisions of the Institute Code. However, the application of this research misconduct procedure through the Institute's Disciplinary Procedures for academic and other staff shall take precedence over the Code where an individual is both a student and an employee of the Institute.

It is intended that any action carried out in terms of this procedure will be sufficient to comply with the preliminary and investigation stages required by the Institute's Disciplinary Procedures for academic and other staff.

Procedures

The Institute is committed to ensuring that all allegations of research misconduct are examined thoroughly, fairly and expeditiously.

Initial Allegation of Research Misconduct

Any member of the Institute (employee, student, or visiting researcher) or external examiner of student work who believes that an act of research misconduct has occurred or is occurring should, in the first instance, attempt to address the issue informally with either the individual concerned or the appropriate Head of Department or Function. In the event that the person who believes research misconduct is or has occurred is not satisfied with the outcome of any such informal approach or if such an approach is believed to be inappropriate, a formal complaint should be made in the first instance to the Head of the relevant Department or Function, who shall notify the Registrar and the Human Resource Manager (for academic staff) of the complaint as soon as is practicable.

If for any reason the complainant believes that it is inappropriate for the complaint to be made to the relevant Head of Department or Function, a formal complaint should be made directly to the Registrar. Where such a complaint is reported directly to the Registrar, the relevant Head of Department or Function and the Human Resources Manager (for an academic staff member) will usually be informed about the receipt of the complaint. However, all practicable steps will be taken to protect the anonymity of any individual reporting suspected misconduct until such time as it is decided that a formal investigation is warranted.

Any person or organisation external to the Institute wishing to report suspected research misconduct should contact the Registrar.

Every complaint of research misconduct will be taken seriously. In the event that such complaint is found to be both without basis and is deemed to be malicious, vexatious or frivolous, the Institute may consider disciplinary proceedings against the instigator of the complaint.

Preliminary Action to determine whether a formal examination is warranted

The Registrar shall, assisted by the Head of the relevant Department or Function where appropriate, identify any external funding sources for the research which is the subject of the complaint, and any external collaborators. The Registrar shall also ask the person making the allegation to submit in writing a detailed statement in support of the allegation indicating what informal steps, if any, have already been taken with a view to resolving the issue. The Registrar may also, at his or her discretion, choose to evaluate anonymous allegations, depending on the seriousness of the issues, the credibility, and the feasibility of confirming the allegation with credible sources. At this stage the individual concerned shall be notified in writing by the Registrar of the allegation and informed that it is to proceed under this procedure. At the same time, he or she should be given a copy of this Code which includes Procedures for Investigating and Resolving Allegations of Misconduct in Research.

The Registrar shall, normally within a maximum of 5 working days of the allegation being reported to him or her, appoint an Investigation Team consisting of 2 individuals who, in the opinion of the Registrar have no conflicts of interest in the case, are unbiased, and have expertise to evaluate the appropriate research issues.

Where feasible the Investigation Team shall consist of one staff member from the School (or, in the absence of a related School, the relevant administrative centre) in which the research activity in question has been conducted and one staff member from elsewhere within the Institute. The Investigation Team shall specifically limit its role to that of evaluating only the facts to determine whether there is sufficient evidence of research misconduct to proceed with a formal investigation. The Investigation Team shall keep proper records of their proceedings. The individual against whom the complaint has been made shall be notified by the Registrar of the members of the Investigation Team.

The initial investigation will normally involve the Investigation Team examining relevant research records and materials. The Investigation Team shall complete its initial investigation and submit its report in writing to the Registrar, normally within a maximum of 5 working days from the date the Team is appointed. The report shall state what evidence was reviewed and conclude whether the investigation should end or continue to further formal investigation.

Care must be taken to maintain the anonymity of the initiator of the complaint where possible at this stage.

The Registrar shall, normally within 2 working days of receipt of the report, notify the individual concerned and his or her Head of Department or Function in writing of the outcome of the initial investigation. The Registrar shall also inform the instigator of the complaint whether a formal investigation is to proceed and that this information is to remain confidential.

Formal Investigation

The purpose of the Formal Investigation is to examine and evaluate all relevant facts in relation to the allegation of research misconduct. In addition its purpose is to determine whether there are sufficient grounds for proceeding with the complaint in respect of a postgraduate student, under the General Student Discipline Policy & Procedures (Appendix O) or in respect of Institute employees, under the Institute Procedures for the Resolution of Grievances/Disputes which includes Disciplinary Procedures for Academic Staff (Appendix P). Where the alleged misconduct is in respect of research carried out for the Institute by an individual not employed by the Institute, the purpose of the Formal Investigation is to allow the Director to determine whether any further action should be taken.

The Head of Development following notification by the Registrar shall, only where necessary in terms of the funding conditions, notify any bodies which provide funding related to the research of the individual concerned of the ongoing investigation. The Registrar shall also notify any other body related to the research concerned in the event that the Institute is contractually obliged to notify that body about the ongoing investigation. At the initial stages of the investigation such bodies shall be informed that the allegations have not yet been fully investigated and that the Institute does not expect any funding body to suspend the grant or contract as adequate steps are being taken to proceed with the investigation.

In the case of alleged misconduct by any individual not employed by the Institute, the relevant individual's employer should only be informed that an investigation is taking place where the misconduct relates to the research that the individual concerned is carrying out for the Institute and the individual is carrying out that research by virtue of his or her employment with that other employer. The Institute shall also ensure that, by carrying out an investigation into the alleged misconduct, it complies with any contractual arrangements in place between the Institute and the employer of any individual carrying out research for the Institute.

However, it is essential to keep circulation of details of the allegations and investigation as limited as possible. Any such information must be disclosed subject only to an undertaking of confidentiality from the recipient.

An Investigation Panel, which may include the members of the existing investigation team, shall be appointed by the Human Resources Manager in conjunction with the Registrar, normally within a maximum of 2 days. The Registrar shall not serve on the Investigation Panel. The Panel shall keep written records of the proceedings and will be provided with secretarial assistance by the Institute if required. The Panel shall inform the individual concerned in writing of the confirmed membership of the Panel and of the scope of the intended investigation, and of their right to legal or appropriate representation, should they see fit.

The Panel shall:

- (a) Interview the individual concerned and any other parties it chooses, including the initiator of the complaint and other members of the research group;

- (b) Widen the scope of its investigation if it considers that necessary, subject to keeping the individual concerned informed, in writing, of the increased scope of the investigation;
- (c) Require the individual concerned - and if it judges it necessary, other members of the Institute - to produce files, notebooks and other records;
- (d) Seek evidence from other parties;
- (e) In the event of the defendant not cooperating with the investigation panel, the panel will be empowered to draw conclusions and make decisions about the allegations;
- (f) The panel will make decisions on the balance of probability;
- (g) It shall be the panel's position to prove the allegations and not the individual's duty to disprove them; the presumption of innocence applies.

The individual concerned shall be given a full opportunity to comment on all the evidence gathered by the Investigation Panel before the report is finalised. Where he or she is interviewed by the Panel he or she should be informed that he or she may be accompanied by a member of staff or a representative of a Trade Union, or a legal representative, or a representative of their choosing.

The Investigation Panel shall submit a report in writing, normally within a maximum of 20 working days of the confirmation of the members of the Investigation Panel, to the Director and the Registrar. The report shall generally describe the investigative process, indicating whether or not it finds there are sufficient grounds for proceeding with the complaint under the appropriate Disciplinary Procedures (Appendix O or P). The Panel shall make a recommendation to the Director about whether it has found that there are such grounds. In addition, the Panel may make recommendations on the future operation of these procedures.

The Director will determine the nature of any further action to be taken regarding investigated misconduct in relation to any research carried out for the Institute by any individual not employed by the Institute. This may include advising the employer of the individual concerned of the findings of the investigation. The Director may also consider the suspension or withdrawal of any honorary contract. Where no action is to be taken in relation to individuals not employed by the Institute, the Registrar shall take all appropriate steps to inform all parties previously notified of the alleged misconduct, of this outcome.

After the completion of the appropriate Disciplinary Procedures, the Director may, in addition to or instead of any sanction to be imposed under those procedures:

- (a) convey the outcome of the Disciplinary Proceedings to the professional body or bodies it deems appropriate (e.g. the Irish Medical Council), any relevant grant-awarding bodies or any other public body with any interest, the editors of any journals which have published articles by the person against whom the allegation has been upheld or any other

- body which, in the opinion of the Institute, is likely to be affected by the research misconduct in question. All such disclosure must be limited to misconduct upheld in relation to research relevant to such bodies or published by such journals;
- (b) recommend to HETAC and Governing Body, where misconduct has been established and the research concerned contributes to or contributed to a degree or other academic award of the Institute, the revoking or withholding of that award;

If the allegation has not been upheld after completion of the Disciplinary Procedures, the Registrar shall take all appropriate steps to inform all parties previously notified of the alleged misconduct, of the outcome of the Disciplinary Procedure. In the event that the Institute becomes aware that the allegations which have been investigated have become public, the Institute may consider taking reasonable steps to confirm the outcome of the Disciplinary Proceedings to the parties concerned.

The time scales set out in this procedure are not binding upon the Institute and can be extended where reasonably required. The individual under investigation will be notified in writing of any such extension and the reason for it. Where any of the Institute personnel named as having responsibilities under this procedure are absent or unavailable, the Director may appoint alternates.

APPENDIX A - Institute Prioritised Research Areas by Department/Discipline

Department	Prioritised Research Areas
Science	Smart Materials, Electrochemical Technology, Cellular Biotechnology, Bio-process Technology, Microbial Pathogenesis, Sensors, Pharmaceutical Research, Pharmaceutical Production, Grid Computing
Computing	Intelligent Tutoring Systems, Software for Mobile Devices, The Semantic Web, Biometrics, Federated Information Management, Computational Modelling, Healthcare Applications, Interactive Multimedia, and Virtual Reality.
Mechanical Engineering	Integrated Manufacturing Design and Production, Rapid Prototyping, Bio-engineering
Electronic Engineering	Communications technology with particular emphases on wireless channel modelling and simulation, protocol modelling and clock recovery, RF transmission of signals; Control Systems Engineering; Vision Systems; thin film fabrication technology, thin film characterisation, thin film applications in electronics, optical-electronic and acoustic devices, sensors and biosensors; Learning Systems Technology, incorporating engineering applications of web based technology
Humanities	Communications, Language & Society, Media & Society, English Literature Social Sciences, Education
Business	Economic Development, Innovation and Entrepreneurship, Finance, Organisational Development and Market Research

APPENDIX B - Summary Procedure for the Preparation & Submission of Research Applications

[From Institute of Technology Tallaght, SOP No. DR018]

DESCRIPTION OF PROCEDURE

- The prospective applicant (usually an Academic Researcher) discusses his/her intentions regarding a research funding opportunity with their Head of Department.
- A record of all funding opportunities under consideration will be maintained centrally by the Development & External Services Office. This record will be updated to acknowledge completion of each stage of the Research Project Management and Accounting process (i.e. to acknowledge return of pre-application approval documentation, record applications submitted etc.).
- Potential applicants should notify Development & External Services Office of any funding opportunities of which they have been directly notified, to ensure that the central record of all funding opportunities is complete and kept up to date.
- Approval of the Head of Department will be necessary before preparation and submission of the application can proceed.
- The proposed funding applicant completes form EX2001 available from the Development & External Services Office and submits it to the Head of Department.
- The Head of Department considers whether the project in question can be supported within his/her Department, with reference to such issues as lecturer commitments, technician support, bench space and utilisation and maintenance of equipment. Ethical risks associated with the proposed work are also considered, and ethics clearance may be recommended.
- Copies of form EX2001 are forwarded to the Industrial Liaison Manager, Finance Manager and Human Resources Manager (for Postdoctoral Fellows and Research Assistants only) for information and planning purposes.
- A file is created in Development & External Services Office for the research funding application, and a copy of form EX2001 is placed in this file.
- The applicant completes the funding application. The Development & External Services Office will advise and assist with the preparation of the funding application to the extent that resources permit.
- Where the proposal must be submitted for ethical clearance, the application should also be submitted to the Registrar at least twelve working days prior to the deadline for consideration by the Ethics Committee.
- The applicant submits the number of copies of the funding application required by the funding body, including the original for signing and stamping where required, and one additional file copy to the Development & External Services Office, at least two days prior to the application deadline. The Development & External Services Office submits the required number of copies of the application to the funding body in advance of the closing date.

APPENDIX C – Procedure for Ethics Clearance

Ethics clearance is required for proposed research that may involve potential risk to the researcher(s) and/or subject(s), raises ethical issues or involves pharmaceutical preparations and/or research on pregnant women, persons under the age of 18, persons with physical or mental disabilities, other vulnerable categories or members of ethnic or minority groups, or work involving animals, or samples/biopsies of human origin.

This involves the proposed Academic Researcher completing the ITT Dublin *Assessment of Ethics and/or Risk in Research Form* available from the Registrar's Office and submitting it to the Registrar. A copy of the proposed research application should also be submitted. This should be submitted at the time of proposal submission and again if a significant change in the direction or focus of the ongoing research project is intended.

The Registrar convenes a meeting of a panel of three experts to review the completed ethics form and project submission.²³

The Registrar notifies the outcome of the assessment to the Academic Researcher and relevant Head of Department.

No research work should commence before the proposal has been approved by the Research Ethics Committee.

Research funds will not be released and the registration of postgraduate research students will not normally be processed until the proposal has been approved by the Research Ethics Committee.

²³ The Institute has a panel of internal and external experts from which to call ad hoc committee together as required to review and approve proposals that require ethics clearance. The Committee will be chaired by the Registrar or nominee and will make its recommendation directly to the Registrar.

APPENDIX D - Guidelines on the Recruitment & Selection of a Candidate for a Research Studentship

Description of the Recruitment & Selection Procedure

The Principal Researcher submits a request to advertise a research studentship to the Development & External Services Office who co-ordinate the advertisement process.

The candidate submits a studentship application to the Development & External Services Office following the instructions that appear in the advertisement. The instructions normally request the applicant to submit a curriculum vitae and a covering letter by email, fax or post on or before a particular closing date.

The Development & External Services Office passes on all the applications to the Principal Researcher (the Principal Supervisor) who has secured the funding and holds a copy of each application in a central file.

The Principal Researcher engages in a selection process with the remainder of the supervisory team in consultation with the Development & External Services Manager.

The Principal Researcher arranges the interviews and notifies all applicants selected for interview in writing by email, fax or post. They are also responsible for contacting all unsuccessful applicants.

The Principal Researcher chairs the interviews and is responsible for keeping all records associated with this process.

The Principal Researcher notifies the outcome of the interview process to the relevant Head of Department, the Development & External Services Manager and also notifies the unsuccessful applicants.

All records associated with the recruitment & selection process should be given to the Development & External Services Office for filing as per Institute SOP No. DR020.

Filing of Studentship Candidate Documentation

DESCRIPTION OF PROCEDURE taken from SOP DR020

Where an application for research funding to an external agency is made, a copy of the application should be forwarded to the Development & External Services Office at the same time, for filing under Tentative Research Applications.

Once an application has been approved and funding awarded by an external agency, a file dedicated to that project is set up.

The File will be set up by Project Code and Supervisor Name. The Project Code is usually relevant to the year of commencement and the funding body or initiative. It is also how the Project is identified on our financial system.

All documents relating to the management of the project, including the application, letter of award, contracts, guidelines, reports, claims, recruitment, personnel issues, all correspondence and project closure should be maintained in this file.

Soft Copies, where available, of all documents, will also be stored on the External Services shared network drive.

The Files are kept in, and are not to be removed from, the External Services office,

during the lifetime of the project. Project files for closed projects may be moved to archive storage.

Guidelines on the Recruitment & Selection Process

Pre-Recruitment Consultation

Before the position is advertised, the relevant principal supervisor of the research position meets with either the Industrial Liaison Officer in the D&ESO to plan both the recruitment and selection procedure.

The following points shall be addressed, resolved and documented at this meeting:

- Description of the position
- Selection criteria to be applied for short listing candidates
- Selection techniques and processes
- Wording of the advertisement
- Proposed members of the interview / selection panel (gender balance to be achieved if possible)
- Procedure for checking of references.

Advertising of Positions

External advertising is mandatory for all research positions and is required by many research funding agencies. External advertisements for research degree project studentships are placed in selected national newspapers along with other publications.

Selection Panel

For each position the Principal Researcher/Supervisor will undertake the following tasks:

- Set the dates /times of interviews.
- Check the qualifications of the candidates meet the academic entry requirements for the post and for the proposed research degree programme as outlined in Section 2.1.
- An assessment of the candidate's qualifications following the procedure outlined in Section 2.1.3.
- Arrange and conduct the interviews.
- Supply the interview panel with all relevant documentation for each candidate, along with details of the selection process.

The members of the selection panel must include the proposed Principal Supervisor of the project, and another Academic representative, who may be a Co-Supervisor. A representative from the Development & External Services Office may also be included. Gender balance where possible should be adhered to.

Pre-Interview Discussion

Prior to attending interviews, members of the panel should familiarise themselves with all relevant documentation in relation to the competition. Each member should be supplied with copies of all CV's/Application forms etc.

The aim of the pre-interview discussion is to ensure that all members have a common understanding of the requirements of the post and that they act as a team.

A specification or profile of the graduate to be recruited for the project should be available - ideally drawn up by the project lead supervisor(s) describing the pre-requisite qualifications, skills, experience and character traits desired in the successful applicant.

Agreement must be reached on the actual criteria to be applied in the selection process, how the criteria are to be explored and by whom, and the relative weighting to be applied to each.

The interview

Each member should explore one area. The range of questions asked should be generally the same for all candidates, be unambiguous, and should include broad questions, followed by more probing questions to explore the depth of understanding and expertise of the candidate in each area. Care must be taken to ensure that questions cannot be construed as discriminatory on grounds of age, sex, religion, colour, politics, etc. The proceedings of the selection panel are regarded as confidential, but subject to the Freedom of Information Act. Panel members must refrain from discussing any aspect of the appointment with non-panel members.

Making a Recommendation

Once the interview process has been completed the selection panel must place the candidates in order of suitability for the post. It is the responsibility of the proposed Principal Researcher/Supervisor to provide the following information to the Development & External Services on completion of the interview process:

- A list of the applicants who were interviewed.
- Composition of selection panel
- Selection decision and rationale
- References for the selected candidate.

The recommendation must be signed by all panel members. The ITT Dublin - Research Candidate Selection Report form must be then completed and sent to relevant Head of Department and the Development & External Services Office.

Checking of References

The normal process for the filling of a research position is to ask the applicant to nominate two persons who would be willing to act as referees. At the end of the selection process the Principal Researcher/Supervisor should personally contact the nominated referees to seek additional information about the most highly rated candidate/s. Reference checks must be structured and probing. Similar questions should be asked of each referee and the answers noted. Questions should focus on the applicant's characteristics related to the selection criteria, job performance and work history. Discriminatory questions may not be asked. All referees should be provided with a summary of the project and assess the suitability of the candidate for the research programme they wish to apply for.

Appendix E – Guidelines for the Completion of the HETAC Registration Form.

Guidelines and Criteria

The criteria for registration of an application by an approved provider for registration of a research degree programme are set out in sections 3.3.4-3.3.6 of the HETAC policy document ‘*Taught and Research Programme Accreditation Policy, Criteria and Processes*’ which are available on the HETAC website (www.hetac.ie).

General Checklist

- The application should provide (where appropriate) details on the following themes. Providers may obtain a sample application template from HETAC should they require one.
 - The candidate’s experience
 - The research proposal
 - The supervisor (s) (Have CVs giving details on research experience been attached?)
 - Structured elements of the programme
 - Generic training
 - Specialist training
 - Seminars
 - External links
 - Access to external resources
 - Collaboration with other research groups
 - International conference participation
 - Relevant specialised facilities and funding
- Has documentary evidence of each of the learner’s qualifications been obtained by the institution? Has a NARIC equivalence advice been sought for each of the learner’s foreign qualifications?
- Has the application been approved by the internal institutional processes for research degree programmes?
- Is there evidence that the student will receive any training that may be required?

Research proposal

HETAC *recommends* that each application for registration *via* the case-by-case process be supported by an independent evaluation arranged by the provider of the feasibility of the proposed research programme. It may suffice if the academic feasibility of the intended research programme has been independently and expertly assessed as part of approval for funding.

- Is the overall objective, conjecture or hypothesis clear?
- Does the application provide evidence that the supervisor or supervisory team will be able to provide academic guidance, authority and leadership in the context of the proposed research?
- Is there evidence that new knowledge *may* emerge from the research?
- Is there evidence that the proposer is familiar with the relevant learned literature (and patents where appropriate)?
- Has the feasibility of completing the research in the timeframe been assessed? Are the necessary resources (information, laboratory, equipment, travel) in place? Is the research environment likely to be supportive for this particular proposal?
- Is it made clear how the research will be conducted? Has the research approach been clearly articulated?
- Is it evident that there is a clear plan for the student to get started on the work? Have specific questions been identified?
- Has the research proposal been submitted, if necessary, for approval by a competent ethics committee?
- Is there a schedule (more detailed for the first period and more an outline thereafter which will be updated annually perhaps radically during the project) which sets out clearly the review dates or 'milestones' that need to be assessed along the way - like a contract of sorts between the supervisor and the student?

Appendix F - Institute of Technology Research Degree Programme Appeals Procedure

A candidate who is dissatisfied with a decision made by the Registrar and the Postgraduate Research Advisory Board on his or her registration application may appeal against the decision. Such decisions may include:

- withdrawal of registration
- not to recommend an application for transfer from Masters to PhD register
- not to recommend an extension of registration beyond the time limit
- suspension of registration
- not to transfer to part-time status
- not to recommend a deferral
- not to recommend for examination.

A candidate who is dissatisfied with a decision made by the Supervisor(s) and Department may appeal against the decision to the Registrar.

The right of appeal may only be exercised within four weeks of the final response of the Department on the issue.

Such an appeal shall be made in writing within four weeks of the final response and shall be addressed to the Registrar. The appeal shall include reasons and any supporting evidence.

The Registrar who shall, at his or her discretion, determine the course of action to be taken may establish a panel of experts (who are not members of the Postgraduate Research Advisory Board) to consider the appeal. It may include the involvement, either alone or in conjunction with the panel, of an external expert; or the Postgraduate Policy sub-Committee of Academic Council (excluding the Supervisor(s) and members of the Postgraduate Research Advisory Board). The Chairman shall be from an Academic Senior Management position and will be appointed by the Registrar. The action taken by the Chairman in each case and its outcome shall be reported to the Postgraduate Research Advisory Board and/or Academic Council.

The decision of the panel shall be final. Records of appeal hearings against decisions concerning registration are kept in the Registrar's Office. The outcomes of these appeals are communicated to the appellant and interested parties (Supervisor(s), Head of Department, and Head of School) by the Chairman of the appeals panel.

Appendix G - Institute Procedures for the Management of Research Project Funds

G.1 Summary Procedure on General Financial Management of Research Projects [From SOP DR021]

An account is opened in the Aggresso Financial system for the project, with a budget allocation by the Development & External Services Office.

The budget allocation will normally be the amount actually received from the funding source. However, where funding agencies pay retrospectively, it may be possible with the approval of the Head of Development or Industrial Liaison Manager to allocate budget in excess of monies actually received.

The project supervisor, the relevant Head of Department and Head of School and External Services and Finance staff will have access to the financial status of a project on Aggresso.

The Development & External Services Office will process tax exemption applications, where relevant, and issue pay authorization forms to Finance in accordance with approved budget allocations. Any amendment to or extension of payment must be requested in writing by the project supervisor.

The project supervisor must cooperate fully with DESO and the Finance Department in the preparation of initial, interim or final claims for payment and financial reports for the funding agency.

Any Divergence from the project plan which has financial or personnel implications must be agreed with the Development & External Services Office.

Project supervisors are primarily responsible for the financial monitoring of all projects. However, DESO will provide Project Supervisors with financial reports containing details of receipts and income and expenditure for each individual project code on a quarterly basis. Project supervisors should review the financial reports and ensure that only expenditure incurred by their project has been charged to that project code.

Sufficient records should be retained by Project Supervisors to ensure that projects do not go into deficit (i.e. copy purchase records, copy travel and subsistence claims and details of any other expenditure incurred).

The Development & External Services Office will ensure that all agreed deductions from the project budget for fees, supervision cost, overhead recovery etc. are made. The Development & External Services Office will review the financial data on project codes on a bi-monthly basis and inform Supervisors who are close to reaching their full funding allocation for an individual project.

The Development & External Services Office will carry out a full financial review of a project within 1 month of its scheduled completion date. They may carry out a full financial review of a project at any time.

At conclusion, after full financial review, remainder claims and/or refunds have been carried out; a project must be formally closed. See SOP in Appendix G.3 entitled "Formal Closure of funded projects".

Appendix G.2 Summary Procedure on Ordering and Invoicing for Research Projects [From SOP DR022]

Goods or services may only be procured on foot of an official order generated by the Agresso system. Order numbers are only generated once an order has been approved by a person with the authority to do so.

Approved orders will be sent out by Finance daily at 3.30pm.

Only project supervisors, and in some cases other members of staff involved with a research project such as post-doctoral Fellows, will have access to the Agresso system. Postgraduate students will not have access to Agresso.

The Development & External Services Office will provide a service to input orders for research projects. All such orders must be filled out on a standard Excel order template and e-mailed to the address on the template, following all instructions on the template. The template is provided to all postgraduates on commencement of a research project, and is available from the Development & External Services Office. All orders for goods and services must be approved by the project supervisor or other approved person. The Agresso system will not allow orders to be issued which would exceed the budget allocation available.

Payment of invoices for services to research projects will require authorisation by the Development & External Services Office. This will be done on obtaining confirmation from the recipient postgraduate student or supervisor, by means of a signature on the invoice, that the service in question has been performed satisfactorily.

Payment of invoices for goods may be made by Finance provided the goods have been certified as received in good order by the authorised Goods Inwards person in Stores.

Appendix G.3 Summary Procedure for the Formal Closure of funded projects [From SOP DR017]

The project Supervisor must inform the Development & External Services Office the project is due to complete approximately one month in advance

The Development & External Services Office will review all income and expenditure for the project.

The Development & External Services Office will check with the project supervisor whether any unspent balances are to be spent or refunded.

The Development & External Services Office will initiate a claim for any outstanding payment from the funding agency.

Once the final funding is received the Development & External Services Office will inform Finance department of any financial adjustments to be made. This should result in a zero Balance on the completed project.

A Closure form is prepared by the Development & External Services Office and is signed off by the project Supervisor and Head of Department.

The project file is marked "Closed". The project file may then be moved to archive storage.

Appendix H - Postgraduate Induction Course

A two day Postgraduate Induction Course for all postgraduate students registered on research degree programmes includes short sessions on a range of general topics such as:

Research regulations (including marks & standards)

The Roles & responsibilities of researchers

Starting your research & managing your project

Good writing practice

Codes of conduct for researchers

Ethics in research

Health & Safety (general and discipline specific)

Writing literature reviews

Oral presentation skills

Creative thinking & problem solving

Structure of a thesis

Intellectual Property in research

Academic writing and publishing your research results

The Masters to PhD transfer process

Career development planning

Ordering of research materials

Experimental design

Library research tools

Appendix I - Procedure for Dealing with Unsatisfactory Progress by a Postgraduate Research Student.

The Principal Supervisor will first discuss the situation with the postgraduate student, in relation to:

- (a) Why work on the project appears to be unsatisfactory.
- (b) Possible methods of correction and an indication of acceptable time scale for such correction. This will be nominally set at 2-month duration.
- (c) The supervisor will advise that the situation will be monitored and will advise of a review period.

Minutes of the discussions will be prepared by the Principal Supervisor and a copy given to the individual concerned, within two days of the discussion.

The individual concerned will have the right to place on record any observations he or she may wish in regard to the discussions or to the formal record of the discussions.

In the event of there being a continuation of unsatisfactory progress the Principal Supervisor should refer the matter to Head of Department for consideration. The Head of Department, postgraduate researcher and supervisors shall meet to try and solve the matter. If after a period of 1 month the postgraduate researcher has not shown any marked improvement a written warning will be issued notifying the student that the matter will be referred to the Head of School for consideration with supporting documentation. The Head of School may then seek a meeting with both the postgraduate student and the supervisors separately to assess the situation.

The Head of School may request the postgraduate student make an oral presentation to an assessment panel convened by the Head of School, consisting of

- *the Supervisors*
- *the Head of Department or nominee*
- *the Head of School or nominee*
- *an internal academic, as recommended by the Head of School.*

The panel may also include an external expert in the assessment process where it is deemed appropriate.

If after a further period of 1 month the postgraduate researcher has not shown any marked improvement a written warning will be issued notifying the student that the matter will be referred to the Registrar by the Head of School for consideration with supporting documentation. This may include a request for termination of registration of the postgraduate researcher. The Registrar may then seek a meeting with both the postgraduate student and the supervisor separately to assess the situation. Where the Registrar upholds a request for termination by the Head of School due to unsatisfactory progress, the student will be notified in writing by the Registrar, giving reasons for the termination which will take immediate effect. Appeals by the student will be dealt with in accordance with the procedures outlined in Section 2.2.4.

Appendix J - Complaints Procedure

Stage 1

- The postgraduate researcher will set out clearly in writing the nature of the grievance to the Principal Supervisor.
- A meeting will then take place within two weeks of the Grievance Procedure being invoked.
- The meeting will be between the postgraduate student, the Principal Supervisor and the Co-Supervisor/supervisory team.
- The Co-Supervisor shall keep a record of the meeting and send it to the postgraduate researcher, supervisor and the Head of Department within 5 working days of the meeting.
- If the matter is not resolved at the meeting or fails to be resolved or progressed to the satisfaction of the postgraduate researcher within 2 weeks, the matter will be referred to a Stage 2 meeting.

Stage 2

- A meeting will be held as soon as reasonably possible between the postgraduate student, the Principal Supervisor, Co-Supervisor and the Head of Department. Such a meeting should be held within 2 weeks of the date of referral to Stage 2.
- The Head of Department shall keep a record of the meeting and send it to the postgraduate researcher and supervisors within 5 working days of the meeting.
- If the matter is not resolved at the meeting or fails to be resolved or progressed to the satisfaction of the postgraduate researcher within 2 weeks, the matter will be referred to Stage 3.

Stage 3

- If the matter remains unresolved to the satisfaction of the postgraduate student all documentation shall be made available to the Head of School who will then seek to bring about agreement between the parties, according to the steps laid out above in Stage 2.
- Where the complaint remains unresolved at this stage the matter will be referred to the Registrar.

Appendix K - After Hours Access Policy & Procedures

POLICY

The Institute wishes to allow staff and post-graduate students to access the building outside the normal opening hours of the Institute which are as follows:

During Semester:	Monday - Thursday	08:00 - 22:00
	Friday	08:00 - 19:00
	Saturday	08:00 - 14.30
Outside Semester:	Monday - Friday	08:00 - 18:00
	Saturday	08:00 - 13:00

These times may be extended due to institute requirements.

Staff and post-graduate students are permitted to obtain access to the building outside the above times. However they must leave the campus before 22:00 on Friday and Saturday.

Access on Sunday and Bank Holidays can be obtained between the hours of 08:00 - 22:00.

DESCRIPTION OF PROCEDURE

Staff or post-graduate students must obtain the permission from a member of staff, at Head of Department/Function level, or higher, to obtain access to the institute outside of the normal opening hours. The Head of Department/Function must satisfy him/herself that the procedures being carried out are safe for the member of staff/post-graduate student to perform. If there is any doubt about this, the Head of Department/Function must carry out a risk assessment, or have a risk assessment carried out by a competent person. Access can only be granted if the procedure is deemed to be safe.

The member of staff who gives permission for such access must make such a request, by e-mail to the Estates Manager, or in his absence, the Assistant Estates Manger, at least 24 hours before access is required.

The Estates Manager/Assistant Estates Manager will arrange for the member of staff/post-graduate student to collect and sign for a gate key from the Building Services Office. S/he will also inform staff in this office when they intend to call to the institute and will write this into the diary in the office in order that security staff will be aware of the time and date of the visit.

On arrival, the member of staff/post-graduate student will open the gate and close and lock it behind them. They will then proceed to the main entrance door where they will be admitted to the building. They must sign their name and time of entry in the diary in the Building Services office.

They must inform the security staff of the area of the building where they will be working. This is to ensure that only the minimum numbers of alarmed areas within the building are turned off. Staff and post-graduate students must telephone the security officer every hour and report that they are okay.

When leaving the building, the staff/post-graduate students must sign out in the diary in the Building Services Office. They must close and lock the front gate behind them.

The gate key must be returned to staff in the Building Services Office when they are next in the institute and it must be signed in.

In addition, all persons should have regard to their security and personal safety when entering or leaving the campus outside of the normal opening hours.

Appendix L - Research Off-Campus Policy & Criteria

Policy

It Institute policy that research collaboration with external academic Institutions be encouraged and fostered. Supervisors may base an individual within an outside Institution to undertake part of their research activity. Enrolment continues as usual with the project termination date not altering.

Criteria

In all cases, postgraduate students can only be placed in outside institutions where the following criteria apply:

- The supervisor must ensure that the academic and research environment of the outside institution is at least equivalent to those found within the department.
- All postgraduate researchers that are placed in external Institutes must have an External Supervisor appointed for them, located where the postgraduate researcher will be undertaking their work. It is not necessary that this external supervisor be a full time academic member of staff but more that they will be involved in the day to day activities of the Institute of Technology Tallaght researcher at the outside institute. However if the researcher is to spend more than 2 months within the outside institution a full time academic staff member must be nominated as the external supervisor. This documentation must be supplied to the Head of Department before approval is granted.
- Specific Research Centres / Universities / Institutes have in place their own policies and procedures regarding postgraduate researchers from outside institutes undertaking research within their facility. It is the responsibility of each Principal Supervisor, when sending a postgraduate researcher to an outside institute, that they adhere to these policies and procedures.
- Where the off-campus facility is an environment other than an academic one, it is of critical importance that the Principal Supervisor of the postgraduate researcher, in conjunction with the Head of Development, Secretary/Financial Controller and the industrial/commercial body formalise their agreement with particular emphasis placed on the following issues:
 - Obligations of the Institute of Technology Tallaght & Supervision of the Research Programme
 - Confidentiality & Confidential Information
 - Ownership of Results
 - User Rights and Licensing
 - Limitations of Liability
 - Law and Arbitration.
- Candidates and Institute of Technology Tallaght Supervisor(s) are required to keep in regular contact.
- The right of postgraduate students to submit their theses in accordance with Institute procedures and requirements to publish their research is significantly compromised by undertaking part of their research outside Institute.
- Where postgraduate students and Supervisors are alleged to be in breach of these regulations it must be brought to the attention of the Head of Department.

Appendix M - Guidelines on How to Avoid Plagiarism

All theses are assessed based on the assumption that the thesis is the work of the student, i.e. the words, diagrams, computer programs, ideas and arguments should be their own. However, much of the introductory chapter will be based on what students have read and it is important that they show where, and how, their work references these sources. Students are therefore advised as follows:

1. Copying

Never copy anything without explicit acknowledgement as described below under 'quoting'. This includes copying the work of other students.

2. Quoting

Quotation directly from a book or paper is entirely acceptable, provided that it is referenced properly:

- Quotations should be in inverted commas or indented in the case of sections greater than 25 words.
- Sources should be given in a format which would enable another person to look them up easily, for example by number footnotes or quick reference (e.g. Smith, 1986, pg. 89) with a more detailed source in the bibliography at the end.

Whatever system is followed, students should list the sources used in a bibliography or reference section at the end of each piece of work.

3. Paraphrasing

Paraphrasing - means putting someone else's ideas into your own words. Paraphrasing is entirely acceptable provided that it is acknowledged. A rule of thumb for acceptable paraphrasing is that an acknowledgement be made in every paragraph. There are many ways in which such acknowledgements can be made (e.g. "Smith goes on to argue that ..." or "Smith provides further proof that ..."). As with quotation, full details of the source used must be given at some point in the work.

4. Allowing Work to be Copied

Please note that copying the work of another student is no different from plagiarising published sources. Students who plagiarise work and students who knowingly allow their work to be plagiarised will be subject to the above penalties.

Notes

1. Students should err on the side of caution if drawing their ideas from one source. In this case, the source should be mentioned and, if the ordering of evidence and argument or the organisation of material reflects one particular source, then this should be stated. When in doubt, students should seek advice from their Supervisor(s) to ensure that the presentation of their work is in line with Institute and HETAC requirements.
2. Plagiarism is a very serious offence and where allegations have been proven to be correct it normally incurs a penalty.

Appendix N - Disciplinary Board Proceedings for Students Allegedly Breaching Research Examination Regulations

The procedures are broken down into the following sections:

- a) Reporting of Alleged breach of examination regulations
- b) Decision to form an Academic Discipline Board
- c) Deferral of Results
- d) Composition of Academic Discipline Board
- e) Communications with student
- f) Functions of the Disciplinary Hearing
- g) Procedures for the conduct of the Academic Discipline Board
- h) Appeals Mechanism
- i) Communication of Decisions to the relevant areas of the Institute.

Reporting of alleged breach of examination regulations

In the case of an allegation of a breach of research examination regulations the Chairperson of Examiners writes a report of the incident and forwards it to the Registrar.

Decision to form an Academic Discipline Board

Based on the report provided, the Registrar will decide whether or not to proceed with an Academic Discipline Board. It is Institute policy to discipline a student for breach of examination regulations, hence, in the main, the decision of the Registrar will be to proceed. Decisions not to proceed would normally centre on adequacy of evidence, reliability of evidence and lack of conflict in evidence. Where a decision not to proceed is made the Registrar will note the reason in the file and advise the student in writing that no further disciplinary procedures will apply to the incident in question.

Deferral of Results

The Registrar will request the Chairperson of Examiners to defer the submission of results to HETAC for any student subject to a disciplinary hearing, pending the outcome of the process.

Composition of Academic Discipline Board

The composition of the Academic Discipline Board will draw its membership from the Academic Council and shall be as follows:

- a) A Head of School (not from the School in which the alleged breach took place)

- will act as Chair of the proceedings.
- b) One academic staff member from the relevant School (other than the Head of Department or the internal examiner)
 - c) One other person
 - d) The Registrar (or her/his nominee) will be present at the hearing, will present the allegations and will record the proceedings.
 - e) With the agreement of the members of the Board a recording secretary may also be in attendance.
 - f) Where the Registrar deems it appropriate, the Institute may have its legal team in attendance

Members identified in (a) and (b) and (c) have voting rights.

Communications with student

The Institute will make all reasonable effort to contact the student who is allegedly in breach of examination regulations. The student will be informed by the Registrar by registered mail or courier and will be:

- Provided with details of the allegations against him/her and the examination regulations which were allegedly breached
- Provided with a photocopy of the evidence where this is feasible and relevant
- Informed of the details of the time and place where the alleged breaches occurred
- Informed of the date, time and location of the hearing of the Academic Disciplinary Board
- Advised that he/she may be accompanied to the hearing by a representative and that the student must advise the Registrar, 24 hours in advance of the hearing, if he/she will be accompanied and by whom.
- Advised that the hearing take place, regardless of his/her attendance or absence.
- Provided with a copy of these procedures.

The Registrar will communicate the decision of the Academic Discipline Board in writing by registered mail to the student and advise student of the Appeals mechanism and method of appeal within 5 working days. A copy of this procedure will accompany this letter.

The Director will communicate the decision upon the Appeal of the decision of the Academic Discipline Board to the student by registered mail. This communication will give details of the reason behind the decision particularly when the decision is not to uphold the Appeal request.

The Director will also submit a copy of the communication of the decision to the Registrar who will be responsible for overseeing that the academic record is notified to appropriate parties.

Functions of the Academic Disciplinary Board

The functions of the Board are to:

- Establish the facts
- Receive submissions whether in writing, verbally from the student or his/her representative or from witnesses
- To call witnesses
- To question witnesses
- To question, at its sole discretion, any and all submissions in whatever format submitted.
- To adjudicate on the matter on the balance of probabilities
- To impose disciplinary action as appropriate
- To communicate these decisions to the student as appropriate

Procedures for the conduct of the Academic Discipline Board

- Chairperson escorts the student into the hearing and introduces the Board members.
- Chairperson explains the allegations of breach of examination regulations.
- Registrar explains the nature of the allegations and presents the evidence, if any.
- Student or representative invited to comment.
- Chair sums up comments of student to seek his/her agreement that the commentary is a fair reflection of the student's comments.
- Chairperson invites Board members to ask questions.
- Chairperson may also ask questions or seek clarifications.
- Chairperson to ascertain that contact details held by Institute for student are still accurate.
- Chairperson advises the student of the Appeals mechanism and procedure.
- Chairperson requests student and his/her representative to leave hearing so that the Board may adjudicate on the matter.
- After Board has made a majority decision the Chairperson invites student and his/her representative to re-attend.
- Chairperson advises the student of the decision of the Board and may take another opportunity to detail the Appeals mechanism to the student.
- The Chairperson will endeavor to answer any question the student may have in relation to the sanction.

Appeals Mechanism

Appeals of the decisions of Academic Discipline Boards must be made in writing by the

student in question to the Director within 5 days of an Academic Discipline Board ruling.

Only appeals based on mitigating circumstances or other additional facts not considered by the original Board will be valid.

The Director, at her/his absolute discretion, may consult with whomsoever she/he deems appropriate.

The Director makes the decision on valid Appeals and communicates this decision in writing to the appellant as outlined in section 4.5.2 and 4.5.3 of this procedure.

The Director's decision is final.

Communication of Decisions to the relevant areas of the Institute.

The Registrar is responsible for informing HETAC and updating Academic Information Systems any grade changes resulting from a decision of the Academic Discipline Board or any decision on Appeal.

Range of Sanctions

The decisions and sanctions of the Academic Discipline Board may vary as outlined below. Combinations of sanctions and other academic sanctions may also apply which are not outlined here. The following list should not be viewed as all encompassing or exhaustive.

The Board may decide to:

- Accept the explanation of the student and no sanctions would apply.
- Accept the explanation of the student and give a stern verbal warning.
- Give a verbal warning.
- Give a written warning with a recommendation that the warning stays on file for a period of time.
- Recommend a Fail grade and outline the process of a repeat opportunity where applicable.
- Disqualify a student.

Appendix 0 - General Student Discipline Policy & Procedures

(Adopted by the Governing Body on the 24 October 2002)

Introduction

It is the policy of the Institute to create an environment conducive to learning and the delivery of its mission where integrity of the individual is respected and upheld. To this end the Institute has developed a disciplinary code to secure this objective.

1.0 Norms of Behaviour

All persons attending programmes or modules of study in the Institute in whatever capacity are expected to behave responsibly at all times, to treat others with dignity and respect, to observe and abide by the Institute Regulations and not to engage in any illegal, malicious or other activity which might bring the good name of the Institute into disrepute.

2.0 Definition of Terms

The term “campus” is understood to mean the lands, grounds and buildings of the Institute situated in Tallaght, any other associated sites which are used for institute activity from time to time such as the Technician Development Centre, the National Basketball Arena, St.Maelruin’s Church and Parish Hall and any sporting events or areas where the institute is represented.

A “student” is understood to mean a person who is registered on a programme, course or module of learning, or for an examination or for repeat tuition. This term also includes a person who is a course participant or has attended course work but has not formally registered with the Institute at the material time in whatever capacity.

Minor Breaches of General Student Discipline (“Minor Breaches”)

Minor Breaches are those acts or omissions which adversely disrupt the orderly and responsible conduct of any Institute activity in breach of Institute Regulations. The following is a non-exhaustive list of examples of such offences:

- Creating excessive and unnecessary noise or other nuisance on campus which disrupt the normal functioning of Institute activities, including classroom and learning activities, college activities or examinations.
- Smoking in designated non-smoking areas.
- General conduct which in the view of the relevant Head of School may disrupt academic activities or the learning process of others.
- Obstruction or harassment of any member of staff or student of the Institute in the performance of their work or learning or leisure activities.

Major Breaches of General Student Discipline (“Major Breaches”)

Major breaches of discipline are those acts or omissions which adversely affect the rights of any member of staff or student or which breach Institute Regulations.

The following is a non-exhaustive list of examples of such offences:

- Intentionally, recklessly or negligently indulging in any activity which may cause physical harm to any person on the campus or at an Institute sponsored activity whatsoever. This includes engaging in any form of fighting or physical confrontation.
- Placing any person under mental duress or causing any person to be in fear of physical danger through verbal abuse, harassment (including repeated phone calls), sexual harassment, racial harassment, harassment on the basis of ethnicity, intimidation, threats or other conduct which threaten or endanger that person's emotional, mental or physical well-being.
- Possession, distribution or use of illegal drugs.
- Abuse of alcohol on campus or acting under the influence of alcohol.
- Theft or willful damage to any Institute property or to the property of any person on campus in whatever capacity.
- Possession or use of weapons. "Weapons" include, but are not limited to: firearms, ammunition, dangerous knives, explosives, flammable fuels, dangerous chemicals, incendiary devices and fireworks or any sporting or other equipment utilized for other than its designated purpose.
- Activating an emergency alarm without cause, damaging or misusing safety equipment or initiating a false report, warning or threat of fire, explosion or other emergency on campus or setting fire to college property or property of persons on campus.
- Being contemptuous or disorderly at any hearing of an Institute Disciplinary Board or Appeal Board and failing to comply with any lawful instructions thereof.
- Multiple Minor Breaches over any period of the student's attendance.
- Use of posters, pamphlets, graffiti etc which result in harassment or intimidation of any person or group or the promotion of any activity which in the opinion of the Director is not compatible with the ethos of the Institute.
- Non payment of fees
- Illegal, reckless, deliberate misuse of Institute equipment or property for purposes other than as designated by the appropriate Head of School or other member of the Senior Management Team or for any illegal activity.
- Illegal, reckless, deliberate misuse of Institute equipment including computing facilities.
- Breaches of Health and Safety Regulations.
- Any activity which in the reasonable view of the Director is likely to impugn the reputation of the Institute.

NOTE 1: The examples of Minor Breaches and Major Breaches do not purport to be exhaustive or exclusive in any way.

NOTE 2: Where a complaint or allegation is found to be frivolous the Head of School may impose a sanction on the person responsible. Appeals under Note 2 are made to the Director in writing whose decision is final.

3.0 Allegations of Minor Breaches

Any allegations from whatever sources must be considered by the Head of Department in the first instance. For the purposes of these proceedings the Head of Department will be the Head of that Department in which the student is registered. In the case of a student registered on programmes/courses in more than one department, the Head of Department for the purposes of these proceedings will be the Head of that Department in which the student is registered for the greater/greatest number of programmes/courses.

Within 4 working days of the receipt of the allegation the Head of Department will separately meet with the student and the person(s) alleging the Minor Breach(es).

The Head of Department will:

- consider all submissions related to the alleged offence.
- review the evidence.
- allow the student challenge the evidence.
- determine in writing whether a Minor Breach has occurred.
- impose a suitable sanction (examples include reprimand, issuing of an apology).
- Refer the matter to the Head of School if the Head of Department thinks a Major Breach of Student Discipline may have occurred. Any appeals from a finding or direction by a Head of Department shall be made in writing by the student to the Head of School (who is the direct line manager of the Head of Department) within 5 working days of the notification of such finding or direction by the Head of Department.

The Head of School:

- Will consider the report from the Head of Department.
- Will consider all documentation relating to the issue.
- Will consider any new evidence.
- Will consider any mitigating circumstances.
- Will meet with the student and seek further information, if appropriate.
- Will meet with instigator of the allegation, if appropriate.
- May call witnesses.

The Head of School will make a decision based on the information available.

The decision may be to:

- Uphold the decision of the Head of Department.
- Amend the decision of the Head of Department.
- Dismiss the decision of the Head of Department.

4.0 Allegations of Major Breaches

A Major Breach will be considered by a Board of Enquiry as detailed in this document. The purpose of a Board of Enquiry is to determine whether a Major Breach of an offence against Regulations has been committed by a student and to determine the appropriate sanction. That determination will be based on the balance of probabilities.

4.1 Stage One Board of Enquiry ("Stage One")

Stage One will be initiated where (a) A Head of School is of the firm view, without making any imputation as to guilt, that the allegation against the student by reason of its gravity or nature, or level of recidivism in relation to Minor Breaches, would be more suitably considered a Major Breach, or (b) Substantial written allegations of a Major Breach are made to any of the Senior Management Team in the Institute by a staff member or student.

The Director or his/her nominee will, within 5 working days of a written request based on (a) or (b) above, create or cause to be initiated a Stage One procedure. Where a person against whom an allegation is made does not formally acknowledge a letter indicating a Stage One procedure within 5 days of its issue, the Director or his/her nominee will make one follow-up enquiry.

4.1.1 Composition of Stage One

Members of the Stage One Board will comprise:

- The Director's nominee, who will act as Chairperson of the meeting
- A Head of School or Head of Department (who is not of the school in which the student is registered) and, in the case of a 4.1a above, is not the instigator of the Stage One.
- The nominee of the President of the Students' Union
- The Director or his/her nominee may direct a member of the administrative staff to act as recording secretary.

4.1.2 Duties of Members

It shall be the duty of the Members to

- Invite all parties to state their case(s) informally.
- Meet with all parties separately.
- Meet, in an informal manner, with others who may provide relevant details.
- Give full and proper examination of all the relevant details of the alleged offence.
- Come to a finding of fact on the evidence.

4.1.3 Decisions

The Members may decide that:

- There is no case to answer and no further action is necessary.
- There is a case to answer and consequently may further decide to impose a sanction. Such sanction might include, reprimand, warning, temporary suspension from the Institute, restricted access to its facilities, expulsion from a club or society, or any combination of the above.
- There is a case to answer which would be more properly referred to a Stage Two Board of Enquiry.

4.1.4 Stage One Board of Enquiry Appeal

Appeals are made in writing to the Director within 5 working days of notification of the decision of the Stage One Board of Enquiry. The decision of the Director shall be final.

4.2 Stage Two Board of Enquiry ("Stage Two")

Stage Two can only be initiated by the written request from the Chairperson of Stage One. The Director or his/her nominee will, within 5 working days of receipt of the written request, create or cause to be initiated the Stage Two procedures.

4.2.1 Stage Two Composition

The Board will comprise:

- The Director or his/her nominee

- Any other two members of the Senior Management Team who have not been involved in a Stage One Board of Enquiry on the matter
- The President of the Student's Union

The Director or his/her nominee will act as chairperson of Stage Two. The Director or his/her nominee may direct a member of the administrative staff to act as recording secretary.

Members may designate one or more alternates so that in the event of their unforeseen or unavoidable non-availability at any session, the procedures of the Stage Two may take place as scheduled. Where insufficient numbers of alternates are available from the Senior Management Team, direct reports to the relevant Senior Management Team member are acceptable alternates in cases of emergency.

4.2.2 Stage Two Procedures (1)

The chairperson will provide to the student copies of all the written allegations 5 working days prior to the meeting of Stage Two. The Chairperson may invite a written response from the student within a specified number of days.

Any written responses will be circulated to the complainants for comment as appropriate. The chairperson will also provide the student with a copy of the procedures that the Board will follow.

It shall be the function of the Members to:

- Consider all of the relevant evidence submitted regarding the alleged offence(s)
- To consider any submissions made by the student in person and/or by a person accompanying the student.
- To determine whether an offence has been committed and to impose a sanction if an offence has been committed.

4.2.3 Stage Two Procedures (2)

Meetings of the Board will proceed as follows:

1 The chairperson shall cause to be set out for the Members

- The full details of the alleged offence
- All written statements relating to the alleged offence
- The names of the witnesses to be called.

2 An initial meeting of the Board will be summoned at which the student and his/her chosen representative will be requested to attend. In the event of the non-attendance of the student the Board may decide to make a determination on the allegations. The Board may also require a legal representative of the Institute to advise should issues of law arise.

3 The quorum for a meeting of the Board will be all of the Members or their valid alternates as appropriate.

4 A student against whom a complaint is made, may be permitted, by request to the chairperson, to question any complainant for the purposes of challenging, clarifying or

amplifying any evidence being offered by that person. Such clarifications may either be given at a further meeting of the Board convened in accordance with paragraph 8 or by written response from the complainant(s).

5 The chairperson may rule out of order any behaviour which s/he deems to constitute the badgering of any witnesses whose attendance is directed by the Board, or the introduction of any matter which s/he deems not to be directly relevant to the business of the particular investigation.

6 The Members will not consider any matter they deem to be extraneous to the specific complaint(s) at the meeting of the Board.

7 The Board may invite comments or clarifications on the complaints and responses from the student, as it considers necessary.

8 Where an adjournment of the meeting is sought, this may be granted at the sole discretion of the chairperson.

9 The Members will consider the evidence available and arrive at a determination and will make their determination in private after the respective presentations by the student and any witnesses at the meeting of the Board.

10 The Board will take careful note of the evidence and any submissions made.

11 Having heard the evidence and the submissions, and taking careful note thereof, the Board will then advise the student of the possible sanctions which it may, in its consideration of the issues and after due deliberation, decide to impose.

12 The Board may reserve its decision. It will undertake to furnish this decision within a specified number of days.

13 When a decision is delivered it will be circulated to all parties as expeditiously as possible.

4.2.4 Witnesses

Members may summand as a witness any person who, in the belief of the Members, can provide relevant evidence or testimony. A student, against whom the allegation is made, shall be permitted to call witnesses, in his/her defense. A student, against whom the allegation is made, shall be permitted to be accompanied by another person during questioning. The determination of the Members shall not be compromised by the refusal or inability of any witness to attend.

4.2.5 Decisions

The Members may decide that:

- There is no case to answer and that no further action be taken.
- There is a case to answer and consequently may further decide to impose a sanction. Such a sanction might include reprimand, warning, probation, short term, longer term or permanent expulsion from Institute, restricted access to Institute facilities, expulsion from a club or society or any combination of the above.

- To refer any complaint which relates to commission of a criminal offence to the relevant authorities.

Before imposing a suggested sanction for a Major Breach which would have significant academic impact on a student's academic progression, the chairperson will advise the Standing Committee of Academic Council. The Standing Committee of Academic Council will furnish its observations to the chairperson within 3 working days. The Members will reconvene within 5 working days of advising the Standing Committee of Academic Council.

Having considered any observations from the Standing Committee of Academic Council, the Members may either vary or affirm its proposed sanction. The chairperson will notify the decision to the student by registered post to the student's address appearing on the Institute files. This notification will take place within 3 working days of the final decision on sanction.

Copies of this notification will be forwarded to the relevant Head of School and the Registrar.

4.2.6 Stage Two Appeals

Appeals, clearly stating the reasons for the appeal, are to be made in writing to the chairperson of the Governing Body with copy to the Secretary and the Director of the Institute who will notify the Stage Two Members. Only appeals which are received within 10 working days of the written notification of the decision of the Stage Two and which are based on new evidence or mitigating circumstances, not already taken into account, will be considered.

The chairperson of the Governing Body will convene a meeting of the Standing Committee of Governing Body to consider such appeals.

In the case where an appeal in full accordance with the procedure has been lodged in time, the chairperson of Stage Two may, at his/her absolute discretion vary (or defer) the implementation of the sanction imposed by the Stage Two Board of Enquiry pending the outcome of the appeal.

The Standing Committee of Governing Body will issue its determination on the appeal within 10 working days of receipt of the written appeal.

If, in the opinion of any member of the Senior Management Team, a proposed sanction is excessively lenient and where the proper conduct of the Institute's affairs may be compromised such a member of the Senior Management Team may initiate any appeal procedure outlined in this procedure.

5.0 Unforeseen Delays

At any stage in the procedure, including appeals, a person against whom an allegation is made may be unable to attend on the appointed day. The relevant Boards will give due weight to the reasons adduced for non-attendance before deciding whether or not to continue with the relevant stage of the procedures. Except in exceptional circumstances any delay due to inability to attend should not exceed 10 days.

6.0 Gender Balance

In so far as is practicable the Institute will endeavour to ensure that there is both female and male representation on all Boards.

7.0 Examination Discipline

Whereas matters of Examination Discipline may be dealt with under this policy the Director, at his/her absolute discretion, may elect to designate nominated members of Academic Council to examine issues of this nature and make recommendations to him/her. There is nothing in this policy to preclude the generation of new policies or amendments to existing policies which would then take precedence.

Nothing in this procedure shall be deemed to prejudice any existing or further rights of any party under law.

Appendix P - Procedures for the Resolution of Grievances/Disputes [Academic Staff]

AGREEMENT BETWEEN THE INSTITUTE OF TECHNOLOGY TALLAGHT AND THE TEACHERS UNION OF IRELAND

Disciplinary Procedure

1. Section 42 of the Industrial Relations Act 1990 provides inter alia the preparation of draft codes of practice by the Labour Relations Commission for submission to the Minister for Enterprise, Trade and Employment, and for the making by him, her under section 42 and scheduled to the order shall be a code of practice for the purposes of the said Act.
2. The main purpose of this code of practice is to set out for the guidance of employers, employees and their representatives the minimum general principles, which should apply in the operation of disciplinary procedures. For the purpose of this discipline procedure, the reference in the code of practice to, 'employee representative' shall be understood to include a colleague of the employee's choice and/ or an authorised trade union representative but not any other person or body unconnected with the enterprise.
3. Procedures are necessary to ensure both that fair discipline is maintained in the Institution and that disciplinary measures, can be applied to in a fair and consistent manner. Apart from considerations of equity and natural justice, the maintenance of a good industrial relations atmosphere requires that acceptable procedures be in place and be observed.
4. Such procedures serve a dual purpose in that they provide a framework, which enables management to maintain satisfactory standards, and employees to have access to procedures whereby alleged failures to comply with these standards may be fairly and sensitively addressed.
5. The essential elements of any procedures for dealing with disciplinary issues are that they be rational and fair, that the basis for disciplinary action is clear, that the range of penalties that can be imposed is well defined and that an appeal mechanism is available.
6. The procedures require that if necessary the allegations or complaints be set out in writing, that the source of the allegations or complaint be given and that the employee concerned be given an opportunity to question witnesses where appropriate.
7. Any warning or other written record relating to this procedure shall be removed from the record of the individual after a specific time and the employee shall be advised accordingly.
8. Procedures should be reviewed and updated periodically so that they are consistent with changed circumstances, developments in employment legislation and case law and good industrial relations practice generally.
9. The right of Lecturers to view the contents of their file is acknowledged. On request copies will normally be made available.

INTRODUCTION

The parties agree that allegations of faults or omissions in aspects of duty or conduct relating to employment should normally be dealt with informally. The parties agree that the primary aim of the disciplinary procedure is to help the individual, whose performance or conduct allegedly falls below management's requirements, to achieve the necessary improvement.

The parties also agree that all matters of discipline shall be dealt with in a manner that protects the dignity of the staff member(s). Each staff member will receive as of right all reasonable facilities to explain his/ her position. Disciplinary sanction will not be implemented by management pending the outcome of procedures laid down by this agreement. Except for offences of suspected or alleged serious misconduct where immediate suspension will normally apply, and an immediate investigation will take place. Serious offences are those such as where in the opinion of the President (DIT)/ Director (IOTs) the person constitutes a potential or actual danger to themselves or to others, causes wilful damage to the property of the Institute or is guilty of a serious criminal offence related to his/ her employment.

Any staff member aggrieved by a legitimate work instruction, given by a Head of School/ Head of Department should carry such instruction under protest and refer it for processing through the proper channels i.e. Grievance Procedures. In this context a legitimate work instruction is one, which is within the terms of current agreements and is not at variance with existing custom and practice.

The parties agree to the following procedural stages.

DISCIPLINARY PROCEDURE STAGES

Stage 1 Informal Warning

In the event of their being an allegation of fault or omissions of duty or conduct relating to employment, the allegations will be put to the employee in the first instance. Any allegations will be made in writing and will be given to the employee who shall have time to consider and make a response to such allegation.

The immediate superior will discuss with the staff member the nature of the allegation and whether there is substance to the allegation, this discussion may cover if appropriate;

- (a) Why behaviour/ work appears to be unsatisfactory.
- (b) Possible methods of correction and an indication of acceptable time scale for such correction.
- (c) Any support, which might be provided by the Institute.

- (d) The seriousness of the issue and possible consequences if there is no improvement or if offence is repeated.
- (e) The superior will advise that the situation will be monitored and will advise of a review period.

A note of the discussions will be prepared by the immediate superior and a copy given to the individual concerned.

If the matter complained of has been resolved by the end of the review period the matter will be concluded and no reference to the issue shall be kept on any file of the individual. The note of the discussions prepared by the immediate superior shall be destroyed.

Stage 2 Formal Oral Warning

In the event of there being a continuation of the fault or omissions of duty or conduct which was the subject of Stage 1, the immediate superior will refer the matter to the appropriate Head of School/ Faculty Director by way of a written report indicating the nature of the allegation, the note of the discussion at stage 1 as prepared by the immediate superior at the time and how the employee has responded during the review period. The employee will receive a copy of such written report.

There will be a discussion between the appropriate Head of School/ Faculty Director and if necessary the immediate superior in question with the staff member concerned, which may deal with the following;

- (a) Why behaviour/ work continues to appear to be unsatisfactory.
- (b) Possible methods of correction and an indication of acceptable time scale for such correction.
- (c) Any support, which might be provided by the Institute.
- (d) The seriousness of the issue and possible consequences if there is no improvement or if offence is repeated.
- (e) That the situation will be monitored and there will be a review period.

A record of the discussion will be maintained by the Personnel Office.

A note of the discussion together with a formal record of the discussion will be prepared by the appropriate Head of School/ Faculty Director and a copy given to the individual concerned, within two days of the discussion.

The individual concerned will have the right to place on record any observations he or she may wish in regard to the discussions or to the formal record of the discussions.

If the matter complained of has been resolved by the end of the review period the matter will be concluded. A statement to this effect will be forwarded to the staff member and a copy held by the appropriate Head of School/ Faculty Director and a copy held by Personnel.

Stage 3 First Written Warning

In the event of there being a continuation of the fault or omissions of duty or conduct which was the subject of Stage 2, the matter will be referred from the appropriate Head of School/ Faculty Director to Personnel. This will be by way of a written report indicating the nature of the allegation, the note of the discussion at stage 2 as prepared by the immediate superior at the time and how the employee has responded during the review period. The employee will receive a copy of such a written report.

There will be a meeting involving the appropriate Head of School/ Faculty Director, Personnel, where appropriate the relevant head of function, and the individual concerned. This meeting will deal with the following:

- (a) Why behaviour/ work continues to appear to be unsatisfactory.
- (b) Possible methods of correction and an indication of acceptable time scale for such correction.
- (c) Any support, which might be provided by the Institute.
- (d) The seriousness of the issue and possible consequences if there is no improvement or if offence is repeated.
- (e) That the situation will be monitored and there will be a review period.

A record of the discussion will be maintained by the Institute.

A note of the discussion together with a copy of the formal record of the discussion will be prepared by senior management and a copy given to the individual concerned within two days of the discussion. The individual concerned will have the right to place on record any observations he or she may wish in regard to the discussions or to the formal record of the discussions.

If the matter complained of has been resolved by the end of the review period the matter will be concluded. A statement to this effect will be forwarded to the staff member and a copy held by Personnel section.

Should the warning not be resolved at this point the employee will receive a written warning from senior management, which will also set out a further review period. A copy of this warning will be maintained on the employee's personnel file.

Stage 4 - Final Written Warning

In the event of there being a continuation of the fault or omissions of duty or conduct which was the subject of Stage 3 a further meeting will be held between the relevant members of the Institute's senior management, e.g. the Secretary Financial Controller, Registrar etc./DIT normally a member of the Central Directorate and the employee. This meeting will review the outcome of Stage 3. Before this meeting the employee will be furnished with a written note indicating the Institute's view of the response of the employee to the issues raised at stage 3. If the matter complained of has been resolved the statement to that effect will be forwarded to the Personnel Office. If not then

- (a) The gravity of the situation will be discussed.
- (b) The staff member will be made aware that if there is no acceptable improvement within a final review period, appropriate disciplinary action (e.g. withholding of increments, demotion, suspension) will be taken.
- (c) The employee will receive a final written warning from the Institute's senior management. This written warning will include reference to the review period.

Stage 5 Disciplinary Action

If the matter is resolved at the end of the review period the Personnel Office will be notified.

If the conduct and/or performance of the staff member does not improve to a satisfactory level during the period set out in the final written warning the matter will be reviewed by the Director/ President before appropriate disciplinary action is taken.

The staff member will be notified in writing accordingly.

No disciplinary action shall be taken pending the outcome of any appeal in accordance with the procedures except for alleged serious misconduct as defined.

Stage 6 Dismissal

Dismissal is a very serious step and will not be invoked until the stages of this procedure have been exhausted. The provisions of the relevant legislation cover this step.

Appeal

Any employee who is in disagreement with a sanction imposed as a result of any of the above stages is entitled to appeal such sanction to a third party agreed by the parties for the purpose.

In the event of there being disciplinary action taken against the individual the appeal shall involve persons outside of the Institute agreed for the purpose by the parties concerned.

Review

This procedure will be subject to review after two years in operation and periodically thereafter as required.