



If your thesis is referred:

**Guide to the referral and resubmission process for
PGRs**

2017-18

This Guide for referred PGRs is compiled annually by Postgraduate Research and Operations. It gives further advice to candidates whose thesis has been referred for resubmission. It sets out the University's requirements for the notes for guidance, resubmission and the process for examination of a resubmitted thesis.

The presentation and binding requirements for a resubmitted thesis are the same as those for the first examination. Please refer to the [Guide to the thesis examination process](#) for more detailed advice.

Further support and advice about the research degree thesis examination process is also available in the [Postgraduate Researcher Handbook](#) and on the [Website](#).

Contents

Referral and notes for guidance	3
1. 'Referral' for resubmission	3
2. Notes for Guidance	3
3. When will I receive the Notes for Guidance?	3
Supervision arrangements during the referral period	4
4. Supervision during the referral period	4
5. Role of the examiners during the referral period	5
6. Registration during the referral period	5
Examination entry and resubmission fees	6
7. Examination entry form	6
8. Resubmission fee	6
Resubmitting your thesis	7
9. Deadlines for resubmission	7
10. PhD resubmission for MPhil	7
11. Resubmission process	7
12. Resubmission in person	8
13. Resubmission by Post or by a third party	8
14. Numbers of Copies of the thesis	8
15. How your revised thesis has responded to the notes for guidance	8
16. Checklist: for the resubmission of the thesis for examination	8
Examination of your resubmitted thesis	10
17. Timescales for examination of a resubmission	10
18. Examination of the resubmission	10
19. Second oral examination on resubmission	10
19.1 If a second oral examination is required	10
19.2 If a second oral examination is not required	11
20. Outcomes following examination of a resubmitted thesis	11
20.1 Pass (no corrections)	11
20.2 Pass with editorial and presentational corrections	11
20.3 Pass with minor deficiencies	12
20.4 Fail	12
20.5 MPhil award on a PhD submission	12
21. Completing corrections and the final thesis (after successful examination)	12

Referral and notes for guidance

1. 'Referral' for resubmission

A decision to “refer” a thesis is normally interpreted as signifying that, although the thesis is potentially of a standard to merit the award of the degree concerned it does not, at this stage, satisfy the requirements for award and certain sections and/or aspects of the thesis are in need of alteration and improvement and a re-examination of the work will be required. A thesis may also be referred in circumstances where the Postgraduate Researcher (PGR) does not completely satisfy the examiners through their performance at the viva (and in such other tests as the examiners may prescribe) that the award of the degree is justified at this stage.

If the examiners recommend referral for resubmission, you will be required to revise the thesis, which may entail further research or any other activity required by the examiners, and then resubmit this to the University for re-examination.

2. Notes for Guidance

The examiners are required to prepare *Notes for Guidance* which outlines the changes which are required. The Notes for Guidance should indicate the necessary and sufficient conditions which, if complied with by the PGR, and providing the thesis as a whole is satisfactory, will lead to a recommendation by the examiners that the degree be awarded. However, the detail given in the notes should not stifle the initiative which the PGR should demonstrate at this level. The Notes are to assist the PGR in the process of revision and resubmission of the thesis but may not necessarily include specific editorial comment.

3. When will I receive the Notes for Guidance?

The notes for guidance must be submitted with the examiners' report (prepared after the viva) for scrutiny by the Graduate Board's Examinations Group at one of its [meetings](#). PGR & Operations will send you an email (to your IT account) to confirm that your examiners' report and notes for guidance have been received with details of when this will be considered by the Group.

The examiners' report and their notes for guidance will be issued to you by PGR & Operations after approval by the Examinations Group with a letter describing how to resubmit for re-examination. This will be sent to your University email account. Schools are not permitted to issue informal notes for guidance and any advice given at the time of the viva or immediately after the viva, is informal. In some cases the Examinations Group may request additional information for the examiners' report or clarification of the Notes for Guidance from the Examiners to ensure that these are clear and unambiguous. PGR&O will keep you informed where this is the case.

Supervision arrangements during the referral period

4. Supervision during the referral period

In order to keep the resubmission on course before the maximum time limit, it is expected that supervisory contact and support will continue during the referral period. Supervisors are asked to provide up to 6 supervision meetings a year during the referral period. Whilst the responsibility for initiating these supervisions rests with the PGR, the timing and frequency should be agreed between the PGR and the Supervisors.

Whilst the precise nature, pattern and timing of supervisions will vary depending on the stage of the resubmission, and the extent and nature of the work required for resubmission, recommended best practice is that meetings will be held at regular intervals during the referral period (until resubmission) and include at least:

- (i) An early meeting (or equivalent), normally within one month of receipt of the examiners' report and notes for guidance; and
- (ii) A meeting (or equivalent) around the mid-point of the referral period (e.g. around 9 to 12 month point for doctoral PGRs) if the thesis has not been resubmitted.

Supervisions should continue to be recorded in GRAD and may take place in a variety of forms (for example in face to face meetings when the PGR is in the UK or by other means such as video conferencing, telephone, Skype or email where appropriate).

For PGRs in the referral period the University appreciates that supervision may take the form of reading and commenting on draft chapters of the thesis prior to resubmission. PGRs must ensure that they provide their supervisor(s) with re-drafts of work for comment within a reasonable timescale. PGRs should take the advice of their Supervisor whether or not to resubmit their work for examination. PGRs are strongly recommended not to resubmit against their Supervisor's advice. However, PGRs are solely responsible for the decision to resubmit their work for examination.

If an international referred PGR wishes to remain in the UK during the referral period, PGR & Operations will contact the relevant School to establish that the PGR does need to be present at the University¹. For international PGRs in the UK during the referral period on a tier 4 student visa, the School must implement regular supervision meetings and contacts in order to monitor attendance and maintain sponsor duties as the University has to be able to prove that the PGR is making progress in their studies and is in full time attendance. In these cases the normal attendance monitoring arrangements must apply with attendance/supervision meetings recorded and attendance and progress monitored as set out in the Attendance Monitoring Policy.

¹ For example where access to a particular piece of equipment is required

5. Role of the examiners during the referral period

**The Examiners must not take a supervisory role during the referral period
You must not send your thesis to the examiners for comment before resubmission**

If the Examiners' recommendation is that the thesis be referred, it is the practice for the original examining team to act again for the resubmission, except in exceptional circumstances.

The roles of examiner and supervisor must be transparently separated during the period between the first examination and the resubmission and the examiners must maintain independence from the work before it is resubmitted. For this reason, **the Examiners must not take a supervisory role during the referral period. You must not send your thesis to the examiners for comment before resubmission.** However, they may be required to provide clarification of the Notes for Guidance. You should consult with your supervisor in the first instance where clarification of the Notes for Guidance is required. The Supervisor may then, if appropriate, contact the Internal Examiner.

6. Registration during the referral period

During the referral period you are entitled to register with the University. No academic fees will be charged for this period of registration (although a resubmission fee is charged when the thesis is resubmitted – see section 8).

If you wish to register during your referral period you should contact the Student Records Section of Postgraduate Research & Operations (PGR&O) – rp_student@adm.leeds.ac.uk. Registration during this referral period is optional and can be taken up at any point during the referral period.

Postgraduate researchers who take up the option to register during the referral period are classed as registered whilst referred, awaiting re-examination, and are provided with a student ID card solely for the purpose of using the library and computing facilities during the referral period. Such PGRs are not classed as either full/part-time or overtime students during this period and will not therefore qualify for Council Tax exemption during this period. Further advice is available from the Student Advice Centre of Leeds University Union (LUU).

Examination entry and resubmission fees

7. Examination entry form

A minimum of three months before the thesis is resubmitted for examination you must enter for re-examination by completing the [Examination Entry Form](#). Once you have completed your part of the form, you should pass it to your supervisor to complete the remainder of the form. Normally the same team of examiners will act for the resubmission except in exceptional circumstances.

The form must be returned to PGR & Operations at least 3 months before the resubmission of the thesis. No thesis can be dispatched to the examiners until your form has been fully checked in PGR & Operations and formally approved by the Examinations Group. Entry forms received less than 3 months prior to thesis resubmission may delay the dispatch of theses to the examiners and the examination process. Therefore you should start thinking about the examination entry form early in the referral period. The form will remain valid for 12 months from the date of approval by the Examinations Group.

8. Resubmission fee

Once your resubmitted thesis is sent for examination the appropriate re-examination fee will be charged. Accounts Receivable will contact you about this. The resubmission fees for 2017/18 are as follows, however, please note that this fee is subject to an increase each academic year and candidates should contact [Student Finance \(Fees\)](#) at the appropriate time for details of the current fee levels:

Doctoral resubmissions (e.g. PhD, MD, EdD, DClinPsychol, DClinDent)	£ 425
MPhil resubmission	£ 305
Mastership by Research resubmission	£ 245

Resubmitting your thesis

9. Deadlines for resubmission

The referral period begins from the date the Report and Notes for Guidance are issued following approval by the Examinations Group. Resubmission must take place within the following time limits but you will receive official notification of your deadline for resubmission from PGR & Operations in the letter which is sent with your examiners' report and notes for guidance.

Doctoral resubmissions (e.g. PhD, MD, EdD, DCLinPsychol, DCLinDent)	within 18 months
MPhil resubmission	within 15 months
PhD submission referred for resubmission for MPhil	within 12 months
Mastership by Research resubmission	within 9 months

You should bear in mind that this is the maximum time limit for resubmission however you may resubmit at any point in the referral period, once the amendments have been made and the thesis ready for resubmission. You are strongly recommended not to submit against your Supervisor's advice although you have the right to do so. You should take the advice of your Supervisor whether or not to submit your work for examination. However, you are solely responsible for the decision to submit your work for examination.

If circumstances arise which may prevent you from resubmitting your thesis by your resubmission deadline you must draw these to the attention of your supervisor or Postgraduate Research Tutor at the time that events arise. In some cases a case for an extension to the resubmission period can be submitted by the Postgraduate Research Tutor. Further advice is given in the [policy on suspensions and extensions](#).

10. PhD resubmission for MPhil

A referred PhD PGR may, with the permission of the Head of School, choose to resubmit for the degree of MPhil. In the case the resubmission must take place within 12 months from the date of issue of the Notes for Guidance.

11. Resubmission process

<p>The thesis <u>must</u> be resubmitted for examination to PGR & Operations. Your resubmission <u>must not</u> be sent directly to your examiners</p>

The thesis **must** be resubmitted for examination to PGR & Operations² in either a soft or hard bound format but PGR&O strongly recommends that you resubmit for examination in soft bound format. **Your resubmission must not be sent directly to your examiners.** Your resubmitted thesis should be presented in accordance with the format and presentation requirements as set out in the [Guide to the thesis examination process](#). The date on the thesis should be the date of resubmission for re-examination (and not the date of the original submission).

12 Resubmission in person

You can resubmit your thesis for examination in person at the [Student Services Centre Counter](#) in the Ziff Building³. **You should download the [Thesis Submission Receipt](#) and fill this out in advance and bring it along with you at the time of submission.** The Thesis submission Receipt form includes a *Statement of Academic Integrity* which must be signed.

13. Resubmission by Post or by a third party

If you are not in Leeds you may resubmit your thesis by post or can arrange for a third-party to resubmit your thesis on your behalf at the [Student Services Centre Counter](#). A [Thesis Submission Receipt](#) must be completed and sent in with the thesis. You must ensure that your thesis is posted in sufficient time to ensure it is received in PGR&O on or before the maximum time limit for resubmission.

14. Numbers of Copies of the thesis

One copy of the soft bound thesis must be resubmitted for each examiner, therefore a minimum of 2 copies will be required but additional copies of bound theses must be provided where you have more than 2 examiners.

15. Document outlining how your revised thesis has responded to the notes for guidance

You must submit, alongside your resubmitted thesis, a brief summary of how your revised thesis has responded to changes listed by examiners in the Notes for Guidance. This will assist the Examiners when considering your resubmitted thesis. There is no set format for this document and you may present this in a format which best reflects the changes you have made.

16. Checklist: for the resubmission of the thesis for examination

² Following the process outlined in the [Guide to the thesis examination process](#)

³ [Counter opening times](#)

The following must be resubmitted at the Student Services Centre Counter (or by post):

- 2 soft bound copies of the thesis (additional copies of the thesis will be required if there are more than 2 examiners)
- A summary of how you have addressed/responded to the Notes for Guidance
- A completed [Thesis Submission Receipt](#) (Statement of Academic Integrity)
- Loose copies of any solely or jointly authored publications (one copy of the publication should be provided for each examiner)
- A pdf eThesis copy of the thesis in a pocket at the back of the each thesis (if you commenced doctoral study from September 2009.)

All PGRs awaiting re-examination may continue to use the University facilities, normally for a period of up to 6 months from the date of submission of the thesis. There is no charge for this. The arrangements for this are made at the time of thesis submission at the Student Services Counter and you can obtain a new student ID card.

Examination of your resubmitted thesis

17. Timescales for examination of a resubmission

Examiners are asked to accept a time scale of 3 months (from receiving the thesis) in which to complete the examination (including a second oral examination if required).

18. Examination of the resubmission

The resubmitted thesis is subject to the same process as the first examination⁴, with both the Internal and External Examiners required to examine the resubmitted thesis. Normally the same team of examiners will act for the resubmission, except in exceptional circumstances.

19. Second oral examination on resubmission

The Examiners may hold a second viva if they deem it appropriate. Your examiners will confirm whether or not a second viva is needed after they have considered your resubmitted thesis. Examiners may not recommend that the resubmission be failed or awarded a lower degree (i.e. award an MPhil on a PhD resubmission) without holding a second viva.

19.1 If a second oral examination is required

The procedure follows the first examination with the internal examiner responsible for making the arrangements. Please refer to the [Guide to the thesis examination process](#) for more detailed advice. An independent chair will be appointed in cases where a second viva is required.

The expectation is that the viva will take place in Leeds with all appointed examiners and the PGR in attendance. This will normally be scheduled within 3 months of dispatch of the thesis to the Examiners (6 months in the case of MD candidates). PGRs must make all reasonable efforts to attend for the viva in the normal period, for example making appropriate leave arrangements if in employment and visa/travel arrangements if travelling from elsewhere.

In the case of PGRs who must return from overseas for a second viva, examiners are asked, as far as is possible and reasonable, to allow sufficient notice and flexibility in the date of the viva to allow the PGR to make appropriate travel and visa arrangements. Should exceptional circumstances arise which might prevent you from returning to Leeds to attend for the viva in the expected period please contact your Postgraduate Research Tutor at the earliest opportunity. In some cases a case can be made to the Examinations Group for a short

⁴ Please refer to the [Guide to the thesis examination process](#) for more detailed advice

postponement to the viva. Please refer to the [Guide to the thesis examination process](#) for more detailed advice.

Please note that under University examination regulations, the examiners must not discuss their provisional findings with you at any point before the viva.

If a second oral examination is required the process for informing the PGR follows that for the first examination. This should normally take place after the viva but, in any event, must take place within 24 hours of the oral examination.

19.2 If a second oral examination is not required

If a second oral examination is not required, the internal examiner is asked to take steps to inform you (and your Supervisor(s)) of the recommendation the examiners are sending forward. The internal examiner will also let you know of any editorial and presentational corrections or minor deficiencies which require amendment. You should begin work on these immediately - you will not receive these details from PGR & Operations.

20. Outcomes following examination of a resubmitted thesis

After the examination has been completed the examiners must prepare their final report on the resubmission. The report is then considered by the Graduate Board's Examinations Group at one of its meetings (as for the first examination).

A second referral is not possible and you will either pass (subject in some cases to the correction of editorial and presentational corrections or minor deficiencies) or fail when the examiners consider the revised submission.

You will be given one of the following outcomes. Please refer to the [Guide to the thesis examination process](#) for more detailed advice on each of these and the steps required:

20.1 Pass (no corrections)

Where the resubmitted thesis satisfies the requirements for award and does not require any alterations.

20.2 Pass with editorial and presentational corrections

Where the resubmitted thesis satisfies the requirements for the award but is found to contain minor editorial errors (e.g. trivial errors, typographical errors, simple mistakes of fact or the insertion of headings or other 'signpost' material for the sake of clarity) which must be completed and returned to your Internal Examiner within 4 weeks.

20.3 Pass with minor deficiencies

Where the resubmitted thesis satisfies the requirements for the award but is found to contain minor deficiencies (e.g. rewriting of sections, correcting calculations or clarifying arguments and the correction of minor typographical errors) which must be completed and returned to your Internal Examiner within 12 weeks.

20.4 Fail

If the examiners' recommend that the thesis be failed there is no further opportunity to revise and submit the work. Examiners cannot make this recommendation without holding a second oral examination.⁵

20.5 MPhil award on a PhD submission

For PGRs who have resubmitted for the degree of PhD, it is also possible that the examiners may recommend the award of MPhil (which may be subject to the correction of minor errors or deficiencies) in cases where the candidate fails to achieve the standard for the award of a PhD but nevertheless satisfies the criteria for the award of the degree of MPhil⁶. Examiners cannot make this recommendation without holding a second oral examination.

21 Completing corrections and submitting the final thesis (after successful examination)

After successful examination of a resubmitted thesis you should begin to prepare the final version of your thesis by undertaking any corrections and returning these to your Internal Examiner within the required time period for checking.⁷ Once the corrections have been approved by your internal examiner, you must submit your final, hard bound thesis and deposit the PDF "eThesis" (if required).

The process to be followed in terms of corrections to the thesis and the presentation and binding requirements for the final thesis are outlined in detail in the [Guide to the thesis examination process](#). Candidates should ensure they have consulted this full Guide.

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⁵ In some circumstances PGRs may appeal against an adverse academic decision. Details of the procedure governing the consideration of PGR appeals can be found at: http://www.leeds.ac.uk/secretariat/student_cases.html.

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⁷ 4 or 12 weeks from the date you received the outcome of the examination and the details of the required corrections