Guide to the thesis examination process for Postgraduate Researchers (PGRs)

Including the requirements for the format and presentation of theses for research degrees

2016-17

This document covers theses submitted for examination for research degrees including, PhD, EdD, MD, DHSC, DClinDent & DClinPsychol, MPhil, MA, MSc, MSc(Eng), and MEd.
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Where separate policy documents are referred to in this Guide, these are published at http://students.leeds.ac.uk/info/103553/research_student_policies_and_procedures
(Select the ‘Regulations, codes, policies and procedures for postgraduate research’ page and then open the ‘Thesis submission and examination’ section to view the policies).

Where separate forms are referred to in this Guide, these are published at http://students.leeds.ac.uk/info/103553/research_student_policies_and_procedures
(Select the ‘Postgraduate research forms’ page and then open the ‘Thesis submission and examination’ to view all available forms).
Introduction

This *Guide to the thesis examination process for research degree candidates* is compiled annually by Postgraduate Research and Operations. It gives details of the thesis examination process for Postgraduate Researchers (PGRs) from examination entry through to oral examination and award of the degree. It sets out the University’s requirements for the format and presentation of theses submitted for research degrees, and offers advice about the different stages of the process, possible outcomes and the steps to be followed. It covers theses submitted for examination for research degrees only. For other degrees where it is a requirement of the programme of study that dissertations/reports be submitted in a prescribed form, advice should be sought from the School concerned.

Further support and advice about the research degree thesis examination process is also available in the *Postgraduate Researchers Handbook* and on the *Website*. All PGRs should consult their supervisor(s) for appropriate guidance in preparation for their oral examination (see section 2). You should, at an early stage in your candidature, make yourself aware of the criteria for award of the research degree programme for which you are registered. This is the criteria that will be used by the examiners when examining your thesis. The requirements and learning outcomes for research degrees are provided in the *Ordinance and Regulations and Programmes of Study*.

A range of support and training and development opportunities are available to those nearing the completion of their research degree. Workshops include ‘*The Final Stages of your Research and Thesis Presentation*’ (which includes guidance on the format regulations for thesis, eThesis and copyright issues, the process to submission and the options open to examiners following the viva) and ‘*Preparing for your Viva*’ (which reviews the purpose of the viva, the viva format and associated regulations, types of questions and an opportunity for participants to practice in responding to typical Viva areas of questioning). See section 2 for further guidance.

Practice-led PGRs should also consult their *Faculty’s practice-led protocol*! This sets out specific information relating to the submission and assessment of practice-led research degrees including the assessment of any live practice and the recording and format of the submission.

Disabled postgraduate researchers, and their supervisors and examiners, can access a wide range of support from *Disabled Students Assessment and Support*. The process for identifying and agreeing support and reasonable adjustments for the final oral examination is set out in a separate document (see section 2.6).

The Thesis Examination Section of PGR & Operations is happy to help with any queries about the presentation of your thesis or with the examination process in general. Please contact us by telephone on 0113 343 4003 or by e-mail to rp_examinations@adm.leeds.ac.uk.
Overview of the steps and timescales in the thesis examination process

During the final year of the standard period of study
- Attend any relevant workshops and consult this Guide in preparation for submission and examination.

Well in advance of the date you intend to submit the thesis (at least 4 months)
- Begin thinking about the process for examination entry and discuss arrangements with your supervisor

At least 3 months before you intend to submit - Enter for Examination
- You must fill out the Examination Entry Form and pass it to your Supervisor for completion.
- Your Supervisor will then approach potential Examiners. The form is then sent to PGR & Operations.
- The Examinations Group will review and approve recommendations for the examiners.

At the end of your standard period (but by no later than the maximum time limit) – Submit your thesis
- The thesis should be submitted at the end of the standard period of study but by no later than the maximum period of study for the degree on which you are registered.
- You must submit the correct number of copies of thesis at the Student Services Centre Counter

Within 3 months of your thesis being sent for examination - Attend for oral examination
- PGR & O checks the thesis and dispatches the thesis to examiners, normally within 2 working days.
- You must attend for an oral examination. The Internal Examiner makes the arrangements for this. The examiners are asked to accept a timescale of 3 months from receiving the thesis to complete the examination (6 months for MD)

Within 4 or 12 weeks of successful oral examination¹ – Complete any minor corrections to your thesis
- The examiners usually notify you of the recommendation after the viva but must do so within 24 hours
- The examiners must prepare their final examiners’ report, which is considered at the next Examinations Group meeting. In all cases the examiners’ recommendation is subject to final approval by the Group.
- If you passed subject to editorial & presentational corrections or minor deficiencies you must begin corrections immediately after the viva and return them to the Internal by the 4/12 week deadline.

Within 1 month of completing any corrections - Deposit your final thesis and eThesis (if required)
- The final hard bound version of the thesis (including any approved required corrections) must be deposited at the Student Services Centre by no later than 1 month after the internal examiner has given approval to the corrections. You may also be required to deposit a copy of your eThesis.

After deposit of the corrected thesis & approval by Examinations Group - Publication of Pass List
- Your name will be published on a pass list after deposit of the final thesis, confirmation from the internal examiner of any corrections, approval of the examiners’ report by the Examinations Group and payment of any outstanding tuition fees to the University

After your name has appeared on a pass list - Graduation
- Once your name has appeared on a pass list you will be eligible to graduate in absentia or at a ceremony (held in July or December). You must register your preference online.

¹ For other possible outcomes, including Referral/Fail – please see Section 6
Overview of the process from examination entry to award (flowchart)

PGR enters for examination by completing the Examination Entry Form and passing it to their supervisor so the examiners can be nominated & the form submitted to PGR&O (at least 3 months before thesis submission)

PGR submits copies of the thesis for examination to PGR&O (normally 2 soft-bound copies & eThesis copies)

PGR&O send the thesis out to the examiners (normally within 2 working days).

Internal Examiner makes the arrangements for the viva (normally within 3 months of receiving the thesis).

PGR attends for viva. Examiners reach recommendation & inform the PGR (within 24 hours). Examiners prepare their report & send to PGR&O to be considered at next meeting of the Examinations Group

Award (with minor errors / deficiencies)

PGR undertakes corrections of minor errors (within 4 weeks of viva) or minor deficiencies (within 12 weeks of viva)

PGR submits completed corrections to internal examiner (by 4/12 week deadline)

Internal examiner checks corrections and confirms approval to PGR&O (as soon as possible)

PGR discusses thesis retention arrangements with their supervisor to consider if an embargo on access to the final thesis in the Library is needed

PGR prints & hard binds final thesis & prepares eThesis (PDF)

PGR submits 1 hard bound copy of the thesis to PGR&O (within 1 month)

PGR uploads final eThesis (pdf) to WREO & completes online deposit form (within 1 month). Email notification sent to PGR&O, PGR and supervisor.

Pass list published by PGR&O (Usually weekly at 4pm on a Friday)

PGR&O send hard bound thesis to the Library

Thesis added to Library catalogue
EThesis released to White Rose ETheses online: http://etheses.whiterose.ac.uk/ (Unless embargo indicated)

PGR&O send confirmation of award of degree to PGR’s University email account (within 2 working days of pass list)

PGR is eligible to Graduate (Ceremonies in Dec/July or in absentia)

PGR&O send examiners’ report to PGR & supervisor (allow at least 4 weeks from Pass List)

Examiners’ Report considered & approved at the Graduate Board’s Examinations Group meeting (9 times per session). PGR&O carry out fees check.

Award (Pass no corrections)

Refer/Train – please see Section 6
1. Entering for examination (at least 3 months before you plan to submit your thesis)

1. Examination Entry Form

At least 3 months before you plan to submit your thesis for examination, you must enter for examination by completing the Examination Entry Form (sometimes called the “Pink Form”). On the form you will need to confirm whether you have been a member of University staff (as in some cases 2 external examiners might be required), provide information about any required ethical review of your research and also provide details of any solely or jointly authored publications you will be incorporating into your thesis. You will also be asked to confirm the title of your thesis. If the title you intend to use is different to that held in the records you should enter the new title on the Examination Entry Form. Your supervisor can review this in their section of the form.

1.1 Nomination and appointment of Examiners

Once you have completed your part of the form, you should pass it to your supervisor so that the school may approach intended examiners and complete the remainder of the form with recommendations for the appointment of examiners. The Graduate Board’s Examinations Group has agreed eligibility criteria for the appointment of examiners. At least one internal examiner and one external examiner will be appointed. In some cases the appointment of an independent chair may also be required. PGRs may be asked by supervisors for their views on individuals who might act as Examiners but the decision about the recommendations for appointment will be made in consultation between the supervisors and the Postgraduate Research Tutor (PGRT). The form is then passed to your PGRT for countersignature before being returned to PGR&O at least 3 months before the submission of the thesis. The form is checked in PGR&O and the names of the recommended examiners are forwarded to the Examinations Group of the Graduate Board for consideration. The final decision about the appointment of Examiners is made by the Examinations Group.

1.2 Timescales for the examination entry form

No thesis can be dispatched to the examiners until your examination entry form has been fully checked in PGR&O and formally approved by the Examinations Group. This is why the form should be sent to PGR&O at least 3 months before you intend to submit. Entry forms received less than 3 months prior to thesis submission may delay the dispatch of theses to the examiners and the examination process. Therefore you should start thinking about the examination entry form and discuss examination arrangements with your supervisor well in advance of this deadline, as it may take time to find suitable examiners who are available to examine your thesis. The form will remain valid for 12 months from the date of approval by the Examinations Group.

2 Practice-led PhD Candidates have separate arrangements - please see your Faculty protocol
2. Preparing for submission and examination

2.1 Timescale for submission

You should aim to submit your thesis within the standard period of study prescribed for the research degree programme upon which you are registered. However, you must submit your thesis for examination by the end of the maximum period of study (i.e. the maximum time limit) for your programme, as governed by the University’s regulations. Standard periods of study and overtime periods vary for different programmes of study. Please refer to the Research Student Handbook and the website for further advice on these matters.

2.2 The advice of the supervisor(s)

PGRs are solely responsible for the decision to submit their work for examination. However, you should always seek advice from your supervisor(s) before submission and are strongly recommended not to submit against the advice of the supervisor(s), although you reserve the right to do so, providing that the standard period of study for the degree has been reached and the maximum period of study has not been exceeded. You should make available to your supervisor(s), within an agreed timescale, the whole of the draft thesis for comment prior to submission. Your supervisor will read and comment on the whole of the draft thesis prior to submission, provided that it is submitted within a reasonable time.

PGRs must take responsibility for the work that they submit. The Graduate Board is clear that no PGR should think that the award of a degree is guaranteed simply because the supervisor has indicated general approval for the thesis before it is submitted.

Please refer to the Postgraduate Researchers Handbook for further advice on these matters.

2.3 Thesis preparation and viva workshops

A range of support is available to those nearing the completion of their research degree. Full details are available at http://www.sddu.leeds.ac.uk/research-innovation/post-grad-research-students/complete-on-time/. Workshops include:

- ‘The Final Stages of your Research and Thesis Presentation’ – Includes guidance on the format regulations for thesis, eThesis and copyright issues, the process to submission and the options open to examiners following the viva.

- ‘Preparing for your Viva’ – Reviews the purpose of the viva, the viva format and associated regulations, types of questions and an opportunity for participants to practice in responding to typical Viva areas of questioning.
It may also be helpful to note the following:

- Courses available through IT include Word for thesis (2 part course). [http://it.leeds.ac.uk/info/110/for_researchers/542/list_of_it_training_courses_for_researchers](http://it.leeds.ac.uk/info/110/for_researchers/542/list_of_it_training_courses_for_researchers)

- There is a range of support information available through the Library [http://library.leeds.ac.uk/researcher-phd-support](http://library.leeds.ac.uk/researcher-phd-support)

### 2.4 Mock viva

You should consult your supervisor(s) for appropriate guidance in preparation for your oral examination. A “mock viva” may be helpful for some PGRs, and if so, you should again consult your supervisors. The University provides all examiners with good practice advice on the conduct of the oral examination and you may also find it helpful to consult this advice when preparing for your viva.

### 2.5 Assessment criteria used by the examiners

You should, at an early stage in your candidature, make yourself aware of the criteria for award of the research degree programme for which you are registered. This is the criteria that will be used by the examiners when examining the thesis at the final examination stage. The requirements and learning outcomes for research degrees are provided in the Ordinance and Regulations and Programmes of Study.

For example, to qualify for the award of the degree of Doctor of Philosophy (PhD):

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**Criteria for the award of PhD**

To qualify for the award of the degree of PhD the student must meet the required learning outcomes for the degree and satisfy the examiners that their achievement is of sufficient merit and that their thesis contains evidence of originality and independent critical ability and matter suitable for publication through:

(a) presenting a thesis or alternative form of thesis as prescribed by the Regulations on the subject of his/her advanced study and research; and

(b) presenting him/herself for an oral examination and such other tests as the examiners may prescribe.

After the oral examination the examiners must produce a joint report which outlines their recommendation. You might find it helpful to look at the examiners’ report form which describes the criteria against which your examiners will be assessing your work.

For example, in the case of PhD (or other doctorate) the examiners are required to report to the University as follows:

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3 Included in the full Instructions to Examiners document
Questions in the PhD (or other doctorate) examiners’ report form

1. Briefly describe the nature and purpose of the investigation
2. Comment on the evidence of originality, with an indication of the nature of any such evidence (specific examples should be given):
3. Comment on the evidence of independent critical ability, with an indication of the nature of any such evidence (specific examples should be given)
4. Comment on the extent to which the thesis contains matter suitable for publication. The response should identify both the part(s) of the thesis containing material of publishable quality and cite instances of where the material has or might be published.
5. Comment on the written style and overall presentation of the thesis
6. Comment on the performance of the candidate in the oral examination

2.6 Supporting Disabled Postgraduate Researchers

Disabled postgraduate researchers, and their supervisors and examiners, can access a wide range of support from Disabled Students Assessment and Support. The process for identifying and agreeing support and reasonable adjustments for the final oral examination is set out in a separate document. This document, which is intended to provide a single point of reference for PGRs and staff in DSAS, Schools/Faculties and PGR&O:

- Summarises the routine adjustments with clear precedents which can be accommodated without prior approval by the Examinations Group.
- Provides examples of adjustments which may be facilitated with prior approval by Examinations Group, with a framework and timescale for consideration of these
- Summarises the support available to all PGRs in preparation for assessment.

There are time limits for the examination and it is therefore important that the need for reasonable adjustments is identified well in advance of the viva process to allow due consideration to be given prior to examination as to what those reasonable adjustments might be. It is recommended that discussions about any reasonable adjustments for the examination should begin as part of the examination entry process (at least 3 months before thesis submission) which will be 4-6 months prior to the expected viva date.

2.7 Academic Integrity

All PGRs are required to maintain high standards of academic conduct and, in particular, to avoid conduct amounting to the fabrication of research results or plagiarism. You must ensure that you have read and understood the published rules on plagiarism as contained in the Postgraduate Researchers Handbook. If you are in any doubt you should consult your supervisor(s). The University has procedures for the investigation of allegations of plagiarism⁴ identified in a thesis submission. Where the examiners suspect plagiarism within a thesis submission the matter must be immediately reported to PGR & Operations. The oral examination will be postponed, pending investigation of the allegation (the procedure is set out in the full policy document). Any PGR guilty of plagiarism may be expelled from the University at any time, or have their award revoked.

⁴ See under Complaints, Appeals and Disciplinary matters
3. Format and presentation requirements for the submitted thesis

The following requirements should be followed when preparing the temporary (soft) bound copies of the thesis to be submitted for examination. These regulations also apply to the presentation and format of the contents of the final hard bound copies submitted after successful examination (see sections 8 & 9).

3.1 Paper

A4 size paper must be used. Paper must be of good quality and of sufficient opacity for normal reading.

3.2 Text

The thesis must be written in English. Theses must be presented in a clear, standard font of 11 to 12pt size. Text must be clear and easily readable both in print form and when converted to pdf (in those cases where the thesis will also be provided in eThesis format). You should consult with your supervisor regarding any text/font conventions normally used in your discipline. Text that is in upper case only or in which some letters are non-standard is not acceptable as thesis text.

3.3 Lay-out

Margins at the binding edge must be not less than 40 mm and other margins not less than 20 mm. These guidelines have been provided by the Binders to ensure all text is readable once bound. Typing must be in double or one and a half line spacing (except indented quotations or footnotes where single spacing may be used). Either single or double-sided text is permitted, however the University would strongly recommend that you consider using double-sided text to reduce the overall size of the thesis (and avoid the need for 2 volumes). When producing double-sided text, please take particular care to fulfil all the requirements specified in these regulations, e.g. legibility, pagination and margin widths. Mixtures of single and double-sided text are not acceptable (excluding the title page).

3.4 Pagination

Pages of text and appendices must be numbered consecutively throughout the thesis, including photographs and/or diagrams where possible (see further requirements below). Page numbers must appear on each page, preferably at the centre of the top of the page.

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5 With the exception of research degrees in the modern languages, where, in certain circumstances approved by the Graduate Board, a thesis may be submitted in a language other than English.
3.5 Presentation of the title page

The title page must give the following information:\(^6\)

(a) The full-title of your thesis (and sub-title if any), as held in the University's records and submitted on the examination entry form;

(b) Your full name, as held in the University’s registration records, including any and all middle names\(^7\).

(c) "Submitted in accordance with the requirements for the degree of" with the name of the relevant degree added in full afterwards;

(d) "The University of Leeds" followed by either\(^8\)
   (i) the name of the School in which you were registered and supervised; or
   (ii) if you received formal supervision in two Schools (one of which was your parent registration School) you can include the names of both Schools if you wish; or
   (iii) the name of the appropriate academic Centre or Unit in which the research was conducted (after permission has been obtained from the Head of the School in which you were registered); or
   (iv) in the case of research students registered at accredited institutions (Leeds Trinity or York St John University) the "University of Leeds" followed by the name of the Institution together with the name of the school within the institution

(e) The month and year of submission for examination\(^9\);

(f) The volume if more than one;

\(^6\) You can find sample title pages on website
\(^7\) The presentation of your name in the records is normally expected to correspond with that shown in your passport or other legal documentation. This must include all middle names held in the University records. If the name in the University records is incomplete please contact PGR & Operations.
\(^8\) The name(s) of either one School or two Schools or one academic Centre should appear.
\(^9\) The thesis must show the month and year that the thesis is submitted for examination. The final, hard bound thesis must also show the month of year of submission for examination (and not the date the final, corrected copies are submitted)
Second Page (Intellectual Property and Publication Statements)

The second page of the thesis should give the following information:

(a) One of the following statements: either

(i) If there are no jointly authored publications from the thesis: "The candidate confirms that the work submitted is his/her/their own and that appropriate credit has been given where reference has been made to the work of others." Or

(ii) If there are jointly-authored publications which have been used in the thesis: 10 “The candidate confirms that the work submitted is his/her/their own, except where work which has formed part of jointly authored publications has been included. The contribution of the candidate and the other authors to this work has been explicitly indicated below. The candidate confirms that appropriate credit has been given within the thesis where reference has been made to the work of others.”

You must then also include on this page of your thesis: (a) details of which chapters are based on work from jointly authored publications; (b) details of the publications which have been used (e.g. title, names of authors, dates, journals etc.); (c) details of the work contained within these publications which is directly attributable to you; and (d) details of the contributions of the other authors to the work. 11

(b) A statement as follows: “This copy has been supplied on the understanding that it is copyright material and that no quotation from the thesis may be published without proper acknowledgement.” 12

(c) © <Year of Submission for examination> “The University of Leeds and" <your full name>

(d) Optional - Assertion of moral rights 13. If you wish to assert your moral right to be identified as the author of the work insert the following:

“The right of <your full name> to be identified as Author of this work has been asserted by <your full name> in accordance with the Copyright, Designs and Patents Act 1988.”

10 See the Guidelines on the Use of Solely or Jointly-Authored Publications within a Thesis Submission
11 PGRs in the Faculty of Environment submitting an alternative style of doctoral thesis including published material must also include on this page a brief rationale for submitting the thesis in the alternative format and a brief summary of how the thesis has been put together
12 See the Intellectual Property Rights Policy
13 Further advice can be found on the Library website
3.7 Acknowledgements page

This page should contain any acknowledgements to those who have assisted with your work. Where you have worked as part of a team you should include a specific statement as follows: “This research has been carried out by a team which has included (name the individuals). My own contributions, fully and explicitly indicated in the thesis, have been…….(please specify)” The other members of the group and their contributions have been as follows: (please specify)

3.8 Abstract

An abstract (summary) of the thesis of no more than 300 words should be included immediately after the “Acknowledgements page”.

3.9 Table of Contents and Lists of Tables and Illustrative Material

The table of contents should immediately follow the abstract. It should list in sequence, with page numbers, all relevant subdivisions of the thesis, including the titles of chapters, sections and subsections, as appropriate; the list of references (if any); the bibliography; the list of abbreviations and other functional parts of the thesis; any appendices; the index (if provided).

If the thesis comprises more than one volume, the contents of the whole thesis should be shown in the first volume and the contents of subsequent volumes in a separate contents list in the appropriate volume. Lists of tables and illustrations should follow the table of contents and should list, with pages numbers, all tables, photographs, diagrams, etc., in the order in which they occur in the text.

3.10 Abbreviations

Where abbreviations are used, a key must be provided.

3.11 Referencing Styles

You must use an established referencing standard in your thesis (examples include Harvard or Numeric or other recognised referencing style used within a discipline). It is important that you familiarise yourself with the referencing conventions used in your subject area and you should seek further advice from your Supervisors or PGRT on employing the correct academic conventions for referencing and citing work within your discipline. You may also find the information on the Library website helpful: http://library.leeds.ac.uk/skills-referencing.

3.12 Illustrative Material, Drawings, maps, photographs etc.

Illustrative matter should have a binding margin of at least 40 mm and, wherever practicable, be bound in the thesis near the appropriate text. Material that cannot conveniently be bound in the thesis should be included in a pocket inside the back cover. Photo-reduced tables and charts may be included in the thesis provided that the photo-reduced copies are of good-quality and in a form consistent with the need for clarity and legibility. The use of adhesives, glues and adhesive tape
should be avoided. If your thesis includes particularly numerous or coloured illustrations or you wish supporting documentation (which does not form part of the thesis) to be retained with the thesis (subject to the requirements in 3.14 below) you should discuss the most appropriate form for the retention of this material with your supervisor(s). Relevant staff in the Library will also provide advice.

3.13 Presentation of your name on the thesis

You must register with the University using your legal name (i.e. the name shown in your passport or other legal documentation) and you must use this registered name on your thesis. This is very important in terms of any future requests the University receives to verify the award of your degree. Your name must be presented in full on the title page, including any and all middle names which are held in the University’s records. The spine of the final, hard bound thesis should include all your initials plus your surname (see Section 8). If you wish to change your name from that used when you first registered with the University you must bring supporting evidence that the new name is valid to the Student Services Centre Counter. Such evidence includes a birth or marriage certificate, deed poll, etc. International PGRs must bring their passports.

3.14 Inclusion of Supplementary Data/Information with the thesis

You may include a CD of supporting supplementary material within your thesis submission for examination. This should be used in exceptional circumstances only, where it is considered that it may be important for examiners to have access to supporting material. A Supplementary CD should not be used for material that is essential reading for the examiner in order for them to reach a considered evaluation of the work.

Where it is necessary to include a CD containing supplementary data/information alongside the printed thesis you will need to indicate this at the time of entry for examination by submitting the separate CD form. In such cases, you will be required to confirm that there is no requirement for the examiners to refer to the CD, although they may do so if they wish, and the thesis will stand alone and be intelligible and examinable without the CD. Where a CD does not meet this requirement, the Supervisor is asked to forward a case for inclusion of the CD in advance of the thesis submission, for consideration by the Examinations Group.

3.15 Practice-led research degree submissions

PGRs registered for a practice-led research degree must also consult their Faculty’s practice-led protocol. This document sets out specific information relating to the submission and assessment of practice-led research degrees including the assessment of any live practice and the recording and format of the submission.
The Graduate Board wishes to encourage all PGRs to publish their work and disseminate their results, either before or after submission of a thesis. The Board has issued guidance upon the use of published work within a thesis (which has been carried out during the course of the candidature). This is intended to provide PGRs with further information on identifying the contribution of others to the work contained within the thesis. This is especially important when chapters might have been based on jointly authored publications as the examiners will need to be able to clearly identify the work directly attributable to the PGR to determine whether there is a substantially original contribution by the PGR and whether this contribution is at the appropriate level to merit the award of the degree.

Where work, which has formed part of a solely or jointly authored publication, is to be included within a thesis (as outlined in the full policy), you must declare your intention to use this work on the appropriate section of the examination entry form. PGRs are required to confirm:

- Which chapters of the thesis will include work which has been published in solely or jointly authored publications
- Details of the publications (e.g. title, authors, publication etc.).

And, in the case of work from jointly authored publications, PGRs are also required to provide:

- An outline of their contribution to the paper and that of the other authors to the work.
- A signature of one of the other authors to the paper is required to confirm the information supplied (in most cases this is the Supervisor).

This will be copied and included with the paperwork sent to the examiners with the thesis. Further detail is given in the Guidelines on the Use of Solely or Jointly-Authored Publications within a Thesis Submission.

If you have used in your thesis work which has been published in a solely or jointly authored publication then you must also provide loose copies of the publications alongside the copies of the thesis submitted for examination. A copy of each publication must be provided for each examiner. Publications should not be provided alongside (or bound into) the final, corrected, hard bound copies of the thesis (or eThesis).

3.17 Alternative style of doctoral thesis including published material (Faculties of Environment and Engineering only)

This model of submission is currently only available to doctoral PGRs registered in the Faculty of Environment or the Faculty of Engineering. Doctoral PGRs in these Faculties who wish to consider this route to submission must first discuss this with their Supervisory team. This model of thesis can only be submitted where the supervisory team supports this format of submission and is satisfied it is appropriate and meets the protocol in place for that Faculty. For further information, please consult the relevant Faculty protocol.
3.18 Length of Thesis

During the examination of your thesis your examiners will be considering both the quality and value of your work and the way in which you have chosen to present your review, results, arguments and conclusions. Your ability to express your findings in a clear and concise manner will be under examination and excessive length or too discursive a style will be judged a weakness. Your supervisor is, of course, best placed to advise you on the desirable length and form of your submission within the University’s limits.

The University expects that theses will normally not exceed the following maximum lengths:

<table>
<thead>
<tr>
<th>Degree Type</th>
<th>Maximum Words</th>
<th>Pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>MA, MSc, MSc(Eng) and MEd</td>
<td>30,000</td>
<td>100</td>
</tr>
<tr>
<td>MPhil</td>
<td>60,000</td>
<td>200</td>
</tr>
<tr>
<td>PhD (including Integrated PhD &amp; Master)</td>
<td>100,000</td>
<td>300</td>
</tr>
<tr>
<td>EdD</td>
<td>55,000</td>
<td>185</td>
</tr>
<tr>
<td>DClinDent</td>
<td>50,000</td>
<td>170</td>
</tr>
<tr>
<td>DHSC</td>
<td>50,000</td>
<td>170</td>
</tr>
<tr>
<td>MD</td>
<td>80,000</td>
<td>250</td>
</tr>
<tr>
<td>DClinPsychol</td>
<td>40,000</td>
<td>135</td>
</tr>
</tbody>
</table>

Please note that the above limits include all appendices & footnotes but not bibliographies/reference lists. Many Schools will expect theses to be substantially shorter than these limits and your own School may well have its own stipulated maximum. The page/word limits stated here do not cover the written submission of a practice-led research degree. Please see the Practice-led protocol for further advice.

3.19 Extensions to the maximum length of theses

It is accepted that in some disciplines it may be necessary to exceed the stipulated limit in individual cases. If you believe you cannot avoid exceeding the above maximum length, or the maximum length specified by your School, you should talk to your Supervisor and then, if necessary, the Postgraduate Research Tutor will seek approval from the Graduate Board for submission of a thesis which exceeds the stated limits. However it remains open to the examiners to reach an academic judgement on the thesis as a whole and whether the additional length is justified or should be reduced as part of any corrections to the thesis. It is therefore in your own interests to consider the question of overall length during the initial stages of thesis preparation.

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14 The page limits given here are an approximation based on you having presented your thesis (text size, spacing) in accordance with these regulations. If your thesis is longer than the page limit but still within the word limit the School should send confirmation (including the word count) to rp_examinations@adm.leeds.ac.uk

15 DClinPsychol only: In exceptional cases, with the approval of their supervisor(s), candidates may include appendices (up to 20,000 words maximum) which will not be counted towards the overall word length of the thesis.
3.20 Format of the Temporary Binding (for the oral examination)

It is normal practice to submit a thesis for the oral examination in a temporary (soft) binding, with submission of the thesis in the final, hard bound format taking place after a successful examination and when any corrections identified by the examiners have been completed. The thesis for examination should be submitted in a temporary (soft) binding cover, which has either a glued spine or has been stitched into covers as follows:

(i) The temporary glued spine or stitched binding must be carried out by a book binder;

(ii) A4 size paper should be used and all text presentation, lay out, title pages, pagination, table of contents, tables, etc., should meet the regulations set out in 3 above;

(iii) The outside front cover should be green card (hi-speed board - emerald 230 mic or similar material and colour used by our recognised binders).

(iv) The outside of the cover should show your initials & surname, School(s), degree and year of submission. This information can be printed onto a sticker/label and applied to the front cover of the thesis. You are not required to include any information on the spine of your soft bound thesis.

Please note that a ring, spiral-bound or loose leaf binder is not an acceptable form of submission for examination.

3.21 Binders

The University’s Print and Copy Bureau (PCB) can produce soft bound theses, which meet the above regulations. The Print & Copy Bureau is also able to facilitate the production of hard bound theses\textsuperscript{16}. They are located on level 6 of the Roger Stevens Building, Telephone 0113 343 2668, email pcb@leeds.ac.uk.

To order the soft binding of your thesis you can:

- Bring your printed thesis to PCB
- Use the Print Cloud (web site http://pcb.leeds.ac.uk) (PDF is required)
- Email your thesis to PCB binding (PDF is required)

PCB will confirm the price once they have received the pdf (unless you order your thesis via the print cloud). Prices are available from the PCB website http://pcb.leeds.ac.uk. Payment must be made before the thesis can be printed and bound. Payment can be made in person or by phone 0113 343 2668\textsuperscript{17}.

\textsuperscript{16} The regulations for the presentation of the hard bound theses are set out in section 8 of this document

\textsuperscript{17} PCB will require the long card no. expiry date and 3 digit security code on the reverse. Arrangements can be made to pay via Pay Pal after PCB have confirmed the price.
You need to plan the printing and binding of your thesis well in advance of your maximum time limit to ensure that the work can be completed within the required time in order for you to meet your maximum time limit for submission of the thesis. You should not leave the printing and binding of your thesis to the last day of your maximum period of study.

You should aim to place your order with Print and Copy Bureau by no later than 48 hours before your maximum time limit for submission to ensure that printing and binding can be completed within the required time in order for you to meet your maximum time limit for submission of the thesis. The end of each month is particularly busy for thesis printing and binding - especially the end of September.18

Please contact PCB directly for further advice (email pcb@leeds.ac.uk or telephone: 0113 343 2668). PCB are open Monday to Friday except when the University of Leeds is closed.

18 Glued soft binding takes 2 -3 hours. At other times of the year PCB are able to offer a same day service but the order must be placed by no later than 2pm in order to receive the thesis back for collection before 5pm
4. Submitting your thesis for examination

4. Process for submission

Submission of the thesis for examination must be made to PGR & Operations at the Student Services Centre Counter. Theses must not be sent directly to the examiners.

PGRs are solely responsible for the decision to submit their work for examination and for the thesis which is submitted. You must check the copies of your thesis thoroughly before you submit them for examination. Once you have submitted your thesis you cannot then subsequently change or amend it, even if you spot issues with the presentation or printing or if you find that you mistakenly submitted a draft version. Substitute versions of theses, additional pages or supplementary material cannot be accepted after submission of the thesis and these must not be sent directly to the examiners. This applies in all cases, irrespective of whether the thesis was submitted for examination on or before the maximum time limit for submission.

4.1 Submission in person

You can submit your thesis for examination in person at the Student Services Centre Counter in the Ziff Building. A Thesis Submission Receipt will be provided at the counter at the time of submission, but can be downloaded and filled out in advance and brought along at the time of submission. The Thesis submission Receipt form includes a Statement of Academic Integrity which must be signed.

4.2 Submission by Post

If you are not in Leeds you may submit your thesis by post (or arrange for a friend to submit at the Student Services Centre Counter on your behalf). A Thesis Submission Receipt should be obtained from the PGR & Operations web site, 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 & Operations on or before the maximum time limit for submission.

4.3 Numbers of Copies of the thesis

One copy of the soft bound thesis must be provided 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. A further copy of the thesis (which may be unbound) should be brought to the oral examination for your own use. You may also wish to print other copies for your supervisors’ use.

19 Counter opening times
4.4 Deadline for Submission

You should aim to submit your thesis within the standard period of study prescribed for the research degree programme upon which you are registered. However, you must submit your thesis for examination by the end of the maximum period of study (i.e. the maximum time limit) for your programme, as governed by the University’s regulations. Standard periods of study and overtime periods vary for different programmes of study. Please refer to the Postgraduate Researchers Handbook for further advice.

You are bound by your maximum time limit for submission of the thesis. Where the maximum time limit for submission falls on a day when the University is closed as a consequence of a holiday period (for instance a Bank Holiday), the deadline for submission of a thesis to PGR & Operations will be no later than the end of the next working day. The concessions agreed by the Graduate Board to cover University closed days during this session are published on the website.

This does not apply where the maximum time limit falls on a Saturday or Sunday. If your maximum time limit for submission falls on a Saturday or Sunday, you will be required to submit your thesis to PGR & Operations on or before the last available working day before your maximum time limit.

4.5 eThesis submission at the examination stage

If you are a doctoral PGR and you started your studies in or after September 2009 you must provide with each copy of the printed thesis an exact copy of the thesis in PDF format (preferably on a CD but other media is accepted e.g. DVD/USB). The pdf copy will be sent to your examiners alongside the soft bound copy. If you started your studies before September 2009 you are strongly encouraged to include a pdf copy with the printed thesis. MPhil and Mastership by Research PGRs are exempt from this requirement.

4.6 Checklist: for the submission of the thesis for examination

The following must be submitted to PGR&O 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 completed Thesis Submission Receipt (Statement of Academic Integrity) - either downloaded in advance or provided by the counter staff at the time of submission
- 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 with each printed thesis (if you commenced doctoral study from September 2009.)

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Please contact PGR&O in advance of your thesis submission if there are any concerns with this, for example if there are confidentiality or commercially sensitive issues with your research.
4.7 Dispatch of your thesis to your Examiners

Your thesis will be sent out to your Examiners normally within 2 working days of submission providing that your thesis meets the University’s requirements and your examination entry form has been approved by the Examinations Group.

PGR & Operations will send an email to your University account to confirm that your thesis has been sent out to your examiners and will include advice about the next stages in the process.

If PGR & Operations has only recently received your examination entry form (or your form has not yet been received), if there are any issues with the length or formatting of the thesis there will be a delay in sending your thesis out for examination.

4.8 Use of University facilities whilst awaiting the oral examination

All PGRs awaiting 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. This will ensure that you are able to make use of University facilities whilst preparing for the oral examination and also for a short period after examination when you may be required to make minor amendments or correct stated minor deficiencies to your thesis. It will also assist with preparation of papers for publication.

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. Once your name has appeared on a University Pass List the student card will no longer be valid for use.21 If there is a delay in your examination which means you need access for longer than 6 months please contact PGR & Operations (rp_examinations@adm.leeds.ac.uk)

4.9 Communication from the University during the examination period

Postgraduate Research and Operations will send you emails at various stages in the process of your examination. These will be sent to your University/ISS email account. You must check this account regularly for updates and information.

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21 ISS accounts remain active for 90 days after publication of the pass list. See the IT pages for further advice. [http://it.leeds.ac.uk/info/77/managing_your_account/143/what_happens_when_you_graduate](http://it.leeds.ac.uk/info/77/managing_your_account/143/what_happens_when_you_graduate)
PGRs can apply for a graduate card with the Library: [http://library.leeds.ac.uk/membership#graduates_of_the_university_of_leeds](http://library.leeds.ac.uk/membership#graduates_of_the_university_of_leeds)
5. The oral examination

5.1 The oral examination

All PGRs are required to submit for an oral examination also known as a viva. The oral examination is an important part of the examination process. The purpose of the oral examination is to ensure that the work submitted for examination reaches the University standards for the degree, that you have written the work submitted and that you understand the work you have submitted.

The University does not have specific regulations regarding the length of the oral examination or what should be discussed except that the thesis should be discussed with you. Some Examiners will also wish to satisfy themselves of your general level of understanding of the subject area. The oral examination also gives you the opportunity to answer questions in areas where the Examiners are not satisfied; e.g. for a Doctoral degrees evidence of originality and independent critical ability is required and, where the evidence in the thesis is not compelling, the Examiners may use the oral examination to encourage you to provide convincing evidence that the stated criteria can be met. **The examination must be conducted in English.**

Additional tests may also be set by the Examiners. One purpose of these tests might be to establish that the thesis is your own work. This could include a short presentation to the examiners at the start of the oral examination. A copy of the thesis (which may be unbound) should be brought to the oral examination for your own use. You are not permitted to bring to the oral examination any device containing a digitized copy of the thesis. Unless required for the purposes of a presentation/demonstration by the candidate, the use of electronic equipment/devices during the oral examination by candidates or examiners is not permitted.

5.2 Preparing for your oral examination

You should consult your supervisor(s) for appropriate guidance in preparation for your oral examination. A “mock viva” may be helpful for some PGRs, and if so, you should again consult your supervisors. Section 2 of this document outlines a number of sources of advice in preparation for your oral examination, including the training opportunities for postgraduate researchers available.

5.3 Arrangements for your oral examination

Once the examiners have received your thesis they are asked to accept a timescale of 3 months in which to complete the oral examination. Detailed arrangements for the oral examination, which is normally held in the parent school, are made by the Internal Examiner. The School/Examiners are

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22 The University does provide all examiners with good practice advice on the conduct of the oral examination and you may find it helpful to consult this advice when preparing for your viva.

23 With the exception of research degrees in the modern languages, where, in certain circumstances the viva might, with the agreement of the examiners, be conducted in a language other than English.

24 Your copy of the thesis may be annotated or referenced with e.g. post-it notes, for example to mark editorial errors you have spotted when re-reading the thesis or help you find sections quickly.
expected to take account of known religious observances when arranging the oral examination. PGR&O does not make these arrangements.

5.4 Timescales for the oral examination

PGRs must bear in mind that the examination of theses can take some time. **You should plan for a period of around 6 months from the date of submission.** Your thesis will be sent out to your Examiners normally within 2 working days of submission, providing that your thesis meets the University’s requirements and your examination entry form has been approved by the Examinations Group. Once the examiners have received your thesis they are asked to accept a timescale of 3 months in which to complete the oral examination. If you are successful in the examination, there could be a further period after this when you will be required to undertake minor corrections to the thesis (up to 12 weeks).

5.5 Attendance for the oral examination

The University requires PGRs to be in attendance in person for their oral examination. It is expected that you will present for the oral examination which 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 oral examination in this period, for example making appropriate leave arrangements if in employment and visa/travel arrangements if travelling from elsewhere. Should exceptional circumstances arise which might prevent you from attending for the oral examination in this period please contact your Postgraduate Research Tutor at the earliest opportunity.

No award of a research degree can be considered unless the oral examination is completed. If circumstances arise which prevent you from attending your oral examination you must provide a valid reason supported by documentary evidence (for example a medical note in the case of illness). Cases will be considered by the Graduate Board’s Examinations Group. If you are able to provide a substantiated valid reason for your unavailability/absence permission may be given to delay, postpone or reschedule an oral examination. However, if you are unable to provide a substantiated valid reason, this may result in you being withdrawn from the University with no further opportunity to complete the oral examination.

No PGR will normally be granted a period of postponement to the oral examination of more than 12 months from the date the thesis is sent out to the examiners (15 months in the case of MD). Bearing in mind that examiners may become unavailable for various reasons, and a topic, once original may not remain so indefinitely, it is extremely unlikely that a request for a postponement to the oral examination exceeding these periods will be granted.

If you are studying on a Tier 4 visa, and your oral examination is scheduled outside of 3 months from submission of your thesis, the University may not be able to continue to sponsor you to remain in the UK whilst you are ‘awaiting examination’. In this instance you should contact the International

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25 If PGR & Operations has only recently received your exam entry form (or your form has not yet been received) there will be a delay in sending your thesis out which may delay arrangements for your viva.
Student Office for advice. Those PGRs who have submitted their thesis and are preparing for their viva must continue to attend to the satisfaction of their School.

5.6 Attendance of your Supervisor at the viva

You may invite one of your supervisors to attend the oral examination as an observer. Your supervisor may only attend with your prior permission and must respect your wishes on this matter. If attending as an observer, your supervisor may not participate in the examination and takes no part in the academic judgement and the decision making process. They must leave the room after the examination (along with you) so the examiners can discuss their recommendation. The examiners have the right to ask the supervisor to leave the examination if they believe their presence may jeopardise the smooth running or integrity of the examination. Those present at the examination will be the PGR, the external examiner(s), the internal examiner(s), the independent chair (if appointed) and one of the supervisors (as an observer if it is decided that they should be present). If you have more than one supervisor, only one supervisor is permitted to attend the examination. If they are not going to be present as an observer the supervisor is required to be available for consultation if necessary (ideally in the School but contactable by telephone is acceptable).

5.7 Attendance of an independent chair

In some circumstances an independent chair may be appointed. The role of the independent chair is to ensure that the examination is conducted fairly and professionally, and in accordance with University regulations. The independent chair is not expected to be an expert in the subject area, although they should be from a cognate discipline. As such the independent chair is not expected to read the thesis or play a role in academic examination or question the candidate on the work being examined at the oral examination. Further details are given in the Criteria for the appointment of examiners and independent chairs.

5.8 ‘Mitigating circumstances’ for PGRs

For postgraduate researchers, the Graduate Board accommodates ‘mitigating circumstances’ by considering a period of suspension or extension of study which will lengthen the overall candidature and delay the deadline for submission of the thesis for examination\(^\text{26}\). For research degrees there can be no “mitigating circumstances” with the criteria for award. In order to be eligible for the award of the degree, all PGRs must complete an oral examination and the thesis submitted for examination must meet the stated criteria for award of the degree and the specified learning outcomes must be met. Any mitigating circumstances which may have affected the PGR during their period of study should not be taken into account as part of the assessment of the thesis and should never lead the examiners to award a research degree where the work is not felt to be of the appropriate standard. However such factors might be taken into account when determining whether any reasonable adjustments to the examination process should be considered, for example in the case of a disability, or in terms of what support may be needed in order to complete any amendments to the thesis after the examination.

\(^{26}\) See the full suspension and extension policy
6. The result of the examination

The result of the examination should be given informally to you, normally after the oral examination but within 24 hours of completion of the oral examination. **You will be given one of the outcomes outlined below**\(^{27}\).

6.1 Pass (no corrections)

If you have met the learning outcomes, and the thesis satisfies the requirements for award and does not require any alterations, the examiners may recommend the award of the degree without corrections. You must submit your final, hard bound thesis to PGR&O and upload a copy of your pdf ‘eThesis’ format within 1 month of your oral examination.

6.2 Pass with editorial and presentational corrections

If you have met the learning outcomes for the programme, and the thesis satisfies the requirements for the award of the degree 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) the examiners may recommend the award of the degree subject to editorial and presentational corrections. You should then begin work on these corrections immediately. You will not receive these details from PGR & Operations. Your corrections must be completed and returned to your Internal Examiner, normally within 4 weeks from the oral examination. You must then submit your hard bound thesis and upload a copy of your pdf ‘eThesis’ format within 1 month of your internal examiner approving your corrections.

6.3 Pass with minor deficiencies

If you have met the learning outcomes for the programme, and the thesis satisfies the requirements for the award of the degree but is found to contain deficiencies which are genuinely minor in nature (e.g. rewriting of sections, correcting calculations or clarifying arguments and the correction of minor typographical errors) the examiners may recommend the award of the degree subject to correction of minor deficiencies. The examiners are asked to provide the details of the corrections directly to you in writing within 1 working day of the viva. You should then begin work on these immediately. You will not receive these details from PGR & Operations. Your corrections must be completed and returned to your Internal Examiner, normally within 12 weeks from the oral examination. You must then submit your hard bound thesis and upload a copy of your pdf ‘eThesis’ format within 1 month of your internal examiner approving your corrections.

\(^{27}\) Mastership by Research and MPhil degrees may be awarded with distinction; this is not possible with other research degrees. However, where examiners identify doctoral candidates who have submitted an **excellent thesis** a recommendation can be made by the examiners for a letter recognising this outstanding achievement from the Dean of PGR Studies.
6.4 Referral for resubmission

The 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. It is expected that the candidate will be able to complete the alterations within a reasonable time. A thesis may also be referred in circumstances where the PGR does not completely satisfy the examiners through their performance at the oral examination that the award of the degree is justified at this stage.

If the examiners recommend referral you will be required to revise your thesis, which may entail further research or any other activity required by the examiners, and resubmit this to PGR&O for re-examination. In addition to their report, the examiners are required to prepare ‘notes for guidance’ which outline the changes required. The examiners’ report and notes for guidance will be issued to you by PGR&O after approval by the Examinations Group. More detailed information covering the referral and resubmission process is available on the website.

6.5 MPhil award on a PhD submission

This recommendation applies to those PhD PGRs who fail to achieve the standard for the award of a PhD but who nevertheless satisfy the criteria for the award of the degree of MPhil. The examiners’ report will provide reasons why this decision has been reached and this will be sent to you by PGR&O after approval by the Examinations Group.

6.6 Fail

If the examiners’ recommend that the thesis be failed there is no further opportunity to revise and submit the work. In their report the examiners must clearly explain their reasons for not recommending the award of a degree and this will be sent to you by PGR & Operations after approval by the Graduate Board’s Examinations Group.

6.7 Graduate Board’s Examinations Group

After the viva the examiners must produce a joint report which outlines their recommendation. The recommendation of the examiners is subject to confirmation by the Graduate Board’s Examinations Group which must consider the report at its next meeting. In some cases the Group may request further information from your examiners before giving final approval to the report. A copy of the approved examiners’ report will be emailed to your University email account (and your supervisor) by PGR&O after your name has appeared on a pass list. Please allow a period of at least 4 weeks from the date of the pass list for the report to be sent.

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28 In some circumstances PGRs may appeal against an adverse academic decision. The procedure governing the consideration of PGRs appeals can be found at: [http://www.leeds.ac.uk/secretariat/student_cases.html](http://www.leeds.ac.uk/secretariat/student_cases.html). PGRs seeking advice and support in the preparation of an appeal may contact the Student Advice Centre of the Leeds University Union where experienced staff are available to provide guidance.
7. Completing corrections to your thesis (after successful examination)

7.1 Correcting any presentational and editorial corrections or minor deficiencies

After successful examination you should begin to prepare the final version of your thesis by undertaking any corrections and returning these to your Internal Examiner within the normal time period (4 or 12 weeks). Individual pages of the thesis must be fully corrected and it is not possible to simply provide an errata page. You must also ensure that the thesis abstract remains appropriate. You are advised to consult with your Supervisor(s) throughout this process. The Internal Examiner does not take a supervisory role during the correction period. They may, however, provide clarification of the corrections required. You should consult with your supervisor in the first instance and, if appropriate, your supervisor may contact the Internal Examiner for further clarification.

7.2 Approval of your corrections by the Internal Examiner

Once the corrections have been completed you must submit these to your internal examiner for checking. The external examiner must be consulted on the corrections if they wish. To assist in the process of checking and approving the corrections it is strongly recommended that you provide your internal examiner with information outlining what corrections you have made, along with your corrected thesis. This could be in the form of tracked changes or supplied as a separate list. You should check with your internal examiner what format they would prefer. Once your internal examiner has approved the corrections they should notify PGR & Operations by email to rp_examinations@adm.leeds.ac.uk

At this point you can have the final thesis printed and hard bound in accordance with Section 8 below. Any PDF “eThesis” to be deposited with the University can also be prepared (see Section 9).

7.3 Extensions to the correction periods

If you experience any problems completing and returning the corrections to your internal examiner by the 4/12 week deadline you must draw this promptly to the attention of your supervisor or Postgraduate Research Tutor. In exceptional circumstances the Examinations Group may consider a short extension to a correction deadline. Further advice can be found in the suspension and extension policy.

29 Students working on corrections may still have contact with their supervisor and must continue to attend to the satisfaction of their School
8. Preparing & submitting your final thesis (after successful examination)

8.1 Preparing your final thesis (after successful oral examination)

All PGRs must submit their successful thesis for retention in the Library in hard bound format. If you are a doctoral PGR and you started study in or after September 2009 you are required to submit your successful thesis for retention by the Library in both hard bound form and also in electronic, pdf, form (the “eThesis”). If you are a doctoral candidate and you started study before September 2009 you are strongly encouraged to submit an eThesis, in addition to the hard bound copies. **MPhil and Mastership by Research PGRs must submit their final thesis in hard bound format only and are exempt from the eThesis arrangements.**

8.2 Format of the hard bound thesis (and eThesis) contents

The final version of the thesis must be produced in accordance with the regulations set out in Section 3 above (**Format of Thesis Contents**) which also applied to the soft bound thesis submitted for examination, including paper, text size, pagination etc.

8.3 Format and presentation of the hard bound covering

The binding must be of a fixed kind in which the leaves are permanently secured and must be in the standard, hard bound format for theses at the University of Leeds. The covering must be in the standard form of dark green cloth (Arbelave 563 or similar material and colour used by our recognised binders). Lettering on the binding of the thesis must be in gilt, embossed (blocked) into the cloth as follows:

| Cover title: | the outside front cover must bear only the title of the thesis in at least 18 pt. (5 mm) lettering |
| Spine title: | the spine should include only the following in 18 pt. (5 mm) lettering: |
| (i) | all the initials and the surname of the PGR; |
| (ii) | the School(s) (or appropriate academic Centre as shown on the title page - see Section 3 Title Page [e] above); |
| (iii) | the qualification for which the thesis is submitted in abbreviated form; |
| (iv) | the year of submission for examination. |

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30 Where necessary a smaller point size may be used
31 The presentation of your name must correspond to the name held in the University’s registration records, including forename and all middle names.
32 For research students registered at an accredited institution your name should be followed by the name of the institution and the Department. If there is insufficient space the Department may be omitted.
33 Abbreviated as follows, either: PhD, EdD, MD, DClinPsychol, DClinDent, MPhil, MSc, MSc(Eng), MA
34 Or resubmission where the thesis is submitted following re-examination after referral
The lettering on the spine should read from top to bottom, i.e. so as to be readable when the volume is lying flat with the front cover uppermost. If the work consists of more than one volume, the spine should also bear the number of each volume. An example of the spine and abbreviations to be used can be found on the website. Sample theses can also be viewed in PGR&O.

The University’s Print and Copy Bureau (PCB) can help with binding your thesis according to these requirements. They also offer an on-line service if you are no longer in Leeds. To order your hard bound thesis you can:

- Bring your printed thesis to PCB
- Use the Print Cloud (web site http://pcb.leeds.ac.uk) (PDF is required)
- Email your thesis to PCB binding (PDF is required)

PCB will confirm the price once they have received the pdf (unless you order your thesis via the print cloud). Payment must be made before the thesis can be printed and bound. Payment can be made in person or by phone 0113 343 2668. Please contact PCB directly for further advice (email pcb@leeds.ac.uk or telephone: 0113 343 2668).

Theses are collected from PCB for hard binding on a Tuesday and a Friday afternoon:

- A thesis for binding brought into PCB before 12pm on a Tuesday will normally be available for collection after 3.30pm on the following Friday.
- A thesis for binding brought in before 12pm on a Friday will normally be available for collection after 3.30pm on the following Tuesday

If you are no longer in Leeds you can make arrangements for a member of PGR & Operations to collect your hard bound thesis from PCB on your behalf. Please email the thesis examination section to make arrangements (rp_examinations@adm.leeds.ac.uk).

8.4 Submitting your hard bound thesis

One copy of the final, corrected hard bound thesis must be submitted to PGR & Operations. This copy will be sent to the University Library after your name has appeared on a pass list. Some Schools also hold a copy of the final thesis in a local library or with the Supervisor. You must check with your School/Supervisor whether a second hard bound copy of the thesis is also required for these purposes. If a second copy is required this must be provided and failure to do so will

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35 PCB will require the long card no. expiry date and 3 digit security code on the reverse. Arrangements can be made to pay via Pay Pal after PCB have confirmed the price.

36 Times may vary during Bank Holiday weekends, Easter and Christmas breaks. To confirm, please contact PCB directly.
delay the award of your degree. Arrangements for deposit of any required second copy should be made directly with your Supervisor or School/Faculty Office (not PGR&O).

If you were recommended for the award of the degree without corrections, the final hard bound thesis\textsuperscript{37}, must be submitted to PGR & Operations by no later than 1 month\textsuperscript{38} after the date of the viva. If your examiners' recommendation was minor editorial corrections or stated minor deficiencies, the deadline is by no later than 1 month after the internal examiner has given approval to the corrections made to the thesis.

8.5 Thesis embargo arrangements (for doctoral candidates)

PGRs required to deposit an eThesis will be asked to specify the retention of thesis arrangements for the library as part of the eThesis upload process. Please see section 9 below.

8.6 Thesis embargo arrangements (for MPhil and Mastership by Research candidates)

Any PGR not required to deposit an eThesis must complete a print Thesis Deposit Form and submit this to PGR & Operations with the final, hard bound thesis. This form specifies the retention of thesis arrangements for the library and whether or not your thesis can be made immediately available.

8.7 Checklist: for the submission of the final copies of the thesis after examination

<table>
<thead>
<tr>
<th>For doctoral PGRs who commenced study in or after September 2009</th>
</tr>
</thead>
<tbody>
<tr>
<td>The following must be submitted at the Student Services Centre Counter (or by post):</td>
</tr>
<tr>
<td>- 1 fully corrected, hardbound version of the thesis</td>
</tr>
<tr>
<td>The following must also be submitted using the online deposit process (see section 9)</td>
</tr>
<tr>
<td>- 1 pdf eThesis copy of the thesis (full text)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>For MPhil, Mastership and doctoral PGRs (who commenced before Sept 2009)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The following must be submitted at the Student Services Centre Counter (or by post):</td>
</tr>
<tr>
<td>- 1 fully corrected, hardbound version of the thesis</td>
</tr>
<tr>
<td>- A completed Thesis Deposit Form</td>
</tr>
</tbody>
</table>

\textsuperscript{37} and your eThesis uploaded if required

\textsuperscript{38} For candidates who submitted their thesis for examination after 01/09/2015. If you experience any problems meeting this deadline for submission please contact PGR & Operations for advice.
9. Preparing and depositing your eThesis (after successful examination)

Further advice and guidance on eThesis and copyright matters

Please consult the Library website\(^{39}\) for further advice on:

- How you can use third party content in your thesis
- Copyright relating to publishing material from your thesis
- Licensing your thesis for others to use
- Protecting your rights as the author.

Please consult the SES website\(^{40}\) for further advice on:

- Benefits of eTheses
- When, where and how to upload your eThesis
- eThesis format requirements

9.1 Submission of an eThesis (after successful oral examination)

PGRs who commenced doctoral study in or after September 2009 are required to deposit an exact, pdf copy of a final, successful doctoral thesis to be housed in White Rose eTheses Online (WREO). Storing theses and making them available in an open-access repository is becoming common practice both in the UK and internationally and ensures that the theses are appropriately described, safely housed and easy to obtain. Your thesis is likely to be read more widely and will be immediately available and readily searchable. It also helps meet the requirements of certain funding bodies, including research councils.

9.2 Preparing your final eThesis file

One complete eThesis file MUST be supplied as follows:

- This must be a single PDF file exactly replicating the content of the final, corrected printed and hard bound copy of your thesis (including all appendices).
- Theses produced using other packages (Word, LaTeX etc) must be converted to PDF.
- On opening the file the first page accessed by the user should be the title page of the thesis. The ethesis should be given a standard filename which follows the format of the hard-copy: Surname & initials, school, degree, year of submission\(^{41}\).

\(^{39}\) https://library.leeds.ac.uk/copyright-for-phds and http://library.leeds.ac.uk/copyright-basics

\(^{40}\) http://students.leeds.ac.uk/info/10125/assessment/913/submitting_your_final_ethesis

\(^{41}\) For example: Smith_ABC_Chemistry_PhD_2015.PDF. Please note that the filename will be visible to anyone accessing your eThesis through WREO. For this reason it is important that you follow the filename format and do not include other information (e.g. your student ID number) in the filename.
9.3 Preparing a 
redacted eThesis (if required)

Further advice about use of copyright material and when you may need to seek permission from the copyright holder is given on the Copyright pages of the Library. PGRs are expected to make all reasonable efforts to seek permission to include third party copyright material in the electronic version of their thesis. However, it is recognised that in some cases it may not be possible to gain permission, either because permission is declined, no response is received or because it would be too expensive. This means that you will not be able to make the full text of your eThesis available online. If you have not been able to obtain the permission of the copyright holder, you will need to prepare two versions of your eThesis as follows:

- **eThesis 1:** A “complete eThesis” - a single file exactly replicating the content of the final, corrected printed/bound copy of your thesis.

- **eThesis 2:** If supported by the Faculty/School, a “redacted eThesis” with any third party copyright material redacted and replaced with a statement such as “This image has been removed by the author of this thesis for copyright reasons”. If possible, when removing material, a placeholder should be included to retain the pagination of the original document. A complete eThesis file MUST still be supplied but will not be made available online.

9.4 Uploading your eThesis

You will need to deposit the final eThesis (and redacted eThesis if required) using the online eThesis deposit process. You can specify the thesis retention arrangements and upload your eThesis using the simple online deposit process. You will still need to submit one hard bound copy of the thesis to PGR & Operations as described above.

You will need to create an account and register, after which you will receive confirmation of your username and password. From here you can manage your eThesis deposit via the 'Manage deposits' page. This will take you through a range of screens where you enter details about your thesis, including whether an embargo on access is needed (see below). You will be asked to upload your eThesis (and redacted eThesis if required).

You must register with the University using your legal name (i.e. the name shown in your passport or other legal documentation) and this is the name that will appear on the pass list. It is very important in terms of any future requests the University receives to verify your degree that all records match. You must use this registered name on both your hard bound thesis and your eThesis. The name which appears in the Library and WREO records must be that which was published on the pass list. You must enter your full, registered name – including any and all middle names held in the records –

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Further information is available on the eThesis website. Please contact PGR & Operations if you feel it will be necessary to submit a redacted eThesis: rp_examinations@adm.leeds.ac.uk
when you complete the online thesis deposit form as part of the eThesis upload process. If the name you enter does not, for any reason, correspond with that which appears on the University pass list it will be amended in the WREO/Library records to correspond with the pass list.

Once the upload process has been completed you will receive confirmation via email. A confirmation email will also be sent to your supervisor and to PGR and Operations staff. Please make sure you include the names of all your supervisors and their email addresses as part of the online process. The uploaded file will not go live until after your degree has been awarded and your name has appeared on a pass list. However if you have placed an embargo on access to your thesis then the files will not go live until after the embargo has expired.

9.5 Thesis embargo arrangements (for doctoral candidates)

Before you upload your eThesis you must discuss the retention of thesis arrangements with your supervisor so you know whether to ask the University to embargo your thesis from immediate publication. This could be particularly important if your research has been carried out as part of a research group and you must therefore discuss these matters with your supervisor(s) before you upload your thesis.

As part of the eThesis upload process you will be asked to specify the retention of thesis arrangements for the library and whether your eThesis can be made immediately available or whether a restriction on access might be necessary, for example where the thesis includes politically- or commercially-sensitive information or where there is a journal article, monograph or other publication from the thesis pending. Some commercial sponsors may require that restrictions be placed upon access to the thesis. You can restrict access for one, two, three, five or twenty years (in the case of patent pending). You will also be asked to indicate a Creative Commons Licence for your work.

Publication of an eThesis immediately after successful examination may, in some disciplines, reduce the prospects of the publication of monographs or papers by academic publishers or journals. The advent of digital publication is affecting the approach taken by publishers. Where a publication is likely to emerge from the thesis you should restrict access to your thesis for an appropriate period to allow your work to be published.

After any indicated embargo period both the hard-bound copies and the eThesis will be released. You must discuss these matters with your supervisor(s) before you upload your thesis.

Your eThesis will automatically become available when the embargo period expires. It is your responsibility to contact the University Library before the end of the embargo period if you wish to extend the period of restriction.
10. Award of your degree and graduation

10.1 Award of a research degree

The award of a research degree cannot be confirmed until certain conditions have been met. The report and recommendation of your examiners is subject to approval by the Examinations Group. You must complete any corrections to the satisfaction of your internal examiner and submit your corrected, hard bound thesis to PGR & Operations (plus deposit an eThesis where prescribed). Please remember to return any borrowed equipment and Library books and check with your School/Faculty about any leavers’ protocol which you may need to follow.

10.2 Publication of Pass List

Pass Lists are published regularly throughout the year. Once your name has appeared on a pass list PGR & Operations will send you an email (to your University account) confirming that the award of your degree has been made.

Your degree can be awarded and your name published on a pass list once all the following conditions have been met:

- Your examiners’ report has been approved by the Examinations Group at one of its meetings;
- PGR & Operations has received confirmation that the internal examiner is satisfied that any corrections have been completed.
- PGR & Operations has received one copy of the final, corrected, hard bound thesis;
- All tuition fees to the University have been paid.
- If applicable, all assessed or taught modules have been completed successfully.

In addition to the above

For doctoral PGRs who commenced study from September 2009
- You have also deposited the full text version of your eThesis in WREO. PGR&O will receive an automatic email notification once this has been completed.

For MPhil, Mastership and doctoral PGRs who commenced before Sept 2009 (not depositing an eThesis)
- You have also submitted a completed Thesis Deposit Form

In accordance with the decision of the Graduate Board no exceptions will be permitted and staff in PGR & Operations have no discretion in these matters.

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43 Pass lists can also be viewed in the Student Services Centre foyer
10.3 Graduation choices

Degree ceremonies are held in July and December of each year. Further information is published on the University's Graduation Pages. Please note attendance at a degree ceremony is not guaranteed and is subject to the award of your degree before the ceremonies. The examination of theses can take time and the University cannot guarantee that a thesis will always be examined in time for the next graduation ceremony. If you do not wish to attend a ceremony, you can choose to have your degree conferred in absentia and your certificate will be posted to you. A degree can only be conferred on one occasion, either at a degree ceremony or in absentia.

You will be required to register your graduation choice (either a ceremony or in absentia) on-line after you have submitted your thesis for examination. Further instructions can be found on the University's Graduation Pages. Registration for graduation will not be available until after you have submitted your thesis to PGR & Operations for examination, however you do not need to wait until your name has appeared on a pass list in order to register your graduation preference.

10.4 Degree Certificate

The University provides each successful PGR with one original copy only of the certificate bearing their full name according to University records on the date on which their degree was awarded (the date of the Graduate Board's Examinations Group meeting). The date of award which appears on the final degree certificate and the Diploma Supplement and Statement is the date of the Graduate Board's Examinations Group meeting at which the report and recommendation of the examiners' report was considered and approved.

10.5 Diploma supplement and statement

At Leeds, a Diploma Supplement and Statement is issued to PGRs who commenced study in or after September 2003 together with their certificate. An information booklet is included which describes the level and nature of the award and of the awarding body.

10.6 Award statements

After your name has appeared on a Pass List, if you require evidence of your award you may wish to request a statement. The statement will confirm: your period of study, School of registration, thesis title, submission date for examination, viva date, date of award and graduation date. Statements usually take up to 5 working days to process (please note that if you apply for a statement before your name has appeared on a pass list the 5 working day period will begin from the date of publication of the pass list). Statements are provided free of charge for the first 3 months after your name has appeared on a pass list. Requests can be made in writing to the thesis examination section (rp_examinations@adm.leeds.ac.uk). After 3 months, statements should be ordered through the University's Online Store and there is a small charge.

Updated August 2016

44 http://store.leeds.ac.uk/browse/extra_info.asp?compid=1&modid=1&deptid=25&catid=34&prodid=1285
11. Useful documents and links

The following documents relating to the examination of theses are published on the website.

1. **Postgraduate Researchers Handbook**

2. **In the Regulations, codes, policies and procedures for postgraduate research section**
   - Guide to the thesis examination process (including the thesis Format Requirements)
   - Use of solely and jointly authored publications in a thesis submission
   - Protocol for submission of a thesis including published material (Faculties of Environment & Engineering only).
   - Inclusion of a CD within a thesis submission
   - Suspensions/Extensions during the referral period & extensions to correction deadlines
   - Instructions to Examiners
   - Eligibility criteria for the appointment of examiners and independent chairs
   - Guidelines for the use of Video Streaming
   - Procedures for investigating plagiarism in research degree submissions
   - Submission of a thesis in a language other than English (applies only to candidates registered in the School of Languages, Cultures & Societies)
   - Research Excellence Policy

3. **In the Postgraduate Research Forms section:**
   - Examination Entry Form
   - Thesis Submission Receipt (including the statement of academic integrity)
   - Examiners Final, Joint Report Form
   - Thesis Deposit Form
   - Award statement request form

4. **In the research degree code of practice section**
   - Code of Practice for Research Degree Candidatures
   - Practice-led Protocols for the Faculties of PVAC and Arts