If your thesis is referred:

Guide to the referral and resubmission process for Postgraduate Researchers (PGRs)

This Guide for referred PGRs is compiled by Doctoral College Operations (DCO). It gives further advice to PGRs 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 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.
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<td>Doctoral College Operations</td>
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1. Referral and Notes for Guidance

‘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 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. You may be required to attend a second oral examination.

Notes for Guidance

Alongside the report on the examination, the examiners are required to prepare Notes for Guidance which outlines the changes which are required. The Notes for Guidance will set out what needs to be done in order for the thesis to reach the standards required for the award of the degree and will specify the sections or aspects of the thesis which are in need of improvement and information about what work is required to enable you to revise the thesis for resubmission to meet the standard required for award.

There is no set format for the notes. These can be arranged on a page by page, chapter by chapter or areas of deficiency basis, whichever is appropriate for the nature of the problems to be solved. The Notes are to assist you in the process of revision and resubmission of the thesis but do not have to include specific editorial comment.

When will I receive the Notes for Guidance?

You will not receive your notes for guidance directly from your examiners after your viva. The notes for guidance must be submitted with the examiners’ report (prepared after the viva) to Doctoral College Operations (DCO) for scrutiny by the Graduate Board’s Progression and Examinations Group. The examiners’ report and their notes for guidance will be issued to you by DCO after approval by the Progression and Examinations Group with information on how to resubmit for re-examination.

You will receive an email (to your University email account) to confirm that your examiners’ report and notes for guidance have been received in DCO with details of when this will be considered by the Group. For referred PGRs, the report and notes for guidance do not have
to wait for a full meeting of the Group and are considered on a continuous basis between meetings. In some cases, the Group may request additional information for the report or clarification of the Notes for Guidance from the Examiners to ensure that these are clear and unambiguous.

DCO aim to send you your approved report and notes for guidance within a period of 6 weeks from receipt of the report and notes for guidance. If for any reason it will not be possible to meet this timescale you will be kept informed. This will be uploaded to GRAD and a notification sent to your University email address. 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.

Advice and support after your viva

We would strongly encourage you to talk to your supervisor(s), Director of PGR Studies or Graduate School who will be happy to meet with you to discuss the next steps in the process and can signpost you to sources of support and information.

For information about Student Support and Wellbeing Services please see the SES Website. This includes support you may be receiving from Disability Support Services, and other support that is available to you from the University Student Counselling and Wellbeing Service. You also have access to wellbeing resources and self-help available online. During this period of referral the support services across the University will remain available to you.

If you are considering an appeal we would strongly encourage you to seek independent advice and support from the LUU Student Advice Centre. Email: advice@luu.leeds.ac.uk.

If you are an studying in the UK on a Tier 4/Student visa we also recommend that you contact the Student Visa Advice Team for further advice. Email: studentvisadvice@leeds.ac.uk

Once the examination has completed you should not contact your examiners further, even if you have questions about the outcome of your examination. If you have questions we would strongly encourage you to talk to your supervisor(s), Director of PGR Studies or Graduate School. Independent advice and support is available from LUU.

2. Arrangements during the referral period

Advice and support during your referral period

A range of academic and pastoral support continues to be available to you during your referral period.
Your supervisor will continue to support you by offering you advice and guidance on your thesis, during your supervision meetings. Further information is available below. These may be held by video-streaming (normally Teams or Zoom) and records must be recorded in GRAD (which continues to be available). All PGRs should consult their supervisor(s) for appropriate guidance in preparation for their resubmission and examination.

If you have concern about your studies or if other difficulties arise during the referral period you should speak to your Supervisor, Director of PGR Studies, or your Graduate School, who can signpost you to a wide range of avenues for academic, pastoral and specialist support available to you. For information about Student Support and Wellbeing Services please see the SES Website. During this period of referral the support services across the University will remain available to you. The University can also mitigate against difficulties encountered by considering a period of authorised absence, suspension or extension of study.

Guidance can also be sought from the Leeds University Union. LUU Student Advisers can offer independent advice and support. Email: advice@luu.leeds.ac.uk.

Disabled postgraduate researchers can continue to access support from Disability Services. The process for identifying and agreeing support and reasonable adjustments for any second oral examination is set out in a separate document.

**Supervision Arrangements**

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 you, the timing and frequency should be agreed between you and your Supervisors.

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. It is 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 degrees) if the thesis has not been resubmitted.

Supervisions should continue to be recorded in GRAD and may take place in face to face meetings when you are in Leeds or by as video-streaming.
During 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. You must ensure that you provide your supervisor(s) with re-drafts of work for comment within a reasonable timescale. Your supervisor will continue to support you by offering you advice and guidance on your thesis, during these supervision meetings, and will provide feedback on your work and progress towards resubmission. You should take the advice of your Supervisor whether or not to resubmit your work for examination. You are strongly recommended not to resubmit against your Supervisor’s advice. However, you are solely responsible for the decision to resubmit your work for examination. If there are any concerns with academic progress towards resubmission then the School may give consideration to instigation of the PGR Progress Support Procedure.

If you are a Student Visa holder and you wish to remain in the UK during the referral period, DCO will contact your School to establish that you do need to be present at the University. The School must implement regular supervision meetings and contacts in order to monitor attendance and maintain sponsor duties. In these cases the normal attendance monitoring arrangements must apply (a minimum of 10 supervision meetings a year, with gaps of no more than 8 weeks) with attendance/supervision meetings recorded and attendance and progress monitored as set out in the Attendance and Engagement Monitoring Policy. This may include instigation of the Progress Support Process or the Presumed Withdrawn Process. If you wish to remain in the UK during your referral period but your visa is due to expire, you can apply for an extension CAS.

Role of the examiners during the referral period

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.

Registration during the referral period

During the referral period you will remain registered with the University with an under examination (UE) status. No academic fees will be charged for this period of registration.

1 For example where access to a particular piece of equipment is required
(although a resubmission fee is charged when the thesis is resubmitted). You do not need to complete online registration during this time. You will be 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. You are not classed as either full/part-time or overtime 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).

3. Examination Entry

Examination entry workflow

A minimum of three months before the thesis is resubmitted for examination you must enter for re-examination by completing the Examination Entry Process. Normally the same team of examiners will act for the resubmission except in exceptional circumstances.

- You will have a ‘task’ in GRAD to complete the examination entry workflow again for your resubmission
- The workflow will be automatically populated with the information from your first submission e.g. your thesis title, ethical review and publication information. You can check this and amend (if necessary) for your resubmission
- When you submit the workflow it will move to your Supervisor so they can confirm the team of examiners for your resubmitted thesis.
- You can track the process of the workflow via the status box in GRAD

The workflow/form must be completed and returned to DCO at least 3 months before the resubmission of the thesis. No thesis can be dispatched to the examiners until the examination arrangements for the resubmission have been fully checked and approved by the Progression and Examinations Group. Entry workflows 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 process early in the referral period. The arrangements will remain valid for 12 months from the date of approval by the Progression and Examinations Group.

4. Resubmitting your thesis

Deadlines for resubmission

The referral period begins from the date the Report and Notes for Guidance are issued following approval by the Progression and Examinations Group.
It is recognised that the amount of the work needed to fully satisfy the requirements for the award will vary. The maximum time period allowed for resubmission following referral is intended to represent the maximum amount of time allowed, and it is recognised that many PGRs will be able to resubmit more quickly than this. There is no minimum referral period and PGRs may resubmit at any point in the referral period once the work has been completed. Resubmission must, however, take place within the following time limits.

<table>
<thead>
<tr>
<th>Doctoral resubmissions (e.g. PhD, MD, EdD, DClinPsychol, DPaedDent)</th>
<th>within 18 months$^2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>PhD submission referred for resubmission for MPhil</td>
<td>within 12 months</td>
</tr>
<tr>
<td>MPhil submission referred for resubmission for MPhil</td>
<td>within 15 months</td>
</tr>
<tr>
<td>Mastership by Research resubmission</td>
<td>within 9 months</td>
</tr>
</tbody>
</table>

You will receive official notification of your deadline for resubmission from DCO in the GRAD notification which is sent with your examiners’ report and notes for guidance. You should bear in mind that this is the maximum time limit for resubmission and that you may resubmit at any point in the referral period. 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.

**You are bound by your maximum time limit for resubmission of the thesis.** It is important that this deadline is adhered to and that you resubmit your thesis for assessment on or before your maximum time limit for submission. Failure to resubmit your thesis for examination by this deadline may lead to you being required to withdraw from your studies If circumstances arise which may prevent you from resubmitting your thesis by your resubmission deadline you must talk to your School/Faculty Graduate School as soon as possible for advice, otherwise you may seriously compromise your ability to complete your research degree successfully. Please see the [website for advice on suspensions and extensions](#).

Where the maximum time limit for resubmission falls on a day when the University is closed as due to a holiday period (for instance a Bank Holiday) or a weekend, the deadline for resubmission of a thesis to DCO will be no later than the end of the next working day.

*Resubmission process*

Your thesis should be resubmitted via GRAD as a PDF. You must submit, alongside your resubmitted thesis, a summary of how your revised thesis has responded to changes listed by your 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. Sufficient detail, with examples,

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2 A referred PhD PGR may, with the permission of the Head of School, choose to resubmit for MPhil. Resubmission must take place within 12 months from the date of issue of the Notes for Guidance.
should be included to clearly show how and where you have responded to the examiners’ concerns. If the examiners require a specific format for the response they may do so in the notes for guidance; in which case you should follow the guidance given.


The University has prepared guidance for PGRs, Supervisors and Examiners on the assessment of learning outcomes. Please refer to the Guide to the thesis examination process for more detailed advice. The Quality Assurance Agency for Higher Education (QAA) has produced advice on Doctoral Standards for Research Students and Supervisors which it may be helpful to read in conjunction with this guidance.

Resubmission fee

Once your resubmitted thesis is sent for examination the appropriate re-examination fee will be charged. Student Finance (Fees) will contact you about this. The resubmission fees for 2022/23 are as follows. The fee is subject to an increase each academic year and you should contact Student Finance (Fees) at the appropriate time for details of the fee levels beyond 2022/23:

<table>
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<tr>
<th>Type of Resubmission</th>
<th>Fee 2022/23</th>
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<tbody>
<tr>
<td>Doctoral Resubmissions (e.g. PhD, MD, EdD, DClinPsychol, DPaedDent)</td>
<td>£540</td>
</tr>
<tr>
<td>MPhil resubmission</td>
<td>£390</td>
</tr>
<tr>
<td>Masters by Research resubmission</td>
<td>£315</td>
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5. Examination of your resubmitted thesis

Timescales for examination of a resubmission

Your thesis will be made available to your Examiners normally within 10 working days of submission (if your examination entry workflow has been approved by the Progression and Examinations Group). 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).

While you are awaiting re-examination you 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 resubmission.
Examination of the resubmission

The resubmitted thesis is subject to the same process as the first examination\(^3\), 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. 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 can 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.

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 viva will normally be scheduled within 3 months of dispatch of the thesis to the Examiners (6 months in the case of MD candidates). You must make all reasonable efforts to attend for the viva in the normal period, for example making appropriate leave arrangements if in employment. 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 you 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.

The process for identifying and agreeing support and reasonable adjustments for the final oral examination is set out in a separate document. Your Graduate School can provide further advice.

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 and return your corrected thesis to the examiners within the 4/12 week period – you will not receive these details from DCO.

\(^3\) Please refer to the Guide to the thesis examination process for more detailed advice
6. Outcomes following examination of a resubmission

Possible outcomes after the examination

A second referral is not possible. 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:

a) that the degree be awarded (without corrections)

b) that the degree be awarded subject to editorial and presentational corrections

c) that the degree be awarded subject to the correction of minor deficiencies

d) that no research degree be awarded

In the case of PhD resubmissions the following recommendations are also available:

a) that the degree of MPhil be awarded (without corrections)

b) that the degree of MPhil be awarded subject to editorial & presentational corrections

c) that the degree of MPhil be awarded subject to the correction of minor deficiencies

Award (without corrections)

An award without corrections means that you have met the learning outcomes, and your resubmitted thesis now satisfies the requirements for award and does not require any alterations. You must now upload a copy of your pdf ‘eThesis’ format to White Rose Etheses Online within 1 month of your oral examination.

Award subject to editorial and presentational corrections

An award subject to editorial and presentational corrections means that you have met the learning outcomes for the programme, and your resubmitted thesis now satisfies the requirements for 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).

Your examiners will advise you of the corrections that are needed to your thesis and you should begin work on these immediately. You will not receive these details from DCO. Your corrections must be completed and returned to your Internal Examiner, normally within 4
weeks. When your internal examiner has approved your corrections you must submit your pdf ‘eThesis’ within 1 month.

**Award subject to minor deficiencies**

An award subject to minor deficiencies means that you have met the learning outcomes for the programme, and your resubmitted thesis now satisfies the requirements for award 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).

Your internal examiner will advise you in writing of the corrections that are needed to your thesis and you should begin work on these immediately. You will not receive these details from DCO. Your corrections must be completed and returned to your Internal Examiner, normally within 12 weeks. When your internal examiner has approved your corrections you must then submit your pdf ‘eThesis’ within 1 month.

**MPhil award on a PhD resubmission**

If you 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) if the thesis fails to achieve the standard for the award of a PhD but nevertheless satisfies the criteria for the award of the degree of MPhil. Examiners cannot make this recommendation without holding a second oral examination.

You may appeal against a decision to award MPhil on a PhD submission. The procedure can be found on the [website](#). You can contact the Student Advice Centre of the Leeds University Union where experienced staff are available to provide guidance. If you are considering an appeal, we would strongly encourage you to seek independent advice and support from LUU. There are also a number of other support services available to you – please see the [SES website](#). PGRs on a Student Visa are also advised to take advice from the [Student Visa Advice Team](#).

There are a number of other [sources of support and information](#) that will be available to you, both immediately after the viva, and in the days and weeks that follow. We would strongly encourage you to talk to your supervisor(s), Director of PGR Studies or Graduate School who will be happy to meet with you to discuss the next steps in the process and can signpost you to sources of support and information. Further information can be found in the [Appeal Process](#) section of this document.
No degree awarded

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. You may appeal against a decision not to award a research degree. The procedure can be found on the website. You can contact the Student Advice Centre of the Leeds University Union where experienced staff are available to provide guidance. If you are considering an appeal, we would strongly encourage you to seek independent advice and support from LUU. There are also a number of other support services available to you - please see the SES website. PGRs on a Student Visa are also advised to take advice from the Student Visa Advice Team.

There are a number of other sources of support and information that will be available to you, both immediately after the viva, and in the days and weeks that follow. We would strongly encourage you to talk to your supervisor(s), Director of PGR Studies or Graduate School who will be happy to meet with you to discuss the next steps in the process and can signpost you to sources of support and information. Further information can be found in the Appeal Process section of this document.

7. After successful re-examination

Examiners’ Report

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 Progression and Examinations Group at one of its meetings (as for the first examination). The report and recommendation of your examiners on your resubmitted thesis is subject to approval by the Progression & Examinations Group. Please see the Guide to the thesis examination process.

Completing corrections and submitting the final thesis

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. Once the corrections have been approved by your internal examiner, you must deposit the PDF eThesis.

Award of your research degree

Your research degree can be awarded once all the following conditions have been met:

- Your examiners’ report has been approved by the Progression and Examinations Group at a meeting;
- DCO has received confirmation that any corrections have been completed.
You have deposited the full text version of your eThesis in WREO.
All tuition fees to the University have been paid – including the resubmission fee
If applicable, all assessed or taught modules have been completed successfully.

Pass Lists are published regularly throughout the year. Once your name has appeared on a pass list you will receive an email (to your University account) confirming that the award of your degree has been made. Further information about the arrangements for graduation and certificates can be found on the graduation pages of the SES website.

8. Appeal process

Postgraduate Researchers may appeal against a decision to refer the thesis for resubmission, award MPhil on a PhD submission or not to award a research degree, using the University’s appeals procedure. A copy of the procedure can be found on the Student Cases website.

You must submit your appeal to the University within 20 working days of the date of the formal outcome notification from DCO – after the Progression and Progression and Examinations Group has approved your Examiners’ report. There are a number of steps in the process before you receive the formal outcome of your examination from the University:

- Your examiners will normally have informally told you the outcome of your examination, and will probably also have given you some informal (verbal) feedback on why they have reached this decision.
- After the examination, your examiners must submit a report to the University which explains the outcome and reasons for their decision. This report must be reviewed by your Director of PGR Studies who will then submit the report to Doctoral College Operations (DCO) Progression and Examination Team.
- DCO will write to you to confirm they have received your examiners’ report, and this will include further information about the next steps on the process and the expected timescales. DCO will arrange for your report to be reviewed by the University’s Progression and Examinations Group.
- In some cases the Group may request additional information or clarification of the report from the Examiners. DCO will aim to write to you to confirm the outcome, with access to the report, by no later than 4 weeks from the date the Group reviews the report. If for any reason it will not be possible to meet this timescale DCO will write to you to keep you informed.
- DCO will contact you again after the Progression and Examinations Group has considered your examiners’ report. The examiners’ report will be uploaded to your GRAD record, and DCO will write to you to formally confirm the outcome of your examination, and will advise you where you can access your report.
- At this stage the appeal process will be open to you, if you wish to take this route, and further advice and information will be included in the formal outcome notification from DCO.
If you are considering an appeal we would strongly encourage you to seek independent advice and support from the LUU Student Advice Centre. Email: advice@luu.leeds.ac.uk. Further information is available on the Website. They will offer you independent support and advice throughout the process and we ask that you get in touch with them directly. Unfortunately, your Graduate School team cannot answer any questions that you have relating to your appeal, including its progress, however they are still here to help support you with other matters related to your research candidature. If they can be of assistance, please do not hesitate to get in touch.

There are a number of other support services for you to call on at this time.

For information about Student Support and Wellbeing Services please see the SES Website. This includes the support you may be receiving from the Disability Support Services, and other support that is available to you from the University Student Counselling and Wellbeing Service. You also have access to wellbeing resources and self-help available online.

If you are an studying in the UK on a Tier 4/Student visa we also recommend that you contact the Student Visa Advice Team for further advice. Email: studentvisaadvice@leeds.ac.uk

Once the examination has completed you should not contact your examiners further, even if you have questions about the outcome of your examination. If you have questions we would strongly encourage you to talk to your supervisor(s), Director of PGR Studies or Graduate School.