Code of Practice for the Conduct of Postgraduate Research Degree Programmes 2020/21

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PREFACE

This Code of Practice has been drawn up in light of national guidance including the Quality Assurance Agency for Higher Education Code of Practice. It also reflects the University's academic structure and the Academic Regulations for Research Awards approved by the University of Salford.

The Code of Practice is a procedural document that aligns with the Academic Regulations for Research Awards for Postgraduate Research Candidates. The University of Salford has committed itself to operating within the standards of the Code of Practice.

The Code of Practice for Higher Doctorates (DLitt and DSc) is in Appendix 8.

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Introduction

The University of Salford aims to provide excellence in research facilities, in research supervision and in intellectual opportunity, thus preparing the postgraduate to use imagination and reason in a changing world.

This Code of Practice explains the operation of the postgraduate support framework provided by the University and is intended to facilitate excellence throughout the duration of the research degree. It provides detail of the procedures and requirements of the University in respect of postgraduate research degrees for postgraduate research candidates, their supervisors, examiners and other associated staff.

The Code of Practice applies to all stages from the candidate's initial application for admission through to conferment of the degree. It provides detail of procedures in relation to the crucial stages of application, admission, and conduct of the research and the preparation of the thesis. At the same time, the Code addresses the requirements stipulated in the University's Academic Regulations for Research Awards.

This Code of Practice is designed for use by postgraduate research candidates and their supervisors, to ensure progress towards producing a successful thesis and completion within the defined period of study. It should be read in conjunction with the Academic Regulations for Research Awards:

https://www.salford.ac.uk/governance-and-management/academic-handbook

Note that The Code of Practice for Higher Doctorates (DLitt and DSc) is described in Appendix 8.

1   Application & Admission to Research Candidature

a)   Applicants for admission to candidature for a higher degree by research should complete the online application form, including an appropriate research proposal. The Schools PGR director and/or potential supervisor will consider a candidate's admission on receipt of the application from the PGR admissions team or the Doctoral School Office.

For a list of awards offered, including categories of candidatures, approved by the University of Salford, refer to the Academic Regulations for Research Awards (the URL link is in the Introduction to this document)

b)   The following factors are taken into account when considering the application and the potential candidates research proposal:

   i.   That the applicant is suitably qualified to undertake the proposed research programme.
   ii.   That the proposed research would be appropriate for study to the depth required for the degree and aligns with the research of the school to which the candidate applies.
   iii.   Whether adequate supervision can be provided by an appropriate, experienced, member of staff; supervision being best provided by staff who are active in research, and with research interests related to that of the student.
   iv.   Whether suitable facilities would be available for conduct of the research (e.g. laboratories, technical assistance, library, computing, and desk space). To this end an application would need to be countersigned by the appropriate Dean of School.
   v.   If the student is to spend some research periods away from the University, whether an appropriate agreement is in place for the duration of the study; and appropriate local advice and facilities would be available, in addition to iii and iv above.
   vi.   Whether it appears reasonable that the proposed programme could be completed in the prescribed minimum period.
   vii.   Whether the applicant is able to register within the defined registration period.

c)   For entry onto doctoral level programmes, the School Research and Enterprise Committee must be satisfied that the Candidate has:

   i.   a Bachelor's degree with an Honours classification of Upper Second or First or;
   ii.   a Postgraduate Diploma or Master's degree or;
   iii.   an academic or professional qualification incorporating study at least comparable to 120 credits at Framework for Higher Education Qualifications (FHEQ) level 7 as so deemed by the School Research and Enterprise Committee or;
   iv.   an equivalent level of attainment to (i) above through a combination of certified or experiential learning as so deemed by the School Research and Enterprise Committee.

d)   An applicant for admission as a candidate for a Research Award whose native tongue is not English will be required to satisfy the English Language requirement determined by the University. The University's minimum English language requirement for admission is stated in the University's Admissions Policy. However, some schools will require a higher requirement then the University minimum. Further information relating to English Language requirements and general admissions can be found in the Admissions and Retention Policy: https://www.salford.ac.uk/governance-and-management/academic-handbook

e) Reduced candidature

Admission for reduced candidature has to be recommended by the School Research and Enterprise Committee and approved by the Postgraduate Research Award Board, setting out auditable information on the candidate's qualifications and experience; training already undergone; and confirmation that the candidate had reached an appropriate threshold of academic performance. In addition, the School Research and Enterprise Committee would consider past experience against its applicability in terms of the forthcoming research project and would diagnose future training needs for the candidature. The written articulation of the admission decision shall be then treated as equivalent to the report of an Interim Assessment panel to the School Research and Enterprise Committee and Postgraduate Research Award Board

2   Appointment of Supervisors

a) The School Research and Enterprise Committee is responsible for overseeing the supervision of research students in accordance with the relevant regulations and with any special conditions stipulated by the School Research and Enterprise Committee at the time of acceptance for admission.

b) Primary Supervisors and Co-Supervisors should be employed by the University; be a member of a Research Centre; should normally hold a PhD and are currently involved in research in relevant disciplines. At least one member of the supervisory team must hold a PhD.

Exceptionally, a Primary Supervisor or Co-Supervisor not holding a PhD may be appointed on the basis of significant professional expertise and/or significant current research activity.

Academics who are new to supervision should engage in co-supervision for at least one year, before they become eligible to engage as main supervisors.

All supervisors must have completed supervisor training and must attend refresher supervisor training at least once every 3 years to keep up to date with good practice and regulatory requirements. Primary supervisors must have prior experience of aspects of the supervisory process as a co-supervisor (including Interim Assessment and Internal Evaluations), being mentored through this process by a Primary supervisor.

Staff working towards a PhD are not eligible to be a primary supervisor.

The appointment of the supervisory team should be done in consultation with the proposed supervisors' line manager(s) and Associate Dean Research and Innovation to ensure that sufficient resource can be allocated to supporting the student. Academic staff members should normally have no more than 6 lead supervisions at any given time, in order to maintain quality of provision. Any exception to this recommendation should be approved by the School Research and Enterprise Committee.

c) Any exception to the criteria must be approved by the Dean of School, Associate Dean Research (or equivalent) and be ratified by School Research and Enterprise Committee who shall have regard to the overall balance of the supervisory team.

d)   If the candidate/supervisor relationship is not working well, independent sources of advice are available. By mutual agreement between the candidate and the supervisor (and where permitted in relation to any sponsorship agreement) supervisory responsibility can be changed at the request of the candidate or supervisor, subject to approval by the Dean of School, Associate Dean Research (or equivalent) and be ratified by School Research and Enterprise Committee.

3   Registration and Duration of Programme

a)   Students need to register with the University at the beginning of their candidature, and again at the start of each subsequent year of their minimum period of research, subject to satisfactory progress (see section 6). The Research Councils, who provide a major benchmark for good practice, indicate strongly that research degrees should be designed so that they can reasonably be expected to be completed in the minimum registration period (refer to the Academic Regulations for Research Awards).

b)   At the time of admission the School Research and Enterprise Committee shall determine the date of commencement of the candidate's period of study and the minimum duration of the period of study.

c)   A candidate is registered for their specified research award (see Academic Regulations for Research Awards, Table A).

d)   Candidates who commenced their studies prior to academic year 2018/19 initially register during October, January, April or July and then again on the same date in subsequent years, to the end of the minimum period. From 2018/19 registration for new students will take place during September, January or May and then again on the same date in subsequent years, to the end of the minimum period. (Specific deadlines will be published and registration must take place within the time specified). Late registration will not normally be accepted unless there are personal mitigation circumstances (see Section 6) which have prevented registration. Approval for late registration must, in the first instance be sought from the Dean of School and then approved by the Director of Postgraduate Research.

e)   The University is aware of the uncertain nature of research, and is prepared to act with sensible flexibility in extending the registration period. However, due to Home Office regulations, students must complete their registration within a maximum of 10 days following the end of the defined registration period in the University's terms and conditions for students. Supervisors are therefore encouraged to keep within this maximum period, as this is chosen as a measure of successful supervision by the Research Councils and HEFCE.

f)   "Split-PhD" and "Without Residence" schemes are arranged on occasion, whereby the student conducts part of the research at Salford and/or all or part at another institution, often overseas. Special arrangements are made to ensure control of supervision by the organising School, in addition to adequate local advice and access to facilities at the other institution. These arrangements must be agreed upon and signed off in an Agreement for the duration of the period of study. The candidate shall normally spend the equivalent of at least one third of the minimum duration of their period of study in Salford. Further information relating to the regulations surrounding this mode of study can be found at Regulation 16 of the Academic Regulations for Research Awards. Prior to any arrangements being agreed schools must seek advice from Research and

Knowledge Exchange and where appropriate the International and Regional Development Directorate. Research and Knowledge Exchange will maintain a database of all approved "split site" and "without residence" provision.

g) On registration, students are given a University identity card, which gives proof of membership of the University and also entitles use of the University's Library and Information and Technology Services.

h) It is the candidate's responsibility to register, within the published timeframe, at the start of the programme and at the beginning of the second and subsequent years. Prior to re-registration, the Supervisor must complete an Annual Progress Report and the candidate an Annual Self-Evaluation Report. Furthermore, the candidate must have completed the appropriate progression assessments (Interim Assessment and Internal Evaluation) before they can proceed to re-register. Further information of progression documents can be found in Regulation 9 of the Academic Regulations for Research Awards and at https://www.salford.ac.uk/governance-and-management/academic-handbook

i) Part-time students will probably find that, unlike full time students, pressures on their time can make it difficult to allocate sufficiently long blocks of time for study. Continuous longer periods of concentrated effort are more likely to be productive than a larger number of shorter periods, and part time students should plan, wherever possible, to spend at least one period of concentrated study each year.

j) At the end of the minimum period of research and subject to a satisfactory progress report, the candidate should register for Completion Phase (Full-time candidates one year and part time candidates two years) within which to complete and have their thesis examined and the award ratified.

k) If a candidate fails to complete their studies within the agreed registration period they will automatically have their candidature terminated. In exceptional circumstances an extension may be requested for consideration by the School Research & Enterprise Committee, (an extension to study cannot be retrospectively applied for).

l) Taking Leave of Absence (or Holiday entitlement) from Your Programme - You are encouraged to make use of your allocated annual leave; taking breaks is essential to healthy and productive work and the University supports your right to take leave. A leave of absence is an authorised break from your study and any leave of absence must be authorised by your main supervisor. Students may, with the prior agreement of their supervisors, take up to six weeks' leave of absence or holiday in each academic year of study, inclusive of public holidays. This does not include leaves as a result of Personal Mitigating Circumstances and/or maternity, parental and adoption leaves that require an interruption of study where Students and Staff should refer to Section 8 of this Code of Practice and the University's Interruptions and Withdrawals Policy. Holiday leaves should only be taken with the understanding that it should not affect the student's progression or completion, or other obligations, if any, that the student may have, such as for example those that may come from the policy of a sponsor of a study.

Normal University vacation periods do not apply to postgraduate research students. Instead, if leave is requested and attendance is not required for that period, postgraduate research students are allowed up to a total of 6 weeks (30 working days) authorised absence* during an academic year.

   i.   *Including Christmas and Easter periods where attendance may not be required (as advised by your School).
   ii.   Where leave of absence is authorised, you must obtain confirmation of this in writing from your main supervisor by completing the research supervision

meeting form.

iii.   In exceptional circumstances (e.g. bereavement, illness, legal requirements, maternity leave etc.) where leave of absence may require an interruption of study, you should discuss this in more detail with your supervisors and follow the Interruption of Study procedure described in Section 8 of this Code of Practice. Where leave of absence exceeds 6 weeks, this is considered an interruption to the programme where Students and Staff should refer to Section 8 of this Code of Practice and the University Interruptions and Withdrawals Policy.

Leave of absence does not include periods when:

iv.   You are undertaking research / data collection for a thesis which specifically requires you to be away from the University or the UK and this has been approved by your School.

v.   You are attending a research conference or other research-related event off campus

m)   For information on registration visit https://www.salford.ac.uk/askus/our-services/register-with-the-university

4   Payment of Tuition Fees

Students are required to put arrangements in place to pay the annual tuition fee at the beginning of each year of their minimum period of research and for any subsequent year until the supervisor confirms that the student has completed the research phase.

Once the minimum registration period is complete and an extension to the study period is required, the candidate (supported by the supervisor) can a request for an extension to the period of study via the School Research and Enterprise Committee. The School Research and Enterprise Committee may recommend to the Postgraduate Research Awards Board that the Candidate be permitted to present a thesis at a later date.

5 Duties and Responsibilities of Supervisors and Research Candidates

The following two sections give guidelines for good practice and are recommended to both supervisors and postgraduate research candidates.

5.1 Duties and Responsibilities of Supervisors

The supervisor:

a) Ensures that supervision arrangements and the role of progress meetings are clear and agreed; that the student has access to, is aware of, and attends the compulsory induction and ethics training programmes; that all forms/documentation are fully completed, dated and signed as required.

b) Provides advice on the viability of the research proposed by the student and assists with the conceptual support required for the development of the research; assists in the planning and operation of a realistic programme of research which could reasonably be expected to be completed and written up within the scheduled period of registration.

c) Provides guidance about literature as well as exemplars of good research practice in the specialist field; academic good conduct and academic misconduct. Further details: https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures

d) Provides guidance to ensure the correct level of ethical approval is sought and approved; that data is stored in accordance with the Data Management Policy https://www.salford.ac.uk/research/research-integrity

e) Provides and/ or arranges for research training and other academic or personal development training.

f) Undertakes a hazard assessment of the project (where appropriate) and arranges the appropriate training for the student to undertake the work safely.

Ensures that candidates are aware of current developments in both their own area and the broader area of research; encourages the candidate to integrate with, and contribute to the academic community of the University; encourages the candidate to become an independent academic researcher in their field; arranges for the student to make presentations on their research work to their peers and other academics.

g) Ensures that regular, structured research meetings are planned and held at an appropriate frequency, with an appropriate record made. Full-time candidates shall have a minimum of 12 documented student-supervisor meetings per academic year; part-time candidates 6 per year; for international candidates on the Student Route (formerly Tier 4 visa students), these should take place monthly in line with the Attendance Monitoring Policy and to comply with Home Office requirements. For students working away from campus, such meetings can be held via telephone or video conferencing facilities. However, whatever form they take, they must be documented. Of these meetings, one should be held:

- o during induction week;
- o to allow for the discussion and drafting of the Learning Agreement;
- o prior to the completion of the Annual Progress Report and Self-Evaluation Document by the supervisor and student respectively;

- o prior to both Assessment 1 (Interim Assessment) and Assessment 2 (Internal Evaluation), to explain and discuss their purpose, as well as the nature of the written submission;
- o subsequent to both Assessment 1(Interim Assessment) and Assessment 2 (Internal Evaluation), to discuss their outcomes, and define consequent actions;
- o prior to final submission of the thesis;
- o prior to the Viva Voce, to explain and discuss the procedure;
- o subsequent to the Viva, to discuss the outcome, either once the result has been communicated informally to the candidate, or once the student has received official notification from Student Administration.

Additional meetings should be held when students are preparing research-related activities, for example conference presentations or funding and job applications.

Co-supervisors are normally expected to meet with the student during the drafting of the Learning Agreement, in order to discuss their role as part of the supervisory team; and prior to Assessment 1(Interim Assessment) and Assessment 2 (Internal Evaluation). Co-supervisors should ensure that they keep in regular contact with the student throughout the duration of the candidature.

For split-site students and all other programmes including distance learning, the supervisor must ensure that alternative means of interacting with the student are in place to allow for comparable meetings to take place.

For all students, particular consideration should be given to meetings during periods of fieldwork and during the completion period.

h) Provides a regular structured review of work produced by the student and is accessible to the student at other appropriate times when they might need advice.

i) Creates an open record of progress, showing personal development, achievement and all status reports on the student's work. Notifies the student promptly if the work is unsatisfactory and provides guidance on remedial needs. Ensures that the Learning Agreement is updated whenever necessary.

j) Organises the Annual Review of the student's progress and completes the supervisor's Annual Progress Report.

k) In the case of PhD students, supervisors organise Assessment 1(Interim Assessment) (attending the assessment as observer). [Students registered on a Research Award at Master's level wishing to transfer to PhD candidature undergo a Transfer Assessment process]. Organises Assessment 2 (Internal Evaluation) of the student prior to final assessment (attending the assessment as observer).

l) Ensures that the student understands the nature and process of examination of the thesis.

m) Makes recommendations on the selection of examiners for the thesis.

n) Advises the candidate that the supervisor's endorsement of the request to submit a thesis does not prejudice the outcome of the subsequent examination, which is entirely a matter for the examiners.

o) Protects the candidate's intellectual property rights (see Intellectual Property Rights Regulations https://www.salford.ac.uk/library/open-research/open-data/research-data-management/legal-and-ethical

p)   Advises the candidate on the preparation of material for publication.

q)   Ensures that the requirements over data protection, open access and use of electronic media are explained to candidate.

5.2 Duties and Responsibilities of Research Candidates

It is expected that candidates take responsibility for their own programme of study including:

a)   Registering promptly within the specified timescale.

b)   Being diligent and inquiring in their approach to research study; familiarising themselves with academic good practice and attending appropriate compulsory induction and ethics training events.

c)   Seeking advice and constructive comment on the research work.

d)   Ensuring that all forms/documentation are fully completed, dated and signed as required; checking their Salford email accounts on a regular basis, since all communication will be conducted through this email and not personal email accounts.

e)   Contributing to the development and completion of a Learning Agreement which includes a realistic programme of research, to include agreed milestones and reference points, which could reasonably be expected to be completed and written up within the scheduled period of registration.

f)   Regularly consulting with the supervisor and co-supervisor in accordance with the agreed programme of work as set out in the Learning Agreement.

g)   Obtaining appropriate ethical approval for their project, with the support and direction of the supervisor.

h)   Liaising with the supervisor in the first instance if there are any problems with progress or agreed supervisory arrangements (consulting with the Personal Tutor if necessary).

i)   Integrating with, and contributing to the academic community of the University, by participating in Research Centre conferences/workshops.

j)   Familiarising themselves with the literature and issues associated with the research field, as well as the principles of good research practice. Taking the responsibility to become

an independent academic researcher and expert in the field.

k)   Attending such courses and training as recommended by the supervisor or the University.

l)   Undertaking such health and safety training as required by the supervisor and the University. Undertaking the research in a safe manner.

m)   Attending regular research meetings agreed with the supervisor. Providing the supervisor with written work and an agenda in a reasonable time before meetings; completing and logging the supervisory record and agreed actions. Providing the supervisor with other written work according to the agreed Learning Agreement.

n)   Completing and submitting an annual Self Evaluation Report, and notifying the University via the supervisors, personal tutor, administrative support team, or other appropriate University channels of issues affecting the study in a timely manner. The

University has a policy that welcomes student feedback on their study experience at the University.

o)   Participating in all assessments of research progress required by the Regulations (e.g. for PhD Assessment 1:Interim Assessment and Assessment 2: Internal Evaluation). These shall be a forum for discussion about the nature of the research, and any learning agreement between the supervisor and student. Accordingly, to produce a written report detailing progress and planned research for the purposes of Assessment 1:Interim Assessment and Assessment 2: Internal Evaluation.

p)   Presenting the research work to peers and other academics.

q)   Publishing in connection with the work only with the prior knowledge of the supervisor.

r)   Writing the thesis; planning the submission of the thesis within the scheduled registration period and submitting to the supervisor a notice of presentation form at least two months before the planned presentation date.

s)   Acknowledging that the supervisor's endorsement of a request to submit a thesis does not prejudge the outcome of the subsequent examination, which is a matter entirely for the examiners. It is not the supervisor's responsibility to proof-read the thesis or in any way to assist in its content or production. The final decision about whether to submit a thesis rests completely with the candidate.

t)   Studying conscientiously and at a level appropriate to the level of the research degree.

u)   Devoting sufficient time to the mode of study, ensuring that paid work or other commitments do not adversely affect the progress of the research.

v)   In the case of part-time study, acknowledging that the direction of the research shall be generally by personal supervision and not simply by correspondence. A part-time candidate shall be required to meet their Supervisor at frequent and regular intervals as set out in the Learning Agreement. Attention should be paid to the need for part-time candidates to have documented meetings with their supervisor on no less than six occasions in each academic year of study

w)   Where a part-time candidate is permitted to undertake part of their programme of further study and research elsewhere than in the University:

   i.   the School Research and Enterprise Committee may appoint an Adviser; and

   ii.   the Supervisor shall report annually to the School Research and Enterprise Committee on the supervision given to the candidate in the previous year; and

   iii.   when the candidate gives notice of their intention to present a thesis, the Supervisor shall report as to whether the candidate has satisfied the provisions as to attendance and study in the University.

For further information with regard to advice and guidance offered by the Personal Tutor, please see the Academic Handbook (Part B):

https://www.salford.ac.uk/governance-and-management/academic-handbook

The Student Charter is available on the student channel

https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures

6. Ethics Approval

6.1   The University requires research to be consistent with basic ethical principles, and therefore ethics approval must be considered by all students studying for a postgraduate research degree. The preliminary ethics checklist (available at https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx#learning-agreement-and-research-ethics-checklist) must be completed as part of the Learning Agreement within 3 months of commencement of study and reviewed annually to ensure that ethical requirements, if any, are identified, and full ethics approval, if required, is obtained in good time.

6.2   Students whose research includes human subjects, animals or human tissue must apply for ethics approval. Full ethics approval must be obtained prior to any data collection. Any student who has not obtained the required level of ethics approval, and who uses their data as part of their Assessment 1:Interim Assessment or Assessment 2: Internal Evaluation or final thesis will automatically fail Assessment 1:Interim Assessment or Assessment 2: Internal Evaluation or Final Examination, and the data collection will have to be repeated once ethics approval has been obtained. Such cases will also be investigated under the University's Academic Misconduct Procedure https://www.salford.ac.uk/governance-and-management/academic-handbook. This may affect progression as repeat assessments can take place up to 3 months (12 months if it is the Final Examination) after the original. Further guidance and resources can be found at https://www.salford.ac.uk/research/research-integrity/academic-ethics-and-ethics-approval

6.3   As a temporary measure during the period of campus closure due to Covid-19, a process of Conditional Approval for academic ethics has been agreed. Conditional Approval is suitable for all students who intend to undertake research that cannot reasonably be started or completed during the period of campus closure, lockdown and/or social distancing measures. An ethics application may be submitted for assessment and approved subject to conditions, such as a delayed start date. The details of the conditions from the Chair of Ethics will be outlined in the approval letter and must be adhered to.

   a)   Students on interruption due to Covid-19 may apply for academic ethics Conditional Approval only during the period of campus closure, lockdown and/or social distancing and if both their supervisor and the School Chair of Ethics agree to process the application. The supervisor must submit the completed ethics application, along with clear instruction that Conditional Approval due to student interruption is required.

   b)   Failure to comply with the conditions outlined in the approval letter will result in investigation through the Academic and/or Research Misconduct policies.

   c)   For more information, students and supervisors should contact the Research & Knowledge Exchange Ethics team at ethics@salford.ac.uk.

7   Monitoring of Progress – Progression of Candidature

For regulations governing the progression of Postgraduate Research Candidates, please see the Academic Handbook https://www.salford.ac.uk/governance-and-management/academic-handbook

Details of progression points, guidance and documents can be found on the Postgraduate Research website https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx

7.1 Learning Agreement

In order that candidates and supervisors can agree how they will work together they must complete a Learning Agreement which is compulsory for all research candidates and must be submitted within the first three months of study for full time and part time doctoral candidates (Professional Doctorate candidates within 6 months).

This document also details the planned research (including ethical considerations) and the candidate's training needs (and dates by which it should be completed). The agreements must include mechanisms for consultation with the Supervisor and Co-Supervisor.

It is a requirement that a new, updated Learning Agreement be completed and agreed where there is a change in supervision or the direction of the research.

The Learning Agreement shall be reviewed at each progression point and updated as necessary.

7.2 Assessment 1: Interim Assessment

Assessment 1: **Interim Assessment** shall normally take place between months 9-11 of a full-time candidature, months 15-20 of a part-time candidature and 27-35 for professional doctorate candidates. It shall comprise the assessment by a panel of the candidate's ability to progress, including confirmation that a Learning Agreement has been completed and updated as necessary, ethical approval is in place or being applied for (if applicable) and appropriate training undertaken.

Where COVID-related extensions to deadlines are in place, timings should be adjusted accordingly.

The panel shall comprise 2 appropriate members of the University of Salford who are appointed by the candidate's supervisor; both of whom must then be approved by the Associate Dean Research & Innovation or their nominee. They should be independent of the supervisory team. Staff working towards a PhD are not eligible to act as assessor at Assessment 1: Interim Assessment. Where there are extenuating circumstances an exception to the regulations may be applied for from the School Research & Enterprise Committee. The supervisor may be in attendance as an observer and only whilst the candidate is present. The candidate shall submit to the panel a report of around 5,000 to 10,000 words describing current and future intended progress in their research and which takes account of guidance on the form and content of the report as approved by the University Research and Enterprise Committee

(https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx).

The actual word count will depend on the nature and subject of the research, and should be determined by the necessity to provide assessors with clear evidence that the candidate has developed a good understanding of the background to and the aims of their work, and should show how this knowledge leads to the development of an appropriate and achievable research plan and methodology with some evidence of progress with design, implementation, analysis and discussion. The candidate shall submit to the panel a report and be examined orally by the panel.

Failure to submit the Assessment 1: Interim Assessment report and attend the assessment within the timeframe prescribed in the Academic Regulations for Research Awards and the Code of Practice for Conduct of Postgraduate Research Degree Programmes will be registered as a failed attempt, unless an extension has been granted by the School Research & Enterprise Committee.

In exceptional circumstances a request can be made for the assessment to take place online, the request can be made by the University and/or Student, and it will be considered by the relevant School PGR Director. If the request is approved, the Doctoral School will confirm the most suitable online tool e.g. Collaborate or Teams. The University does not permit the use of Zoom software for assessments. A date and time for the assessment will then be agreed. When the assessment takes place, the candidate will need to provide Photographic ID and be able to show the entire room they are using; the door should be closed and remain in sight at all times. For assistance with the University's online tools please see the following link:
https://testlivesalfordac.sharepoint.com/sites/Uos_Students/SitePages/Digital-IT.aspx

The panel shall report to the School Research and Enterprise Committee and Postgraduate Research Awards Board on the assessment of progress against generic criteria; evaluation of the current progress of the research project; and a diagnosis of future training requirements. The panel must confirm that the candidate has reached a threshold of academic performance and that the doctoral level candidature may continue.

If the threshold has not been reached a repeat Assessment 1 is carried out with the same assessment panel no later than 1 month after for full time candidates, no later than 3 months for Professional Doctorate candidature and no later than 3 months of a part-time candidature. In addition to a repeat oral assessment a revised report may be required by the assessors.

Failure to successfully complete the repeat Assessment 1: Interim Assessment will result in transfer or withdrawal as approved by the School Research & Enterprise Committee and Postgraduate Research Awards Board.

For candidates with a reduced candidature this assessment is foregone as the written articulation of the admission decision shall be then treated as equivalent to the report of an Assessment 1: Interim Assessment panel to the School Research and Enterprise Committee and Postgraduate Research Awards Board.

7.3 Assessment 2: Internal Evaluation

Assessment 2:Internal Evaluation shall normally take place between months 21 - 23 of a full-time candidature, months 35 -40 of a part-time candidature and months 50 - 55 of a Professional Doctorate.
Where COVID-related extensions to deadlines are in place, timings should be adjusted accordingly.

The evaluation shall comprise the assessment, by a panel, of the candidate's continuing academic progress including confirmation that a Learning Agreement has been updated as necessary and appropriate training undertaken. The panel shall comprise 2 appropriate members of the University of Salford who are appointed by the candidate's supervisor; both of whom must then be approved by the Associate Dean Research & Innovation or their nominee. They should be independent to the supervisory team. Staff working towards a PhD are not eligible to act as assessor at Assessment 2: Internal Evaluation. Where there are extenuating circumstances an exception to the regulations may be applied for from the School Research & Enterprise Committee. At least one member of the panel should not have served on the candidate's Assessment 1 or Transfer Assessment panel. Care should be taken in the selection of panel members as neither will be eligible to act as Internal Examiner at the Viva Voce examination. The Supervisor may be in attendance as an observer at Assessment 2: Internal Evaluation at the candidate's discretion.

In exceptional circumstances a request can be made for the assessment to take place online, the request can be made by the University and/or Student, and it will be considered by the relevant School PGR Director. If the request is approved, the Doctoral School will confirm the most suitable online tool for the assessment e.g. Collaborate or Teams. The University does not permit the use of Zoom software for assessments. A date and time for the assessment will then be agreed. When the assessment takes place, the candidate will need to provide Photographic ID and be able to show the entire room they are using; the door should be closed and remain in sight at all times. For assistance with the University's online tools please see the following link:
https://testlivesalfordac.sharepoint.com/sites/Uos_Students/SitePages/Digital-IT.aspx

The candidate shall submit a substantive piece of work (whose detail shall be determined by the School with regard to the nature of the research project undertaken and which shall take account of guidance on form and content as approved by the University Research and Enterprise Committee
https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx. The candidate shall be examined orally by the panel.

Failure to submit the Assessment 2: Internal Evaluation report and attend the assessment within the timeframe prescribed in the Academic Regulations for Research Awards and the Code of Practice for Conduct of Postgraduate Research Degree Programmes will be registered as a failed attempt, unless an extension has been granted by the School Research & Enterprise Committee.

If a panel is unable after Assessment 2: Internal Evaluation to recommend continuation of the candidate on the doctoral level Award, the candidate shall be provided with reasonable practical assistance in the form of academic advice and additional training so as to repeat the assessment by no later than 3 months after the original holding of Assessment 2: Internal Evaluation of a full-time candidature, and 6 months of a part-time candidature.

Failure to complete satisfactorily Assessment 2: Internal Evaluation or any repeat Assessment 2: Internal Evaluation will prevent the student from registering for the following year.

   (i)   The panel shall report to the School Research and Enterprise Committee and the Postgraduate Research Awards Board on the assessment of continuing academic progress and shall offer wherever possible formative comment and assistance to the candidate. Within its report the panel shall recommend: continuation of the candidate on the doctoral level Award;

   (ii)   transfer to another Research Award: Master of Philosophy (MPhil), Master of Research (MRes), Master of Science (MSc) or Master of Laws (LL M). Where such a transfer is required the candidature for the doctoral level Award shall be deemed to have been terminated and the period of study for the doctoral level Award may be recognised as a period of study for the other Award;

   (iii)   termination of candidature.

The Supervisor may be in attendance as an observer at Assessment 2: Internal Evaluation at the Supervisor's and Candidate's discretion.

Should Assessment 1: Interim Assessment need to be repeated, this should be by no later than 1 month after the original holding of the assessment/evaluation for a full-time candidature, 3 months for a part-time candidature and prior to registration for the following year. Should Assessment 2: Internal Evaluation need to be repeated, this should be by no later than 3 months after the original holding of the assessment/evaluation for a full-time candidature, 6 months for a part-time candidature and prior to registration for the following year.

Details of the process and requirements for Assessment 1: Interim Assessment and Assessment 2: Internal Evaluation can be found at https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx

The audio recording of meetings at these progression points is prohibited, subject to such reasonable adjustment as may be agreed by the University where required under the Equality Act 2010.

7.4 Annual Progress Report

The Annual Progress Report is completed by the primary supervisor and shall recommend

   (i)   re-registration of the candidate without any amendment to the candidature;

   (ii)   refusal of re-registration for administrative or procedural reasons, such as the non-completion of a Learning Agreement or non-payment of the appropriate fees at the prescribed times;

   (iii) re-registration of the candidate but with an amendment to the duration of the programme of study;

   (iv)   transfer of the candidate to another Research Award, or termination of candidature, subject to Assessment 1: Interim Assessment or

Assessment 2: Internal Evaluation.

But where completed prior to the completion phase, the Annual Progress Report should comment upon matters relating to submission.

On the part-time Professional Doctorate as Assessment 1: Interim Assessment and Assessment 2: Internal Evaluation would usually be held at the end of the third and fourth years respectively of a five year programme the requirement for the Supervisor to complete an Annual Progress Report at the end of those two years is foregone.

In the exceptional circumstances where the Annual Progress Report recommends to the School Research and Enterprise Committee the transfer of the candidature to another Research Award or termination of candidature, and the candidate has already undergone Assessment 1: Interim Assessment and Assessment 2: Internal Evaluation, this will be subject to an Additional Formal Evaluation which shall take the same form and follow the

same process, including reporting arrangement, as Assessment 2: Internal Evaluation.

7.5 Annual Self Evaluation Report

The Postgraduate Researcher Annual Self-Evaluation Report shall be submitted annually prior to registration following a model commended by the University so as to invite a report on: the candidate's academic progress; their supervisory arrangements and the research environment; confirmation of the completion of a Learning Agreement and of attendance at relevant training. Where completed prior to the completion phase, the Postgraduate Researcher Annual Self-Evaluation Report should comment upon matters relating to submission.

8.   Interruption of Study / Extensions of Period of Study

a)   Interruptions of Study

Candidates are expected to pursue their research on a continuous basis for the stipulated minimum duration of their programme. However, the University recognises that, during their programme of study, candidates may have to cope with a range of illnesses and experiences which are part of the normal course of life events. In many cases, these circumstances will have little or no noticeable effect on their academic performance. However, there may be serious circumstances of a medical or personal nature, beyond a candidate's control which may have an effect on a student's ability to progress with their programme or attend a scheduled assessment.

Interruptions of study are intended for periods when a student is unable to study due to sustained and significant issues. It is expected that students may face day-to-day type problems during their studies and the period of study accounts for this. Interruptions of study will not be granted on the basis of what could be reasonably interpreted as a day-to-day type problem.

Candidates whose ability to undertake research is affected should formally report to their supervisor to discuss whether or not a formal interruption of studies may be required. Retrospective notification of mitigating circumstances would not normally be taken into account. The request for an interruption must be made on the appropriate form (found https://www.salford.ac.uk/askus/academic-support/interruptions-and-withdrawals) with the endorsement of the supervisor which will be submitted for consideration by the

School Research and Enterprise Committee. Once approved, the form is sent to the Fees and Awards Team, Student Administration for fee amendment and system updating with a confirmation letter issued to the student.

Where it has been determined that a student is facing sustained and significant issues, interruptions are normally approved for multiples of 3 months and up to a maximum of 12 months. No tuition fees would be payable. Both the minimum period of research and the thesis submission date are extended by a corresponding period.

During the interruption period, the student is not a registered student of the University and should refer to the University's Student Interruptions and Withdrawals Policy for guidance on access to University facilities: (https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures)

In line with Home Office requirements, non-EEA students on a Student Route (formerly Tier 4) visa are required to leave the U.K. during this period. The University is required to inform the Home Office of student interruptions to their studies. **Failure to leave the UK could significantly impact current and future visa applications.**

Interruptions of study may also be necessary where a non-EEA student may require a new **Academic Technology Approval Scheme (ATAS)** clearance certificate from the Foreign and Commonwealth Office. If any area of the candidate's research changes, including the scope of the research or the submission date moves by more than three months, then a new ATAS certificate will be required. If this certificate is applied for within 28 days of the change occurring then a candidate may continue with their research; however, if the candidate does not apply within that timeframe, their registration would need to be interrupted until they provided a new ATAS certificate in line with the Immigration Rules.

It is recommended that students who are considering interruptions to their studies and have concerns about the impact on their visas, seek further guidance and support from the Home Office Compliance Team, contact details can be found below:

Email: HomeOfficeCompliance@salford.ac.uk   Tel: +44 (0)161 295 0023

b)   Mitigating Circumstances Affecting Progression Point Assessments and The Viva

Candidates who are affected by mitigating circumstances on the day of a viva or similar should notify their supervisor or the Doctoral School Support Officer immediately to ascertain if it is possible to delay the assessment. By attending a viva or similar or formally submitting work for evaluation, candidates are deemed to declare themselves as 'fit to sit or submit' the assessment. As such, they are unable to submit a claim that their standard of performance in the assessment has been adversely affected by mitigating circumstances.

c)   Extensions to Study

Candidates are required to complete their studies within the time period as stated on their admissions offer letter. If a student fails to complete their studies within the agreed registration period they will automatically be withdrawn. In exceptional circumstances an extension may be requested for consideration by the School Research & Enterprise Committee. An extension request must be submitted at least 6 months before the end of the student candidature, unless the circumstances that form the ground for the request happen within the last 6 months of the candidature. In any case the request must be submitted as soon as reasonable after the occurrence of the circumstances. Upon

receipt of the extension request, the School Research and Enterprise Committee will request further information from the Supervisor before making a recommendation to the Postgraduate Research Awards Board that the candidate be permitted to present their thesis at a later date. The recommendation will include the final date for submission, after which the submission **will not** be permitted.

Extensions to study are intended for periods when a student is unable to study due to sustained and significant issues. It is expected that students may face day-to-day type problems during their studies and the period of study accounts for this. Extensions to study will not be granted on the basis of what could be reasonably interpreted as a day-to day type problem.

Interruptions of Study are available in exceptional circumstances during the fee-paying period of your candidature, e.g. First 3 years of study on a full time PhD. Further information and guidance are available via https://www.salford.ac.uk/askus/academic-support/interruptions-and-withdrawals.

Extensions to submission are available in exceptional circumstances during a candidate's completion/non-feepaying phase. Further information and guidance is available via https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx

Further guidance on the circumstances which may require an extension or interruption is available in the University's Personal Mitigating Circumstances Policy. https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures

The University's policies for Maternity, Paternity and Adoption are available at https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures

9. Contents of Thesis

(a)   Material which has been included in a thesis, portfolio or report submitted in support of a successful application for a degree or qualification of any Higher Education Institution shall not be embodied in the thesis presented for a Research Award, except that such material:

(i)   if unpublished, may be reported in sufficient detail to enable the work done during and for the purpose of the programme of further study and research to be fairly evaluated;

(ii)   if published, may be mentioned for purposes of reference in the same way as publications by other workers. In either case the fact of the previous submission of such material shall be made clear at all relevant points in the thesis.

(iii)   may be included in a thesis presented for the award of Doctor of the Built Environment / Real Estate / Construction Management (DBEnv/DRealEst/DConsMgt) where this has previously been submitted in support of a PgCert, PgDip or Taught Masters Award within the same programme (and, in the case of the latter named award, the candidate has re-joined the programme within 3 years of the making of the award).

(b)   Where the work described in the thesis has been produced by a candidate jointly with

others, the candidate shall state the extent of his/her own contribution.

c) Where a thesis has a prescribed maximum word limit (Appendix 2) this shall not include footnotes and references. Theses should not exceed these prescribed limits. It is important for candidates to have a reasonable estimate of the likely length of the thesis at an early stage in its preparation.

(d) The thesis shall be written in English, unless the Postgraduate Research Awards Board grants permission for it to be written in a different language, this language to be specified in each instance.

Further details regarding contents of a thesis and content of Performance-Based or Composition Based Portfolios are available in Appendix 2 and in the Academic Regulations for Research Awards: http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/research

Further details regarding contents of a thesis presented in Alternative Formats are available in Appendix 9

Regulations 17 and Table A of the Academic Regulations for Research Awards contain useful information relating to the contents of the thesis, as does this guidance document on the Doctoral School Hub.

Further information of the contents for PhD by Published Works can be found in Appendix 7 of this document.

10   Presentation of Thesis, Report or Portfolio

a.   The thesis must be the candidate's own work, and the responsibility for writing, preparing and submitting it within the permitted completion period rests **entirely** with the candidate.

b.   During the completion period, the candidate should seek the supervisor's advice and guidance, so that the supervisor may read and comment on the draft with a view to supporting the student in the production of a well-documented thesis. The supervisor should not be approving the quality of the thesis rather acknowledging it is the student's own work, within the prescribed research area, and complies with the conditions of the candidature and ethical approval requirements.

c.   In preparing the final version of their thesis, candidates might find it helpful to look at other theses which have been submitted and accepted by the University. This will give an idea of the required standards. Previously accepted theses may be located here: http://usir.salford.ac.uk/etheses/ It is important to avoid trivial errors in typing and spelling.

d.   The Regulations for the Form of Thesis are set out in Appendix 2 of this booklet; advice is also available from Student Administration.

e.   The candidate should discuss the length of the thesis with the supervisor. The varying needs of academic subjects may demand different lengths of theses but candidates should remember that examiners greatly appreciate brevity achieved without sacrifice of clarity, quality or content (Word limits Appendix 2).

f.   Candidates are responsible for writing their thesis in their own words, except for quotations from published or unpublished sources which should be clearly identified and acknowledged as such. The source of any photograph, map or other illustration should

also be indicated, as should the source, published or unpublished, of any material not resulting from the candidate's own experimentation, observation or specimen-collecting. Quotations, images and other materials for which a third party owns the copyright can be included within the thesis for examination purposes; however, unless another exception to copyright law applies, the permission of the copyright holder must be obtained before the final thesis can be lawfully made publicly available in USIR. Candidates should consult the University's Intellectual Property Policy and the Library's USIR repository team for further advice where necessary.

g. Candidates may not incorporate into the thesis any material which has been submitted in support of a successful application for a degree of this or any other University or any approved degree-awarding body, except for drawing attention to such material for reference purposes, in which case details should be identified, including the title of the other thesis, the name of the other University and the date of award of the other degree.

h. The University strongly encourages research degree candidates to submit their work for publication either before or after thesis submission. Material that has been published or submitted for publication may be included in a thesis. The material used must be integrated with the hypotheses and central arguments of the thesis to ensure that it reads as a coherent whole (see Appendix 9 for detailed guidance on a thesis in Alternative Formats). The publication should be referenced, and the contributions of other authors must be fully acknowledged. The prior publication of papers arising from the research project should not prejudice the assessment of the thesis. Publishers do not normally consider the publication of an academic thesis in an institutional repository to be 'prior publication', nor do they normally restrict an author's right to include their own published work in an academic thesis. However, candidates are advised to check the copyright policies of their publishers or potential publishers and the Library's USIR repository team before making their thesis openly available.

i. It is the responsibility of the candidate to decide on the exact submission date, although the candidate should take into account any advice from the supervisor.

j. After completion of the required registration period, candidates should re-register as 'completion phase'. A transfer from full-time to part-time mode of study will not normally be permitted at this stage

k. The University is keen to ensure the timely completion of candidatures. Completion rates are monitored by the University and are a factor in the allocation of resources by Research Councils. Therefore, full-time candidates are permitted up to one year beyond the end of their minimum duration of study in which to complete and have their thesis examined and the award ratified. Part-time candidates are permitted up to two years beyond the end of their minimum duration of study in which to complete and have their thesis examined and the award ratified. Unless an extension is exceptionally granted, the candidature will then be deemed to have expired.

l. The time limit for presenting a thesis may be extended by the School Research and Enterprise Committee in certain circumstances. The candidate needs to make a strong written case for an extension of time, itemising the reasons, detailing progress to date and work still outstanding and giving a realistic final deadline by which they believe they will be able to submit. Please refer to 8 (c) for further information on extending study.

m. A candidate can also seek permission to present the thesis as early as the last term of the minimum period of research. The candidate makes a written request to the supervisor for support. The supervisor sends it to the School Research and Enterprise Committee to seek approval, before being sent to Student Administration.

n. The candidate needs to give two months' notice of intention to submit a thesis, by completing a Notice of Presentation form, available from https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx. This period of notice enables various preliminary formalities to be completed, particularly the appointment of examiners (See section 11). The candidate gives a copy of Section A of the form to the Doctoral School Office and the completed form to the supervisor two months before the expected thesis submission (Appendix 6).Candidates need to attach a summary (the "abstract") to the notice of presentation which should not be longer than 300 words, and which should bear the full thesis title and the candidate's name. The summary needs to be in a specific format as it will be registered with a national database of research abstracts following successful examination. (Appendix 5). A copy of the ethical approval confirmation letter, or a copy of the Research Ethics Checklist Form that confirms ethical approval is not required, must be submitted alongside the completed Notice of Presentation form.

o. As a temporary measure during the period of social distancing due to Covid-19, the requirement for physical copies of soft-bound theses to be submitted for examination has been suspended. Instead, candidates must submit a PDF version of their 'soft-bound' thesis and Declaration 1/Resubmission Declaration form electronically to SA-PGR@salford.ac.uk and copy in the relevant PGR-Support inbox and their supervisor. Candidates must also be prepared to submit an editable version of their thesis (e.g. Word version) should an examiner request a copy for the purpose of adding comments. SA-PGR will issue a receipt to confirm the thesis has been received.
Candidates should note Section 17 requiring submission of one electronic copy of the final successful thesis to the University Library repository (USIR).

p. When presenting the electronic PDF/Word copies of the thesis to SA-PGR@salford.ac.uk , the candidate needs to submit in electronic format a separate signed declaration of originality (a Declaration 1/Resubmission Declaration form) to the effect that the thesis is the candidate's own work. The supervisor needs to countersign the declaration before the candidate submits the thesis. Exceptionally, if the Primary Supervisor is unable to complete the requisite documentation (for example through illness) then the Associate Dean Research and Innovation or their nominee may do so.

q. A copy of the summary of the thesis (abstract), not exceeding 300 words, should be included in the thesis, immediately preceding the main body of the text, but after Contents/Acknowledgements, etc.

r. Examination of a thesis, including an oral examination (compulsory for PhD, DProf, optional for Master's) normally takes between four and six weeks to complete. Sometimes it may be longer and the University cannot guarantee that a candidate who submits a thesis by, say, April will necessarily graduate in July that year.

11 Appointment of Examiners

The candidate submits the Notice of Presentation form (see section 10 (n)) to the supervisor, who informally contacts the examiners. The Board of Examiners shall comprise at least two Examiners, one of whom shall be external to the University. For staff candidates (i.e. academic staff with a contract of employment of 0.2 FTE or greater on the payroll whose primary employment function is research, teaching or teaching and research) 2 external examiners are normally appointed. Staff working towards a PhD are not eligible to act as assessor at the viva voce.

Any internal member of the Board of Examiners shall not have formed part of the candidate's supervisory arrangements during the candidature. However, where the subject area is very specialist and the pool of colleagues suitably qualified to undertake the role of examiner is small, the School Research & Enterprise Committee may appoint an examiner who has previously been involved in the candidate's progress assessments.

Candidates should bear in mind that the roles of supervisor and examiner are quite different. A supervisor's principal responsibility is to help a candidate to pursue the research and to present the results to optimum effect. The formal role of an examiner is to make a threshold judgement on the standard of the thesis. As good practice, the University encourages examiners to identify such deficiencies to help the candidate, particularly where resubmission is required.

Candidates should also note that the supervisor's advice and comments about the completed thesis do not prejudge the subsequent assessment, which is exclusively a matter for the appointed examiners.

Every examining panel for a doctoral thesis and Master's thesis shall comprise at least three members:

The Internal Examiner who is a member of the academic staff of the University of Salford and is competent in the area of work to be examined; will be experienced in research and have published and will normally be deemed to be research active.

The External Examiner who must satisfy the criteria in relation to their appointment as set out in this Code of Practice (see Appendix 1 of this document). Further guidance can be sought in the Academic Regulations for Research Awards
https://www.salford.ac.uk/governance-and-management/academic-handbook

The Independent Chair is a member of academic staff from a Directorate different to that of the candidate; has had no academic involvement in the candidate's programme of study; will be from a central pool of Independent Chairs maintained by the Doctoral School Support Team; has received the appropriate training; has the primary role of conducting the examination in order to ensure fairness to the candidate and full observance of University procedures; should not read the thesis or make any contributions to the academic examination of the thesis and make any contributions to the academic evaluation of the thesis by the Examiners; will inform the candidate of the examiners' decision and will be required to complete the Independent Chair's Report, (Appendix 3). Exceptionally, the Doctoral School and School PGR Director will allow an internal examiner to chair an examination provided they have attended the appropriate training. A separate chair is still required if they have not undertaken this training or require a training refresher (e.g. have not attended supervisor training within the last 3 years).

12 Final Examination

The University of Salford has embraced the spirit of the guidelines for Doctoral and Masters level grade descriptors as detailed in the extract from the Framework for Higher Education Qualifications presented in Appendix 4.

a. As a temporary measure during the period of social distancing due to Covid-19, the candidate submits an electronic PDF version of the thesis, report or portfolio to Student Administration, which dispatches the document to the appointed examiners. Physical soft-bound copies are not required during this period. The examiners typically require between four and six weeks to examine the thesis. However, in the event of a Research Degrees Appeal Board being convened a request may be made to the examiners for disclosure of the reports.

b. The primary supervisor may be in attendance at the oral examination as an observer at the candidate's discretion. If the primary supervisor is not in attendance at the oral examination, they, another member of the supervisory team or the School Associate Dean Research & Innovation must be on call for the purposes of providing clarification to the examiners if required.

c. The Research Administrator makes the necessary arrangements for an oral examination, if held. This is compulsory for PhD and DProf candidates and may be required for Master's candidates.

d. Whilst supervisors are not examiners, they will be expected to be present at the oral examination, subject to the prior agreement of the examiners and at the discretion of the candidate. The supervisor is in attendance as an observer and only whilst in the presence of the candidate.

e. The candidate has the option deliver a short presentation of no more than 10 minutes duration. Where a viva has been resubmitted for re-examination the candidate may not add any new material into the presentation: it must be based on the contents of the thesis.

f. At the oral examination, the examiners test the candidate's knowledge and understanding of matters relevant to the subject of the thesis. The examiners' judgement should be based on what might reasonably be expected of a capable and diligent graduate student after completing the appropriate period of research for the degree. Work submitted for the degree of PhD should be of a standard suitable for publication. In general, successful Master's Degree candidates are capable of developing and sustaining a logical argument through scholarship or research, which should be reflected in the thesis. Doctoral theses are distinguished by the additional characteristics of creative leadership and innovation, underpinned by an original contribution to the field and are awarded to students who have demonstrated:

- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication
- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice
- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems
- a detailed understanding of applicable techniques for research and advanced academic enquiry. http://www.qaa.ac.uk//en/quality-code/the-existing-uk-quality-code/part-b-assuring- and-enhancing-academic-quality

g.   The oral examination, if any, is held at the University of Salford and should take place in a suitable room and without interruption. In exceptional circumstances a request can be made for the assessment to take place online, the request can be made by the University and/or Student, and it will be considered by the relevant School PGR Director. If the request is approved, the Doctoral School will confirm the most suitable online tool for the assessment e.g. Collaborate or Teams. The University does not permit the use of Zoom software for assessments. A date and time for the assessment will then be agreed. When the assessment takes place, the candidate will need to provide Photographic ID and be able to show the entire room they are using; the door should be closed and remain in sight at all times. For assistance with the University's online tools please see the following link:
https://testlivesalfordac.sharepoint.com/sites/Uos_Students/SitePages/Digital-IT.aspx

h.   Experience suggests that care needs to be taken to make the candidate feel at ease, particularly if there is any disability or exceptional stress or cultural differences. The Independent Chair should ask the candidate at the start of the examination whether there are any special circumstances which have affected their ability to defend their thesis on that day. The candidate should have explained to them the form that the examination shall take, as already agreed by the examiners. It is desirable to allow the candidate ample opportunity to expand on what they consider to be the strengths of the thesis.

i.   An oral examination may not proceed without all of the appointed Examiners being present. In the event of an Examiner's unexpected illness, the examination must be postponed to another date. In the event of an oral examination being rescheduled, notice of not less than 10 working days must be given to the student. A shorter period of notice must be agreed, in writing, by the student. All persons present at the oral examination will be recorded on the Examiners' Report.

j.   It is essential that no one should indicate to the candidate, either before or during the oral examination, the likely outcome of the examination. The Independent Chair should ensure that any conflict of opinion that may arise during the examination should not lead to any indication of the likely outcome of the examination.

k.   The Examiners should each contribute to the examination process but the External Examiner normally takes the lead role. The Independent Chair takes responsibility for candidate support during the oral examination, if necessary. Whilst some intense questioning of the candidate may be needed, it should be non-aggressive. The oral examination should run for as long as may be necessary for it to serve its proper purpose, allowing short breaks if necessary/requested.

l.   The supervisor and any others present may be asked to leave before the candidate does so, so as to provide the candidate with an opportunity to say anything to the Examiners that they would prefer to say without the supervisor and others being present. However, the Independent Chair should be present at all times. The candidate and supervisor will be asked to leave before the Examiners begin their final deliberations.

m.   The candidate is normally informed of the outcome of the viva on the same day.

n.   Candidates who expect to leave Salford after examination of the thesis should plan to remain for a reasonable time after the oral examination, if held, in order to complete any corrections which might be required and to have the successful thesis permanently bound (see 9 (m) above) and Appendix 2.

o.   In the event that a resubmission is necessary, the candidate may be called for a further viva, and the university / examiners reserve the right to do this.

13 Examiners' Reports

Pre-Oral Examination Report

- the Pre-Oral report should only be completed if an oral examination is required;

- prior to the oral examination the internal and external examiners should prepare independent written pre-oral reports on the thesis, giving an indication of the issues to be raised; the pre-oral reports should be exchanged on the date of the oral and the originals lodged with the Joint Examiners' Report form and available for the candidate to see on request following the viva;

- the oral report will be used as the basis of the agenda for the oral and will clarify who will ask questions and in what order; it is intended to provide a framework for discussion and should not be regarded as an exhaustive list of issues to be raised;

- the examiners will be required in their Joint Examiners Report to sign off that the oral has addressed the concerns of the pre-oral report;

- the supervisor may be called for clarification purposes at the time of setting the agenda for the oral.

Post Oral Examination Feedback

- The Independent Chair will communicate the examiners' recommendation to the candidate, making it clear that it is provisional until approved by the Postgraduate Research Awards Board.

- If the candidate is not told the outcome on the day, the Independent Chair must give the candidate a clear indication of how they will be notified and the likely timescale in which the examiners will make their provisional recommendation.

- Where the Examiners are unable to agree on their recommendation they shall each separately submit an examiner's report on a form specified by the University which shall be available on request to the candidate and the supervisory team and which shall make one and only one recommendation as set out in Table E of the Academic Regulations for Research Awards.

The Joint Examiners' Report Form

Section 1
- After the oral examination, the Examiners should agree upon a final joint report to be typed on the Examiners' Report Form which gives a clear declaration of their recommendation on the outcome of the examination. The joint report must be signed off by both examiners and Independent Chair and submitted within one week of the oral examination to Student Administration and then submitted to the Postgraduate Research Awards Board for ratification.

- The examiners' report should contain sufficient detail to enable the respective Boards to assess the scope and significance of the work contained in the thesis. In particular, it should report:

  a) whether the candidate possesses a satisfactory knowledge and understanding of

existing studies relevant to the subject of the thesis;

b) whether the thesis gives evidence of sufficient experience in methods of research and contains a satisfactory statement of the purpose of the candidate's investigation and a critical discussion of the results;

c) whether (for PhD, DProf, DMA and EngD) the candidate has made a significant and original contribution to the particular field of learning within which the subject of the thesis falls;

d) whether (for MPhil, MRes and MSc) the candidate possesses a satisfactory knowledge and understanding of existing studies relevant to the subject of the thesis. There must also be evidence of sufficient experience in methods of research, a satisfactory statement of the purpose of the investigation and a critical discussion of the results.

e) whether, in the case of work described in the thesis being produced in collaboration between the candidate and others, the examiners are satisfied as to the extent of the candidate's contribution;

f) with a concise statement of the grounds on which the examiners have based their recommendations. Examiners are especially asked to include a statement on the scope, character and quality of the work submitted and a statement on the performance of the candidate at the oral examination, if any (compulsory for PhD, DProf and EngD);

g) whether the thesis merits the award of the degree aimed for;

h) whether the candidate has satisfied the examiners in the oral examination, if any.

Examiners are specifically asked to address each of the following sections on the Examiners' Report Form:

Section 2 – Report on thesis and the candidate as researcher
The examiners must write in this section sufficiently detailed statements to justify the recommendation made in Section 1. In completing this section examiners should take account of the Framework for Higher Education Qualifications.

Section 3 – Report on oral examination
In completing this section examiners should take account of the Framework for Higher Education Qualifications.

Section 4 – Issues to be addressed by the candidate when minor typographical corrections and/or minor amendments are required

- If minor typographical corrections or minor amendments to content are needed for the thesis to be accepted the Examiners must indicate the corrections required in this section of the report and return the feedback section to the candidate within 24 hours of the oral. The internal examiner is responsible for sending a copy, at the same time, to Student Administration. Once the report has been received, Student Administration will send a copy of the report to the candidate along with the Declaration 2 form. The examiners must identify on the form which examiner is permitted to sign off the corrections/amendments.

- The candidate will have 3 months from the date of the oral to complete the corrections/amendments to the satisfaction of the named examiner and the required date must be inserted on the form.

- It is expected that corrections/amendments of this nature and extent will be carried out by the candidate before the thesis is returned to Student Administration and before the joint examiners' report is considered by the appropriate Postgraduate Research Awards Board.

- Corrections and/ or amendments must be signed off by the nominated examiner by using the Declaration 2 form. The student will have a copy of this form.

Section 5 - Issues to be addressed by the candidate where major amendments / corrections are required

- If major corrections / amendments to content are needed for the thesis to be accepted the Examiners must indicate the corrections required in this section of the report and return the feedback section to the candidate within one week of the oral. The internal examiner is responsible for sending a copy, at the same time, to Student Administration. Once the report has been received, Student Administration will send a copy of the report to the candidate along with the Declaration 2 form. The examiners must identify on the form which examiner is permitted to sign off the corrections/amendments.

- The candidate will have 6 months from the date of the oral to complete the corrections/amendments to the satisfaction of the named examiner(s) and the required date must be inserted on the form.

- It is expected that corrections/amendments of this nature and extent will be carried out by the candidate before the thesis is returned to Student Administration and before the joint examiners' report is considered by the appropriate Postgraduate Research Awards Board.

- Corrections and/ or amendments must be signed off by the nominated examiner(s) by using the Declaration 2 form. The student will have a copy of this form.

Section 6 – Issues to be addressed by the candidate when resubmission of the thesis is required.

- In cases when a thesis is referred, but re-submission is allowed, examiners must provide a written statement, in Section 6 of the Report Form, giving sufficient detail of the defects in the original submission, and the ways in which these defects might be made good. The joint examiners' report should be submitted within one week to the Student Administration.

- In addition to resubmitting the thesis the candidate should also submit a commentary, attached to the Declaration 2 Form. The commentary should indicate where and how the candidate has addressed the examiners' comments in the resubmitted thesis and how the candidate has met the criteria for the appropriate research award. This commentary will be one of the mechanisms used by the examiners to help them determine whether the candidate has satisfied the examiners in the revised thesis and whether or not a further oral examination is required.

- The candidate should be aware that, while the revision may have addressed the examiners' comments from the first examination, a revision of the nature of a resubmission may have altered the content of the thesis substantially and raise issues that may not have been apparent in the initial examination. Therefore, the

candidate must be prepared to be examined on the whole body of work in the resubmission and not just the suggested changes from the initial examination.

Section 7 – Confirmation of completion of process
This section must be completed in order to

- verify that the candidate has had an opportunity to declare any circumstances which affected their ability to defend the thesis on the day.

- sign off the lodging of pre-oral reports and to verify that issues raised in the pre-oral reports have been addressed.

- Examiners should return the thesis and their completed report forms to PGR Administration within 7 days from the date of the oral examination.

14 Recommendation of the Examiners

The examiners should make a precise recommendation. The available recommendations are as specified in Table E of the Academic Regulations for Research Awards.

15 Resubmission / Oral Re-Examination

If a candidate is required to present a revised thesis, report or portfolio, they will be informed in writing. The arrangements and regulations for the re-examination shall be as if the candidate were being examined for the first time, unless the Postgraduate Research Awards Board has already, on the recommendation of the Examiners for the first examination, excused the candidate from a further oral examination or stipulated otherwise.

The appropriate examination fee and time allowed to re-present will be detailed. The electronic copy will be retained for purposes of comparison with the revised thesis when presented.

The candidate is required to submit a commentary attached to the Resubmission Declaration form, which indicates where and how the candidate has addressed the examiners comments in the resubmitted thesis and met the criteria for the appropriate research award.

Candidates submitting a revised thesis will need to complete a Resubmission Declaration of Originality by Research Candidate form.

If a candidate fails to satisfy the examiners in the re-examination, the candidate is not permitted to submit a further revised thesis except for a lower award, or attend a further re-examination.

Candidates, who are permitted to present a revised thesis and/or are required to attend a second oral examination present, should pay the appropriate fee at the time of re-presentation. Candidates who fail to present their revised thesis within the specified timeframes will be withdrawn in line with their candidature period.

Further information regarding re—examination can be found in the Research Awards Regulations https://www.salford.ac.uk/governance-and-management/academic-handbook

16   Award and Conferment of Degrees

The examiners' recommendation is submitted to the next scheduled meeting of the Postgraduate Research Awards Board which awards the degree on behalf of the University. The Postgraduate Research Awards Board can make one of the following recommendations:

1.   <u>that the degree be awarded;</u>

2.   <u>that the degree be conditionally awarded subject to minor amendments;</u>

3.   <u>that the degree be conditionally awarded subject to major amendments;</u>

4.   <u>permit the candidate to present a revised thesis and to present themselves for examination on a subsequent occasion with a further oral examination within 12 months;</u>

5.   <u>permit the candidate to present themselves for a second oral examination within three months;</u>

6.   <u>that the thesis be presented for the award of MPhil, MSc or MRes (in the case of PhD, DProf, DMA or EngD) within three months;</u>

7.   <u>that the award be not conferred and that the candidature be terminated.</u>

If an award has been made, it is the responsibility of Student Administration to produce an official pass list. The official date of graduation and conferment is the date that the certificate is printed.

If a candidate is hoping to attend the annual Graduation Celebration Event then the report form needs to be completed by a deadline. Dates are confirmed at the start of the academic year and available from Student Administration.

Any corrections needed must also have been made, to the satisfaction of the examiners, and the thesis resubmitted to the Student Administration by the final deadline. As a temporary measure during the period of social distancing due to Covid-19, the requirement to present a hard-bound copy has been suspended. Instead, the candidate must email their Declaration 2 form, and a printers' receipt, to SA-PGR.

If a candidate does not pay or does not make satisfactory arrangements to pay his or her tuition fees then their registration for the academic year in question may be cancelled.

If a candidate is in debt to the University in relation to tuition fees for any previous academic year the candidate shall not be permitted to register for an academic year except with the special permission of the Registrar.

If a candidate does not pay or does not make satisfactory arrangements to pay his or her tuition fees, the results of any assessments shall be withheld from the student.

The Events Office organises the annual celebration, and contacts all known graduates prior to graduation with details of the ceremonies. For further details please see http://www.salford.ac.uk/graduation

17   Copyright, Deposit and Consultation of Thesis

The University's position with regard to ownership of copyright and other intellectual property is stated in the Regulations Regarding Intellectual Property Rights https://www.salford.ac.uk/library/open-research/open-data/research-data-management/legal-and-ethical

One copy of each successful thesis, report or portfolio is deposited as an electronic copy in the University of Salford's Institutional Repository (USIR), managed by The Library. As a temporary measure during the period of social distancing due to Covid-19, it is not necessary for the candidate's supervisor to retain a print copy. Further detailed guidance on submitting a thesis into USIR and on the formats to use is available at https://www.salford.ac.uk/library/resource-discovery/theses

USIR is an Open Access repository and The Library will automatically make the thesis, report or portfolio openly available for consultation, immediately after conferment of the degree or at the end of any moratorium, and in any case at the end of five years. Research theses are made publicly available online via USIR in order to ensure that the benefits of the University's research reach the widest possible audience, in accordance with our commitment to open access. Candidates' theses will be permanently hosted via USIR and they will benefit from having a single stable web link to share. Theses held in USIR will also be made available in the Electronic Thesis Online Service (EThOS), managed by the British Library, where it will be made available on Open Access.

It is the responsibility of the candidate to gain permissions for the inclusion of any third-party copyright material in a thesis, report or portfolio deposited in USIR. If permission cannot be secured from the copyright holder, the candidate should upload to USIR an additional abridged PDF version of the thesis with the copyrighted images/sections removed. The redacted version will be made publicly available in USIR, while the full version will be stored but not available.

The candidate may request that a moratorium be imposed on access to the thesis, for a limited period. The candidate requests this when presenting the thesis for examination and may request a moratorium of up to two years initially. If after two years a further period of restriction is required (one year at a time up to a maximum of five years in total), a new application must be made to Student Administration three months in advance of the termination date. If a new application is not received, it will be assumed that the Moratorium has ended and the thesis will be made available for general viewing on the University's Institutional Repository (USIR).

The inclusion of third-party copyright material in a thesis, report or portfolio is not a valid reason for a moratorium and a redacted version should be created if permissions cannot be secured. All thesis abstracts are publicly available and cannot be restricted; therefore, a sanitised version of the abstract should be submitted.

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18 Academic Appeals and Student Complaints Procedure

The University has established an **appeals procedure** and a student may appeal against the ratified decision of any Postgraduate Research Awards Board after initial consideration by the School Research and Enterprise Committee. This will therefore include the following decisions:

- Termination of candidature
- Requirement to be reassessed or to fulfil other conditions before being permitted to proceed or obtain an award
- Disallowance of progression following annual progress report, interim assessment, transfer assessment or internal evaluation
- Transfer of candidature from a doctoral level to a master's award
- Disallowance of transfer from a master's level award to a doctoral level

Such appeal would be lodged under the 'University's Academic Appeals Procedure'. Further information regarding Academic Appeals can be found via the following web-links:

https://www.salford.ac.uk/askus/admin-essentials/academic-appeals

https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures

Information about the Academic Appeals Procedure is available from the Quality and Enhancement Office. Contact details are academicappeals@salford.ac.uk or 0161 295 4068 or 0161 295 7059.

A candidate shall have the right to use the University's **Student Complaints Procedure** against a recommendation within an Annual Progress Report to refuse re-registration for administrative or procedural reasons, such as the non-completion of a Learning Agreement or non-payment of the appropriate fees at the prescribed times. A candidate shall also have the right to lodge a complaint against a recommendation that re-registration be with an amendment to the duration of the programme of study.

Candidates may obtain information about the Procedure from the University's Quality and Enhancement Office. Please email complaints@salford.ac.uk.

Candidates may obtain independent advice and support from the Students' Union Advice Centre. Please contact 0161 351 5400 or advicecentre-ussu@salford.ac.uk.

19 PhD by Published Works

The guidelines for candidates eligible for the degree of PhD by Published Works are included in Appendix 7.
Regulations governing this award can be found in Section 16 of the Academic Regulations for Research Awards.

20 Higher Doctorate Degrees Doctor of Science (DSc) and Doctor of Letters (DLitt)

The Code of Practice for the Higher Doctorate Degrees at the University of Salford – Doctor of Science (DSc) and Doctor of Letters (DLitt) is described in Appendix 8.

Appendices

Appendix 1
External Examiner Guidance

The University requires that all research degrees are examined by an Internal Examiner and an External Examiner. Where a candidate is also a member of staff within the University, or where appropriate examining expertise cannot be found within the University, a second External Examiner will replace the Internal Examiner. Staff candidates include those who become staff during or after their registration as a PhD candidate.

A proposed individual may not fulfil the role of External Examiner if they have been a student or member of staff at the University of Salford within the past 6 years. A proposed individual cannot act as an External Examiner on more than 2 occasions in the same academic year.

The Examiners are responsible for:

- considering the written work submitted by the candidate;

- arriving at an independent evaluation of whether the work submitted meets the criteria for the award and, if not, in which aspects it is deficient;

- completing an initial independent Pre-Oral Report form and exchanging it with the other examiner on the day of the oral examination;

- consulting with the other examiner and comparing initial reports;

- following examination of all written and, where appropriate, oral evidence, deciding whether the candidate has met the standards for the award;

- deciding upon an appropriate recommendation to the University;

- completing a final Joint Examiners' Report form with the other examiner on the candidate's performance and submitting it to Student Administration, sa-prg@salford.ac.uk;

- in all cases where the recommendation is that the degree be revised and resubmitted for the original or a lesser degree, agreeing with the other examiner a full list of the changes to be made and the work to be undertaken. A copy of this should be attached to the final report.

- in the case of disagreement between the examiners, the Independent Chair will advise the examiners on the regulatory options. The Independent Chair does not have an additional casting vote but should endeavour to help the examiners reach an agreed position.

Appendix 2
Regulations for the Form of Thesis

1   a)   These regulations refer to theses for the degrees of PhD, DProf, DMA, EngD MRes, MSc by Research and MPhil and should be read in conjunction with the Academic Regulations for Research Awards

         b)   These regulations do not refer to dissertations submitted by candidates for the degree of MSc (taught) for MA or for the Postgraduate Diploma, or for undergraduate dissertations.

2   Submission

As a temporary measure during the period of social isolation due to Covid-19, the following submission processes have been introduced:

Submission for examination:

a) The candidate submits a PDF version of their thesis, in place of the usual 'soft-bound' physical copy, and Declaration 1/Resubmission Declaration form electronically to SA-PGR@salford.ac.uk and copies in the relevant PGR-Support inbox and their supervisor, for information.

b) Candidates should also be prepared to submit an editable version of their thesis (e.g. Word version) should an examiner request a copy that they can add comments to.

c) SA-PGR will issue a receipt to the candidate to confirm the thesis has been received, as they do when the physical soft-bound copies are submitted at the askUS desks in University House.

d) SA-PGR saves the thesis PDF to the candidate's SharePoint folder in the JER Documents Library.

e) SA-PGR updates Banner and JER workflow document with the soft-bound thesis submission date.

f) Assuming the required documentation is in place (Notice of Presentation etc.) SA-PGR will then 'despatch' the thesis via email, with Word/PDF versions and alert the relevant PGR-Support inbox in the usual way.

g) Doctoral School will arrange online viva, where necessary.

Final submission for award:

a) Candidates will complete the Declaration 2 form in the usual way - sign-off from examiner(s) and e-thesis receipt number from USIR deposit (see below).

b) The candidate contacts a printer/binder who should give them a receipt for hard binding the thesis according to the usual requirements (see below).

c) The candidate submits the Declaration 2 form and binder's receipt to SA-PGR to be eligible for the next Postgraduate Research Awards Board.

For the duration of these temporary measures, Existing Code of Practice requirements continue to apply i.e. copies of a thesis (in all formats), shall become the property of the University. These regulations refer to any of the copies submitted. At no stage should the student send copies directly to the examiners. ***For thesis read throughout this section thesis, report or portfolio depending upon the nature of the submission***

Once examination of the thesis has been completed and the finalised report form has been received by Student Administration, candidates will be required to submit 1 electronic copy to the University Library repository (USIR) and supply a binder's receipt for production of a hard-bound copy of the thesis before the official degree result can be published and the degree conferred.

At the time of first submission for examination, candidates shall also submit a separate signed Declaration of Originality (Declaration 1 form), countersigned by the candidate's supervisor.

On final submission of an electronic copy and a binder's receipt, candidates shall also submit a signed statement from the internal examiner (or external examiner in the case of staff candidates) certifying that any necessary corrections have been completed satisfactorily, together with a signed statement from the candidate, on a Declaration 2 form available from the Student Administration, that the final versions of the thesis in all formats are (apart from any corrections made) identical to the original submission.

3   Presentation and Binding

a) **Initial Submission for Examination – electronic**
As a temporary measure during the period of social isolation due to Covid-19, the requirement to submit a physical copy of the temporary (soft covered) thesis has been suspended. Instead, candidates must submit a PDF version and be prepared to supply an editable version as noted in Section 2, above. The format of the thesis should adhere to the requirements set out in the section on Permanent Binding (below). Further information on submitting the thesis can be found here:
https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/PGR-FAQs.aspx#submitting-your-thesis
And specific information on formatting the thesis can be found here:
https://testlivesalfordac.sharepoint.com/:w:/r/sites/DoctoralSchoolHub/Shared%20Documents/2019-20%20A%20Guide%20to%20candidates%20on%20production,%20submission%20%26%20examination%20of%20thesis%20v1.docx
Candidates are expected to consult carefully and follow the guidance provided in the above links, which should be considered as part of the Code of Practice, although the information is too detailed to be reproduced in full here. Candidates submitting a thesis in Alternative Formats should also consult the guidance in Appendix 9

b) **Final Submission for Award of Degree – electronic and binder's receipt**
As a temporary measure during the period of social distancing due to Covid-19, the requirement to submit a physical copy of the final (hard bound) thesis has been suspended. Instead, candidates must provide evidence (e.g. a receipt) to show that they have commissioned a binder to produce a permanent, hard-covered copy of their thesis for presentation at a later date, once it is safe and practical to do so. The existing presentation requirements still apply i.e.

Permanent (hard-covered) Binding

The thesis shall be bound within boards covered in buckram. The binding shall be of a fixed kind in which the leaves are permanently secured by sewing. **The format of the theses as outlined below applies both to temporary and permanent bindings and electronic copy where appropriate.**

A maximum thickness of 65mm (2½") (paper only) is permitted. If of greater thickness, two or more volumes per copy will be required. The binding of all volumes must be identical.

The outside front cover of the binding shall bear the title of the thesis, the family name and given name of the candidate, the degree for which the thesis is submitted and the year of submission (See Diagram 1). Where more than one volume is required, the volume number in the format **Vol. I of II** etc. shall be shown after the title of the thesis.

The spine shall be lettered in gold and bear the degree, the given name and family name of the candidate and the year of submission. Initials may be used in place of the given name. See Diagram 1. Where more than one volume is required, the volume number in the format **Vol. I of II** etc. shall also be shown.

The year of submission printed on the permanent hard-binding shall be the same as that in which the soft-bound copies were submitted.

Where lettering runs along the spine it shall be printed in such a direction that it is upright when the thesis is lying flat with the front cover uppermost.

All lettering on the outside front cover and the spine shall be in at least 18pt (6mm) type.

4   Paper and Print

   a) A4 size paper shall normally be used (minimum of 18g per square metre), of good quality and of sufficient opacity for normal reading. In exceptional circumstances, paper other than A4 size may be used when the nature of the thesis requires it.

   b) The thesis shall be presented in permanent and legible form in typescript or print, and shall be typed on one side of the paper only.

   c) Copies produced by photocopying or laser printing are acceptable, provided that the quality is comparable with that of the original thesis.

   d) The minimum point size of the text shall be 12 point, using a sans-serif font.

   e) One-and-a-half, or else double, spacing shall be used, except for indented quotations or footnotes where single spacing may be used.

   f) Margins at the binding edge shall be not less than 30mm and other margins shall be not less than 20mm. In exceptional circumstances, margins of a different size may be used when the nature of the thesis requires it.

5   Pagination

   a) Pages shall be numbered consecutively through the thesis, commencing with the first page of general text, and including appendices, other end matter, and all pages of diagrams, photographs and other non-text pages in the general body of the thesis.

b) Page numbers may be in the centre or right-hand corner of each page, top or bottom, and shall be consistent within the thesis.

c) Front matter, including the Table of Contents and other material preceding the general text, may be numbered in roman numerals (I, II, i, ii, etc.).

6   Front Matter

Arrangement - Front matter should be arranged in the following order:

a) The **title page** of the thesis shall give the following information:

   i. full title of the thesis and any subtitle
   ii. total number of volumes, if more than one, and the number of the particular volume;
   iii. full name of the author;
   iv. qualification for which the thesis is submitted;
   v. name of the University;
   vi. name of the School in which the candidate's research was conducted;
   vii. year of submission.

b) The **table of contents** shall immediately follow the title page and should list in sequence with page numbers, all relevant subdivisions of the thesis, including titles of chapters, sections and subsections, as appropriate; appendices (if any), list of references, bibliography (if any) and the index (if provided).

   The contents list shall refer to any illustrative materials such as slides, sound or video material not bound into the thesis. If a thesis consists of more than one volume, the contents of the whole thesis shall be shown in the first volume and the contents of subsequent volumes in a separate contents list in the appropriate volume.

c) The **list of tables and illustrations** (if any) shall follow the table of contents and should list all tables, photographs, diagrams and the like in the order in which they occur in the text.

d) Any **acknowledgements** shall be on the page following the table of contents and the list of tables and illustrations.

e) If the thesis contains any material which the author has used before, this fact shall be indicated in a **declaration** immediately following the acknowledgements. If the thesis is based on joint research, the nature and extent of the author's individual contribution shall be indicated.

f) For **abbreviations** not in common use a key shall be provided. The **definitions** of any term specific to the thesis shall be given.

g) There shall be an **abstract** of the thesis, not exceeding 300 words, and set out in a form suitable for publication.

7   Text of the Thesis

a)   The thesis shall be divided appropriately into **chapters, sections and subsections**. The system of headings should be consistent and should provide a clear indication of changes in content, emphasis and other features which occur at each stage of the work.

b)   **References** cited in the text may be identified by one of two methods, either:

i)   by numbers typed as superscripts or, if on the line in round brackets, immediately following the relevant word or phrase in the text;

ii)   by citing the author's name and year of publication in round brackets immediately following the relevant word or phrase in the text (see also list of references 9 (b)).

c)   The **list of references** shall be arranged in accordance with the system of citation used (see 7 (b)). When using method (i) the references should be listed in the order in which they are identified in the thesis. When using method (ii) they should be listed alphabetically by the author's surname. In both cases, the list should enable the reader to identify the work cited and to locate the specific passage referred to.

d)   **Footnotes**, if used, shall be identified with other symbols, to distinguish from references.

e)   **Prescribed Word limits** are as follows:

- Doctor of Philosophy (PhD) normally 100,000 words maximum

- Professional Doctorate: DProf 60,000 words maximum and 40,000 words minimum;

- DBEnv 90,000 words maximum and 70,000 words minimum

- Master of Philosophy (MPhil) 50,000 words maximum

- Master in Research/Master of Science/Master of Laws (MRes/MSc/LL M) 40,000 words maximum.

   Where a thesis has a prescribed maximum or minimum word limit this shall not include footnotes and references.

f)   **Language** - the thesis shall be written in English, unless the Postgraduate Research Awards Board grants permission for it to be written in a different language, this language to be specified in each instance.

8   Illustrative Material

a)   Whenever practicable, diagrams, maps, illustrations, computer printouts, published papers and tables shall be bound into the thesis. Colour may be used, provided it is of good quality and permanent.

b)   Photographic prints shall be on single weight paper or permanently mounted on cartridge paper for binding and shall be securely fixed in the thesis.

c)   Musical scores submitted for degrees in musical composition by research must be accompanied by recordings in durable and accessible formats.

d)   Any illustrative material which cannot conveniently be bound in the text, such as maps and slides, shall be packaged in such a way that it can be bound with the thesis document if at all possible. If the amount of such material is substantial is shall be gathered into a supplementary volume and packaged in a rigid container similar in format to the bound thesis.

e)   Unbound material and its packaging, such as video recordings, shall be marked both with the author's name and qualifications for which the work is submitted, in order to link it easily with the thesis. Reference to unbound material shall be made in the thesis, with appropriate instructions for use.

9   End Matter

a)   **Appendices** shall follow the main text. Appendices may consist of supporting material of considerable length or of lists, documents, tables or other material which, if included in the general text, would interrupt its flow. The style of appendices shall be consistent with the style of the main text. Long appendices may be divided into chapters, which shall be entered in the table of contents under the main heading of the appendix.

b)   The **list of references**.

c)   If a **bibliography** is supplied it should be arranged in a logical order, for example in broad subject classes and, within each class, alphabetically by author.

d)   An **index** may be provided to facilitate readers' access to the text of the thesis.

10   Corrections

All corrections are to be made in the electronic version of the document. The final hard-bound copy submission should be clean and contain no ink or pencil markings or track changes or review comments.

If the examiners recommend that the degree should be awarded subject to minor corrections candidates are expected to obtain the Declaration 2 form and any annotated copies of the submitted thesis from Student Administration. (All doctoral candidates would usually be expected to receive two annotated copies of the thesis from the examiners on the day of the oral examination). The examiners may have produced a list of the recommended corrections which are sent to the candidate by Student Administration on receipt of the examiners' reports.

Supplementary Notes for Guidance of Candidates

1   For points not covered by the above regulations candidates are advised to refer to the recommendations of British Standards 4821:1990 *Recommendations for the presentation of theses and dissertations,* copies of which are available in the University Library. Please note that this standard is officially withdrawn but still offers useful guidance.

The following may also be useful and are available electronically on the British Standards Online website and can be accessed via The Library's search service http://www.salford.ac.uk/library.

British Standard 5605: 1990 *Recommendations for citing and referencing published material*

British Standard 1629: 1989 *Recommendations for references to published material*
ISO 690-2: 1997(E) *Information and documentation: bibliographic references. – Part 2: Electronic documents or parts thereof.*

2   Digital IT can advise on how to achieve the layout required by the regulations, providing a candidate is using word processing or other software such as EndNote which is supported by Digital IT.

3   Examples of successful theses produced in accordance with these or previous regulations are available for inspection and can be searched for via the University's online research repository: http://usir.salford.ac.uk/etheses/

4   Candidates may also seek advice on any aspect of these regulations from Student Administration. Candidates may employ whichever firm of binders they wish but may find it convenient to approach an independent firm of binders approved by the University through the Students' Union.

Example of thesis cover and spine details (for physical copies)

MANAGEMENT INFORMATION SYSTEMS

John SMITH

Ph.D. Thesis   2011

John SMITH

2011

Example Title Page

<div style="border: 1px solid black;">

MANAGEMENT INFORMATION SYSTEMS

John SMITH

School of Science, Engineering and Environment, University of Salford, Salford, UK

</div>

Notes on Writing Up and Submitting a PhD thesis

These guidelines are general, and specifics will vary by discipline. Always consult your supervisor before submitting your thesis.

1)   Length

A PhD thesis may vary in length from 100-150 pages (30-50,000 words) in the sciences to up to 250 pages (80,000 words) in the humanities, plus figures, tables and references (and appendices where appropriate). However, writing a long thesis may be counter-productive, because examiners look for quality rather than quantity. The University upper limit is normally 100,000 words. A PhD thesis should present significant contributions to knowledge in the field that are worthy of publication in internationally recognised journals, plus a substantial introductory chapter which reviews the literature and/or contextualises the research, and a shorter concluding chapter that ties the thesis together and suggests future directions.

(2)   Content:

As a rough guide, a good PhD thesis might contain material equivalent to 3 full-length papers in respected and peer-reviewed journals. There is absolutely no requirement to report everything you have done during the course of your research - be selective.

(3) Standard:

PhD examiners must be satisfied that (a) the material in the thesis is of a sufficient standard to be published in a mainstream journal, (b) that it includes new and original observations and conclusions, (c) that there is sufficient material, and (d) that the standard of presentation and written English is acceptable. You should use these criteria, together with familiarity with the main journals/platforms in your field, to guide your choice of matter for inclusion and how to present it.

(4) Publication:

A PhD thesis is technically a form of publication, but is unlikely to add directly to the literature in most fields, unless the work is also published in relevant journals. It is a good idea to submit at least some of your thesis work for publication before you are examined. This gets you into the right frame of mind for writing, helps you improve your academic writing style and gives you feedback from peer group reviewers acting for the journals.

(5) Style:

There is a wide divergence of views about the style of theses and you will need to discuss this with your supervisor(s). Looking at previous theses in your research area is very useful. Some supervisors think that theses should be written in a more discursive style than papers, and that you may use them as a vehicle for presenting results that would probably not be published later. At the other end of the spectrum are those who think that thesis chapters should be in the exact format of papers, so that they can be submitted for publication with an absolute minimum of revision (see the guidance on Alternative Formats in Appendix 9)

(6) Structure:

Remember that your examiners have to read your thesis, so make sure it is clearly laid out, logical and easy to follow. The introduction should explain the general structure of the thesis, how the chapters hang together and what the broad conclusions will be. This makes it easier for the reader to understand what you are trying to achieve, where you are going and whether you achieve your goal.

Appendix 3 – Checklist for Independent Chairs

The primary role of the Independent Chair is to ensure that:

(i)   the Viva Voce examination process is rigorous, fair, reliable and consistent;
(ii) the candidate has the opportunity to defend the thesis and respond to all questions posed by the examiners;
(iii) questioning by the examiners is conducted fairly and professionally
(iv) the examiners adhere to the University's regulations and procedures, giving advice regarding the regulations to both the examiners and the candidate if required;
(v) the examiners concentrate solely on the examining process
(vi) the recommendations of the examiners are communicated clearly to the candidate and in a timely fashion
(vii) the joint examiners report is completed confirming that the examination took place according to the regulations, resulting in one of the outcomes permitted by the regulations

The following checklist is intended to clarify the responsibilities of the Chair in conducting a Viva Voce examination.

Before the Viva

		Make sure you are clear on where and when the Viva is taking place, and have the phone number of someone in the Doctoral School Office in case of any problems on the day (see Appendix for contacts).
		Remind yourself of the Academic Regulations for Research Awards and Code of Practice sections on the examination of research degrees (sections 19 – 22 of the Academic Regulations for Research Awards and 12 – 15 of the Code of Practice, both available at https://www.salford.ac.uk/governance-and-management/academic-handbook Part E, 'Research Programmes') The PGR Support Office will advise which year's regulations apply.
		If relevant, make sure you are clear on specific programme regulations, e.g. for Professional Doctorates, PhD by Published Works or other programmes (Doctoral School Office to advise).
		Familiarise yourself with the University policy and regulations regarding academic misconduct (see https://www.salford.ac.uk/governance-and-management/academic-handbook Part D, 'Student Conduct').
		There will normally be a copy of all the paperwork in the viva room, but as a back-up it is a good idea to bring along a copy of the Pre-Oral Report Form, Joint Examiners' Report Form, and Independent Chair Report Form to take with you on the day.

Pre-Oral Meeting

		While the University remains closed due to the Covid-19 emergency please complete the Home Office 'Right to Work' check (below) for the external examiner(s). This is included in the Independent Chair Report Form.
		On the day of the Viva check the examiners have brought a completed copy of the pre-oral report forms with them. If not, use the headings on the pre-oral report form to identify areas for questioning.
		Chair the pre-oral meeting, in which the examiners use the pre-oral forms to determine an agenda and how the viva will be carried out i.e. external usually takes the lead in questioning; sometimes questions are chapter by chapter or sometimes in order of importance.
		Remind examiners that the student has the option of starting the viva with a

		short presentation of no more than 10 minutes duration.

During the Viva

		At the start of the Viva, introduce all parties and explain role of the Independent Chair. If a member of the supervisory team is present, explain that their role is as an observer only, and check that the student wishes for the supervisor to be present.
		Outline the format of the viva to all those present, and ensure that everyone present understands the procedures to be followed.
		Where a viva is to be conducted online, ask the student to confirm that they are the only person in the room, that the door is to remain closed and – where possible – the door should be in view.
		Check with the candidate that they are "fit to sit" or if there are any special circumstances that may affect their ability to defend their thesis.
		During the Viva make brief notes on procedural matters and conduct of the examination on the Independent Chair Report form.
		Avoid carrying out personal work during the viva, including checking phones and emails.
		Keep an eye on the time and suggest "comfort breaks" where appropriate.
		Ensure that the questioning by the examiners is conducted fairly and professionally. Intervene if there appears to be any unfairness or misconduct in the questioning.
		At the end of the Viva, check if examiners and candidate have any further questions to ask. Ask if the candidate would like to say anything without the supervisor present.
		Ask the candidate and member(s) of the supervisory team to leave the room for the examiners to consider their recommendations to return at an agreed time.

Examiners' Discussion

		Chair the examiners' discussion, and be prepared to advise on regulations. The Chair should be clear on the differences between minor corrections, major corrections and significant revisions and be ready to advise on this.
		Ensure that the examiners fill in and sign the Joint Examiners Report form.
		In the event that the examiners cannot agree on a single recommendation, explain that the examiners are able to submit separate reports. In this event the School Research and Enterprise Committee shall appoint an additional examiner to review the thesis and the original examiners' reports which will be anonymised.

Concluding the Viva

		When they return, report verbally to the student and any member(s) of the supervisory team the final recommendation of the examiners, stressing that this is provisional until approved by the Postgraduate Research Award Board.
		Make sure that the student and member(s) of the supervisory team are clear as to what may be required of the student. Inform the student that they will receive a formal letter from Student Administration detailing the recommendation of the examiners.
		Ensure that the Pre-Oral, Joint Examiners' and Independent Chairs forms are completed with sufficient detail to enable the student to make the corrections, signed and submitted to Student Administration within 7 days of the Viva.

	Student Administration will then ensure that the candidate receives a copy of the Joint Examiners Report Form and, where appropriate, the list of specified, minor corrections or revisions within 10 working days of the date of the Viva.

Links

1. Postgraduate Research Award Regulations and Code of Practice: https://www.salford.ac.uk/governance-and-management/academic-handbook Part E

   See especially sections 19 - 22 of Research Award Regulations and 12 – 16 of the Code of Practice, on Examining the Thesis.

2. Academic Misconduct Procedure: https://www.salford.ac.uk/governance-and-management/academic-handbook Part D

   Useful Contacts
   PGR Manager:
   Tracie Davies, t.davies@salford.ac.uk, ext 50025

   School Support Contacts:
   PGR-supportSOBE@salford.ac.uk ext 53482
   PGR-supportSHaS@salford.ac.uk ext 56435
   PGR-supportSBS@salford.ac.uk ext 54148
   PGR-supportCSE@salford.ac.uk ext 56435
   PGR-supportELS@salford.ac.uk ext 53482
   PGR-supportSAM@salford.ac.uk ext 54148

   Student Administration
   Return scanned copies of forms to sa-pgr@salford.ac.uk or hard copies to Student Records Team, University House.

Appendix 4
An extract from 'The framework for Higher Education Qualifications in England, Wales and Northern Ireland – August 2008'

Descriptor for a higher education qualification at level 7: Master's degree

The descriptor provided for this level of the framework is for any master's degree which should meet the descriptor in full. This qualification descriptor can also be used as a reference point for other level 7 qualifications, including postgraduate certificates and postgraduate diplomas. Level 7 descriptors are also used for the taught element of the DProf.

Master's degrees are awarded to students who have demonstrated:

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

Typically, holders of the qualification will be able to:

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

And holders will have:

- the qualities and transferable skills necessary for employment requiring:
  - the exercise of initiative and personal responsibility
  - decision-making in complex and unpredictable situations
  - the independent learning ability required for continuing professional development.

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

Master's degrees are awarded after completion of taught courses, programmes of research or a mixture of both. Longer, research-based programmes may lead to the degree of MPhil. The learning outcomes of most master's degree courses are achieved on the basis of study

equivalent to at least one full-time calendar year and are taken by graduates with a bachelor's degree with honours (or equivalent achievement). Master's degrees are often distinguished from other qualifications at this level (for example, advanced short courses, which often form parts of continuing professional development programmes and lead to postgraduate certificates and/or postgraduate diplomas) by an increased intensity, complexity and density of study. Master's degrees - in comparison to postgraduate certificates and postgraduate diplomas - typically include planned intellectual progression that often includes a synoptic/research or scholarly activity.

Doctoral level

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

The descriptor provided for this level of the FHEQ is for any doctoral degree which should meet the descriptor in full. This qualification descriptor can also be used as a reference point for other level 8 qualifications.

Doctoral degrees are awarded to students who have demonstrated:
- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice.
- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems.
- a detailed understanding of applicable techniques for research and advanced academic enquiry.

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

And holders will have:

- the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments. Doctoral degrees are awarded for the creation and interpretation, construction and/or exposition of knowledge which extends the forefront of a discipline, usually through original research.

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

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

professional practice and to support them in producing a contribution to (professional) knowledge.

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

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

Appendix 5
Procedure for Postgraduate Research Thesis Notice of Presentation and Appointment of Examiners

Student completes notice of presentation and abstract and sends to supervisor, giving at least 2 months' notice before intended submission date*

↓

Supervisor obtains nomination form EE1 and CV from potential external examiner, nomination of internal examiner and submits nominations to School, along with notice of presentation and abstract. PGR Support Team identifies Independent Chair.

↓

School Research & Enterprise Committee approves examiners, independent chair and the thesis title.

↓

School sends notice of presentation form with confirmation of examiners to SA, at least one month before intended presentation date.

↓

School formally appoints examiners and an independent chair – examiners must confirm acceptance of appointment

↓

School notifies student and supervisor of confirmation of thesis title and invites submission of thesis

↓

Student submits electronic copy of thesis and Declaration of Originality form (Declaration 1) - see procedure for Final Examination for next steps

*Please note the whole process – from notice of presentation and submission of thesis, to assessment and approval of thesis – may take six months to complete

Appendix 6
Procedure for Postgraduate Research Thesis Final Submission and Examination

```
┌─────────────────────────────────────────────┐
│ Candidate submits electronic copies of thesis and │
│ Declaration of Originality form (Declaration 1) to SA. │
│ Candidate requests a moratorium if appropriate │
└─────────────────────────────────────────────┘
                    │
                    ▼
┌─────────────────────────────────────────────┐
│ SA sends thesis to internal and external examiners – │
│ minimum 4-6 weeks required for assessment. This │
│ period can be longer at certain times of the year. │
└─────────────────────────────────────────────┘
                    │
                    ▼
┌─────────────────────────────────────────────┐
│ The PGR Support Officer arranges for the oral exam to │
│ be attended by the candidate, supervisor and │
│ examiners and Independent Chair. │
└─────────────────────────────────────────────┘
                    │
                    ▼
┌─────────────────────────────────────────────┐
│ Examiners prepare independent pre-oral written │
│ reports and exchange on day of oral exam │
└─────────────────────────────────────────────┘
                    │
                    ▼
┌─────────────────────────────────────────────┐
│ Oral exam takes place – questions based on issues │
│ outlined in the pre-oral reports. There are a number of │
│ possible outcomes which are contained in the │
│ examiners' joint report │
└─────────────────────────────────────────────┘
```

Outcome boxes:

- **Criteria met – recommendation degree be awarded**
- **Criteria met – minor amendments to be completed within 3 months of oral exam and sent to nominated examiner with Declaration 2 form**
- **Thesis satisfactory but further corrections required within 6 months of oral exam.**
- **Thesis unsatisfactory - resubmission within 12 months of oral exam with Declaration 2 form and 3 x commentary. 1 resubmission only**
- **Thesis doesn't meet criteria for doctoral level. Resubmit for a lower award within 3 months of oral. 1 resubmission only**
- **Thesis doesn't meet criteria for any PG award. Student's candidature terminated**

Lower flow:

- In each instance the examiners joint report to be submitted to SA within 7 working days of oral exam
- Notified examiner signs off corrections/amendments on Declaration 2 form and returns to student to submit with thesis.
- SA sends joint report (and declaration form if appropriate) to PGR Support Team for information and to student confirming recommendation and confirmed submission deadline
- Student has electronic copy of the thesis and binder's receipt ready for formal submission. Once SA receives examiners' report recommending that the degree be awarded the student may submit their thesis
- Joint report to PRAB
- PG research awards board considers recommendations of examiners and, where appropriate, confirms awards
- SA produces an official pass list and certificates for Research Degrees for students.
- SA notifies candidate of unsatisfactory results or other requirements
- SA confirms to The Library e-thesis can go live

Appendix 7
Guidance for the Award of PhD by Published Works

1 Overview

The degree of PhD by Published Work presents an opportunity for people who have not followed the traditional route of studying for a research degree immediately after graduation to obtain formal recognition for having developed their research skills and subject knowledge to a doctoral level. This may include people entering higher education in mid-career, especially in practice-based disciplines.

The publications submitted as part of a PhD by Published Works provide evidence of the candidate's capacity to pursue research, represent a coherent contribution to research in a given field and demonstrate a depth of scholarship, criticality and originality comparable with that required for a traditional PhD.

The key difference to the traditional route to PhD is that registration does not take place until the publications are completed/almost completed. Once registered, candidates have a maximum of one year, plus one writing-up year to complete their PhD, which includes a critical review of the publications and demonstrates the contribution to knowledge.

In order for the applicant to register the work is assessed via a "prima facie case" which determines whether the published works address a coherent theme and together represent an original and sufficient contribution to knowledge. Guidelines for submission and examination of the thesis are the same as a traditional PhD.

Requirements for the PhD by Published Works

'Published works' may be defined as works which are in the public domain. The published works submitted for the PhD shall normally consist of papers, chapters, research reports or other publications. The publications should normally have been peer reviewed. Research reports prepared for a restricted readership and/or on a confidential basis will not normally be eligible for inclusion in a submission for this degree. Books or book chapters should be allowed only if the material within the submitted work is equivalent to other publications in terms of research focus, theoretical depth or conceptual analysis. In fields such as the arts, they may be other works such as compositions, performances, installations or exhibitions. Where the submission involves creative work, and in line with current research assessment practices, the outputs will be judged in terms of their stated research inquiries, as articulated in an accompanying portfolio of evidence, where necessary (see guidance on submitting practice based works for prima facie below).

The claim for PhD by Published Works will normally be based on 5 – 8 publications (or equivalent), which should usually not have been published more than ten years previous to the date of registration. Where multi-authored works are included, the candidate is required to submit evidence to the individual contribution to the work.

FHEQ Descriptors for qualifications at Doctoral level
The criteria for the award of the degree of PhD by Published Works are the same as for

the traditional PhD.

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

- a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice.

- the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems.

- a detailed understanding of applicable techniques for research and advanced academic enquiry.

All candidates are required to satisfy the assessors of their competence in independent work, of their understanding of the appropriate techniques and of their ability to make critical use of published work and source materials. In addition, candidates for the degree of PhD by Published Works are required to satisfy the assessors that the publications as a whole contain original work of merit and form a distinct contribution to the knowledge of the subject. They should also show evidence of the discovery of new facts or the exercise of independent judgment.

2. Eligibility

The programme of PhD by Published Work is open to those who meet entry criteria as outlined in 'The Code of Practice for the Conduct of Postgraduate Research Degree Programmes' that is, holding the award of a Master's Degree or equivalent or holding a good honours Bachelor's Degree or equivalent and who are able to meet the requirements as assessed in the Prima Facie assessment.

3. **The Pre-Registration Assessment *(Prima Facie)***
All applicants are required to undergo a *prima facie* assessment of their work prior to registration. The Prima Facie is used to make a preliminary judgement as to the quality, coherence and timeliness of the outputs intended for submission for the award of PhD based on published works/productions. Registration will be dependent on this prima facie assessment being passed. The prima facie assessment comprises a written report and an oral assessment. The prima facie assessment is subject to the fee advertised on http://www.salford.ac.uk/study/postgraduate/fees-and-funding/research-degree-fees-and-funding

The application will be assessed by the School Dean or his/her representative, the PGR Director or PhD by Published Works Lead and the proposed supervisor (at least one member of the panel must have experience of undertaking two or more internal evaluations). Where the mentor is also the proposed supervisor, the panel must include an independent member of staff.

NB: A member of staff registered as a PhD candidate is not eligible to act as an assessor for a peer. Prior to the oral examination, the assessors will meet to set the agenda.

The *prima facie* **assessment report** should be 1,000 – 2,000 words (minus appendices and references) and consist of:

- a Title page
- a Content page
- a clear statement presenting the theme of the works submitted and the overall contribution they have made to the discipline or theoretical base;
- an outline of the works submitted including a full reference and abstract for each: an outline of the aims, scope and, where known, impact factor of the medium in which published and the full reference and ISBN for any book or chapter;
- a summary plan for the critical review to be carried out once registered.
- Appendices containing:
  - A statement outlining the extent to which the works are based on the candidate's own independent work; an indication as to the extent that the work was produced jointly and the clear quantitative and/or qualitative apportioning of the extent of the sharing of the work; and statements by those with whom work was shared agreeing that apportioning.
  - References and bibliography.
  - A full curriculum vitae.
  - Copies of all the works submitted for consideration. If the candidate wishes to submit creative practice as a published work, they may want to consider submitting materials associated with this work as a portfolio on the university's Figshare site (https://salford.figshare.com/). Further guidance is available through the School of Arts and Media.

The oral assessment will comprise questions by the panel. The applicant can also provide an oral presentation of no more than 10mins. This should be encouraged as it provides the candidate the opportunity to further illuminate their work prior to questioning from the panel and the oral defence. In all cases the applicant should demonstrate:

- An understanding of underlying issues, the nature of evidence and argument, and the relationships between practice, theory and criticism
- Research methods and skills and practical techniques appropriate to the work
- Knowledge and understanding of the research context of the thesis, and of trends in the discipline
- Knowledge, understanding and skills in analysis and synthesis of research material
- Knowledge and understanding of related disciplines (where appropriate)
- Specialist knowledge, understanding and skills such as an additional language, methodology or technique
- Unique contribution to knowledge within the specific discipline or practice field

The oral assessment and written report will be assessed using the Prima Facie Case Panel Report form (Appendix C). A post-evaluation discussion will take place to discuss the outcome and write the report. The decision of the panel and the rationale for that decision will be fed back to the applicant on the day.

The outcome of the prima facie assessment can be one of the following:

- To recommend that the applicant be eligible to register for the PhD by Published Works
- To recommend that the applicant is not eligible for registration at this time, but to advise that applicant on the nature of additional outputs which might, at a future date, lead to passing the prima facie
- Recommendation for the applicant not to progress

The Prima Facie Case Panel Report (Appendix C) will serve to record:

- The names of those who attended the panel
- The focus of panel discussion in terms of relevance, authenticity, currency and coherence of the submission
- Recommendations for the applicant's consideration
- The final decision of the panel

The panel's decision is provisional until approved by the School Research and Enterprise Committee and this must be emphasised to the applicant.

Repeat prima facie assessments will be subject to the fee advertised on the University Website http://www.salford.ac.uk/study/postgraduate/fees-and-funding/research-degree-fees-and-funding

4. Registration and Duration

Applications for PhD by Published Works are administered and reviewed in the same fashion as applications to other PhD programmes. Application is via an online form, once the prima facie case has been passed. The registration of the candidate shall be for a maximum of 1 year up to the submission of the thesis, plus 1 year for examination, completion and award.

Fees for the PhD by Published Works Programme are published on the University Website:http://www.salford.ac.uk/study/postgraduate/fees-and-funding/research-degree-fees-and-funding

5. Thesis and Viva Preparation

The candidate can submit the completed work no earlier than six months following the date of the prima facie case panel and within the completion year. The candidate shall submit electronic copies in PDF and Word (if requested) format, comprising:
- Title page
- Acknowledgements
- Content page – including numbering of the submitted outputs i.e. papers, chapters, monographs, portfolio, DVDs, creative works etc. all of which must have been published.

- A statement in the case of multi-authored, joint or collaborative work, of the extent of the candidate's own contribution, substantiated by the co-author(s) or collaborator(s).
- An abstract - a succinct summary of the works containing all of the main concepts and conclusions of the work which shall be no more than 200 words in length.
- A summary sheet with a copy of each publication numbered to correspond with the numbers in the summary.
- A critical review of up to 15,000 words stating:
  - o the aims and nature of the research
  - o the wider disciplinary perspectives
  - o the inter-relationship between the material published/produced and the main contribution and/or addition to knowledge of the works
  - o offering a critical appraisal of the work from a micro and macro perspective.
    This is to demonstrate that the candidate has subjected their work to scrutiny and review at the individual publication/production level and also within the wider boundaries of their specific discipline, and to evidence the works as a coherent programme of research, achieving a depth of scholarship and originality comparable to that required for the Award of PhD by thesis.

The total word length of the published work should be broadly comparable to that of the traditional route of PhD by Thesis. Thereafter the candidate should follow the examinations pathway of all of Doctoral candidates as outlined in 'The Code of Practice for the Conduct of Postgraduate Research Degree Programmes https://www.salford.ac.uk/governance-and-management/academic-handbook

Allocation of Research Supervisor/Mentor

As with any PhD, the role of the 'Supervisor' is critical. However during the development stage the relationship is best thought of as **mentorship** rather than supervision. Throughout the development phase the candidate may benefit from seeking mentorship, training or development from sources other than the 'assigned' mentor e.g. if working closely with additional academic members of staff on a research project it may be appropriate and relevant for such staff to provide guidance during this time.

i. During the period of development, mentorship may be provided by academic staff in line with normal practice of PhD by traditional route and their contribution recognised as part of their Performance & Development Plan (PDP) process.

ii. The mentor should be a member of the academic staff of the university who is experienced in research activity, publications and in the area of the candidate's field of work.

iii. Agreement on authorship and /or co-authorship is by agreement with the mentor/s.

iv. The same internal training and support that is available to all Post Graduate Researchers will be made available to registered Published Works candidates in order

to develop the direct and indirect skills to become an independent researcher e.g. School Research Methods Modules, PG Research Training Programme, SPoRT programme.

Completion of Learning Agreement

Having registered to complete a PhD by Published Work, the candidate and supervisor should complete a Learning Agreement. The Learning Agreement (Appendix B) is a contract of commitment, roles and responsibilities between the candidate and their supervisor. It is important that a programme of work, which includes details of how often and in what form supervision will take place, is created from the outset; which is realistic and is regularly monitored. Equally, the nature of study for a PhD by Published Works goes further than merely writing. It is therefore advisable to develop a plan of the generic skills training which may be useful for the successful completion of their programme and to plan intended participation in conferences or other research related activities.

The candidate should let their supervisor know at this point if they have any special/individual needs which should be taken into account. It is important to document these in the Learning Agreement so that the supervisor can take into account any necessary arrangements for the candidate to complete their research.

Applicants with Complete Body of Works

Applicants with a **complete body of works** must discuss their intention to register for a PhD by Published Works with their proposed supervisor, and the School Director of Postgraduate research studies in the first instance.

Only when School Director of Postgraduate research studies and the Research Group Lead agrees that the applicant can proceed, they should be assessed by a prima facie panel arranged by the School Director of Post Graduate Studies (or nominee).

6. **Roles and Responsibilities**

Responsibilities of candidates

- To discuss their intention to work towards a PhD by Published Works with their proposed supervisor.
- To become familiar with PhD by Published Works guidelines
- To prepare for and undertake the Prima Facie assessment, in consultation with their proposed supervisor
- Once the Prima Facie has been passed, to register as a research degree candidate
- To align themselves with a research theme, the research centre or active researchers within the school and become actively involved with the work of the theme or centre.
- Draw up a "learning agreement" that outlines a publication plan, and sets out training requirements, development needs and a proposed timeframe which is appropriate for the candidate.
- To take up appropriate training and development opportunities.
- To participate in an action learning/support group for Published Works candidates as appropriate.
- Meet with allocated supervisor at agreed intervals and review progress.
- Pursue opportunities to become involved in research projects and seek and acknowledge mentorship as appropriate (e.g. co-authorship on publications).

- Review progress and submit thesis within the prescribed timefame.
- Engage in the examination process.

Responsibilities of the supervisor
- Become familiar with PhD by Published Works guidelines and the structure of the PhD by published works thesis

- Participate as active member of the Prima Facie panel
- Provide advice, guidance and feedback on the critical review of the published works
- Meet with the candidate on an agreed basis to ensure their writing plans align with the timescale for completion

Responsibilities of Programme Lead Published Works or PGR Director
- To provide advice and guidance on PhD by Published Works Programme
- Develop mechanisms and procedures for key stages in the process e.g. assessing suitability of applicants
- Allocate appropriate mentors/supervisors if this has not been done through the research programme lead
- Monitor progression of the candidates
- Monitor the learning agreements and progress of those following the programme and report to appropriate parties on an annual basis if required
- Set up action learning/support group for Published Works candidates. The aim of the group is for those engaging with the programme to support each other, e.g. with support at key stages. This should complement, rather than duplicate other school activities such as a writers' group.
- Provide appropriate training for candidates, mentors and supervisors

Responsibilities of School/Directors/research programme leads (or equivalent)
- Ensure that mentors/supervisors are recognised for their contribution within their Personal Development Plan.
- Ensure that the Research Centre and its themes continue to provide an environment where research capacity can be developed and there are opportunities for involvement and development in research and academic writing

Expression of interest for PhD by Published Works

Please submit with brief CV (which includes qualifications, publications and research project involvement)

Name	
School in which your research area sits	
Directorate or Research Group in which your research area sits	
Number of Publications to date **or**	
Planned publications	
Research programme (name lead) if applicable	
Estimated time to formal registration	
Potential mentor	
Short statement of area of interest/theme	

Learning Agreement -   PhD by Submission of Published Works

Instructions for use of this document:

This document should be used alongside the Framework and Guidance for PhD by Published Works. Once complete, print, check the details are correct, sign, obtain your mentor's signature and return to your Research Administrator.

If you have any questions contact the School PGR Director, PhD by Published Works Programme Lead or Research Administrator for your School

Guidance Notes:

Approach to Writing/Research
When considering an approach to writing/research it is important to outline the area of work and the potential coherent theme. An estimated time frame, including an anticipated output per year should also be outlined. Details of research projects which the candidate will undertake or be involved in can also be included.

General Roles of Candidate and Supervisors/Mentors
This relationship should be thought of as mentorship rather than supervision in the traditional PhD sense. It is advisable that throughout the "programme" candidate seek mentorship, training and/or development from other sources according to their needs. For example if working closely with additional academic members of staff on a research project it may be appropriate and relevant for such staff to provide guidance during this time.

Another starting point to understanding the duties of students and mentors (supervisors) is to read the 'Code of Practice for the Conduct of Postgraduate Research Degree Programmes' which is available at the web link listed below. Copies of this document can also be obtained from the Postgraduate Office.
https://www.salford.ac.uk/governance-and-management/academic-handbook

The Learning Agreement is a contract of commitment, roles and responsibilities between a student and their mentor/supervisor. It is important that a programme of work, which includes details of how often and in what form liaison will take place, is created from the outset; which is realistic and is regularly monitored. Equally, the nature of study for a PhD programme goes further than merely writing, and it is therefore advisable to develop a plan of the generic skills training which may be useful for the successful completion of their programme, to plan intended participation in conferences or other research related activities. It is advisable for the student to reach an agreement with their mentor on how they will be acknowledged, for example in any publications.

The candidate should let their mentor know at this point if they have any special/individual needs which should be taken into account. It is important to document these in the Learning Agreement so that a student's mentor can take into account any necessary arrangements for the candidate to complete their research. (N.B. it is the duty of the mentor to encourage the student to inform the Disability and Learner Support Service of their needs in order for appropriate support to be organised.)

Writing/Research Support
In certain research projects (only if applicable) candidates may need to consider the equipment and facilities (including the financing and purchasing of such equipment and facilities) they need, along with the health and safety concerns associated with the project which must be addressed before starting their research.

Another element of research applicable to some projects may be field work. When planning field work it may be worthwhile to consider the associated costs, who will meet these costs, if extended periods of field work are an expected part of the project then it may be necessary to agree with the mentor about time away and mentorship during this time.

It is important to identify research and operational training requirements associated with the research being undertaken. All University wide research training maybe viewed and booked using the Online Booking System for the Salford Postgraduate Research Training Programme available at https://myadvantage.salford.ac.uk. Most training session material is also available through Blackboard. Many sessions are also held virtually in real time, for details please visit https://myadvantage.salford.ac.uk.

Consultation and Review
Candidates should agree a minimum set number of meetings every year. For such formal meetings it may be worthwhile to prepare in advance the topics for discussion during the meeting. Keeping a record of agreed activities and tasks aligned with key objectives is recommended. The meetings should ensure that candidates are on track with their initially agreed programme of work. It is the candidate's responsibility to review and develop the initially agreed programme of work and to update their mentor on attained progress or difficulties. Progress should be discussed with their supervisor as part of the Self Evaluation report. Other mechanisms for review /assessment of the work in progress can be used dependent on the requirements of each candidate.

Approach to Collaborating Organisation (if applicable)
When establishing a collaborative partnership with an organisation it is worthwhile to document the listed areas of mutual benefit for all parties. The candidate should set their objectives in terms of what they intend to gain from the partnership and how the organisation will benefit from being a part of the research project. The practicalities of working at an organisation must also be planned and discussed with the organisation such as liaison with the company/supervisor, protocol for contact with the collaborating company. These links should be discussed with both the mentor and research programme lead (as appropriate)

Learning Agreement Questions
The questions listed at
https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/Learning-Agreements.aspx should be the starting point for discussing the Learning Agreement with the mentor. The list is not exhaustive, and it is likely that candidates will have to consider further questions when thinking about their specific situation. Additional headings can be added as required.

Learning Agreement -   PhD by Submission of Published Works

Date	
Name	
Approach to Writing/Research	
General roles of candidate and mentor	
Topic specific roles	
Research Support	
Research Training	
Consultation and reviews	

Research Ethics

Any research involving human subjects or animals must conform with the University's policy and procedures on 'Integrity and Self-Regulation in Research' https://testlivesalfordac.sharepoint.com/sites/EthicsandResearchGovernance?e=1%3Acfe85 2d5caec4a7e853b02f0cfc5adf7

It must be discussed with supervisors in advance, and approval obtained from the University Research Governance and Ethics Sub-Committee before any data collection or fieldwork commences.

Intellectual Property Rights

Intellectual Property created by a registered student of the University is subject to the existing University regulations governing Intellectual Property Rights if created by the student when working on a project connected with his/her course of study or research or created by utilisation of University resources.

Learning Agreement -   PhD by Submission of Published Works

<div style="border: 1px solid black; padding: 10px;">

This Learning Agreement is made on......................................between the above named candidate and the University of Salford

Signatures:

Mentor/Supervisor: …………………………………………………………………… Date: ………………..
For and on behalf of the University of Salford

Candidate: ………………………………………………………….. Date: ………………..

</div>

Learning Agreement completed	
Review Dates	
Anticipated date of Prima facie assessment	
Anticipated date of registration on PhD by Published Works programme	
Latest possible date of registration on PhD by Published Works (normally within10 years of first publication)	

Please print this document, sign and date and return to your Research Support Officer

Office Use:

PRIMA FACIE – PhD BY PUBLISHED WORKS

<table>
<tr><td>

Name of candidate:
…………………………………………………………………………………………….

School:
………………………………………………………………………………………………
…………....

Is this a repeat Prima Facia Assessment?: YES /NO Date of original assessment:
……………………..

Working title of Thesis:
……………………………………………………………………………….……

………………………………………………………………………………………………
………………………….

</td></tr>
</table>

It is expected that the candidate demonstrates that their work fulfils the FHEQ Descriptors for qualifications at Doctoral level:	Tick:
- the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication; - a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice; - the general ability to conceptualise design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems; - a detailed understanding of applicable techniques for research and advanced academic enquiry	

COMMENTS

For the Prima facie submission Confirmation of:	**Comments**	**tick**
a full curriculum vitae;		
a clear statement presenting the theme of the works submitted and the overall contribution they have made to the discipline or theoretical base;		
an outline of the works submitted including a full reference for each: an outline of the aims, scope and, where known, impact factor of the medium in which published and the full reference and ISBN for any book or chapter;		
the full abstract for each work submitted;		
a statement outlining the extent to which the works are based on the candidate's own independent work; an indication as to the extent that the work was produced jointly and the clear quantitative and/or qualitative apportioning of the extent of the sharing of the work; and statements by those with whom work was shared agreeing that apportioning.		
A Summary of the plan for the critical review to be carried out in the completion (registration year)		

ADDITIONAL COMMENTS:

Recommendation:
(Please tick the appropriate box)

a. Proceed to registration for award	
b. Additional work is required before formal registration	
c. Recommendation for the candidate not to progress	
Where the panel have indicated b. or c. above then additional detail should be provided below. Please provide as much information as necessary to provide applicant with clear guidance e.g. number of papers, change of focus, additional mentor support required:	

Prima Facie Assessment Panel Members:

Confirmation by the following members of the Panel:

(i) School Dean/or Nominee Chair of Panel: …………………………………………..

Signature: ………………………….………   Date:…..………………..…

(ii) Other academic staff member: ……………………………………………..

Signature: …………………………   Date:………..………………

Please sign and date this document and return to your School Doctoral School Officer

Postgraduate research team office use only
Date of receipt …………………………………..   Date checked …………………….
Date approved by SREC………………..……

Appendix 8

Code of Practice for Higher Doctorate Degrees at the University of Salford – Doctor of Science (DSc) and Doctor of Letters (DLitt)

Higher Doctorate and Criteria
The Doctor of Science (DSc) and Doctor of Letters (DLitt) is awarded to graduates of the University, or members of staff, who are judged by external peers to have made an original and distinguished contribution to their field of research. These degrees have a higher standing than either a Master's degree or Doctorate and through the award recognize the authoritative standing of the candidates within their field. They are awarded to those who:

- have produced work of high distinction which constitutes original, sustained (not less than 7 years), and considerable scholarly impact, and
- have international leading distinction within the field of study, and
- have produced seminal publications in high impact journals or equivalent.

Process and Procedure

Eligibility	• Member of staff of the University of Salford with at least three years' service and a recognised Bachelors, Masters or Doctoral degree awarded by another University; or • a graduate of the University of Salford not less than 8 years standing from admission to his/her first degree.
Admission	**Application** • Applications shall be made to the Director of Postgraduate Research and shall include: a list of the published works which the candidate is submitting, a summary with commentary of the work upon which the candidature is to be based, and a brief curriculum vitae. **Pre-registration Assessment (Prima Facie)** • The application shall be forwarded by the Director of Postgraduate Research to the Dean of School appropriate to the field of study who shall convene an assessment panel to determine whether there is a prima facie case for proceeding with the application. • The assessment panel shall comprise of the Dean of School and the Associate Dean of Research, or their nominees, and an independent Professor. **Registration** • Upon a successful prima facie assessment and the payment of the required registration fees, the applicant will be registered as a Higher Doctorate candidate.
Preparation for Submission	The Director of Postgraduate Research, in consultation with the Dean of School appropriate to the field of study, will allocate a University adviser to the candidate to provide guidance on the next stage of submission.
Duration	A formal submission must be made within 3 months of being registered.
Formal Submission	The candidate shall submit electronic copies of 1) up to ten selected published works, 2) a critical commentary of up to 10,000 words describing the

	candidate's research career, how they have established their research reputation, and how the criteria for the degree are met, 3) a statement outlining the extent to which the works are based on the candidate's own independent work; an indication as to the extent that the work was produced jointly and the clear quantitative and/or qualitative apportioning of the extent of the sharing of the work; and statements by those with whom work was shared agreeing that apportioning, and 4) a statement whether any of the published works have been submitted for an award at this or any other university. The University shall retain the submitted copies.
Assessment	• The Director of Postgraduate Research, on the advice of the relevant Dean of School, shall appoint three external expert examiners in the relevant discipline(s) and an independent chair from amongst senior University academic staff with Research Centre membership. • The examiners may require a candidate to present themselves for a viva voce examination. • The examiners shall recommend by unanimous decision to the Postgraduate Research Award Board whether the candidature merits the award against the criteria laid down in the Regulations, the principal of which is that the candidate must be judged to be a leading international researcher in the field of study who has made significant, original and distinguished contributions to that field.
Appeal	A candidate shall have the right to appeal against the decision of the University, through the Postgraduate Research Awards Board. Such an appeal should be lodged under the University's 'Academic Appeals Procedure'.

Appendix 9
Information on Alternative Format Theses

GENERAL

The Alternative Format (AF) thesis allows a postgraduate doctoral or MPhil student to incorporate sections in the thesis that are in a format suitable for submission for publication in a peer-reviewed journal or equivalent. Materials included may be solely and/or partly authored by the student and may be already published, accepted for publication, or submitted for publication in externally refereed contexts such as journals and conference proceedings. Materials do not have to have been published or submitted for publication, but their contents and presentation should be of a standard that would merit submission for publication in appropriate academic or professional titles, and the candidate must deposit their materials in the appropriate repository. Candidates do not have to be sole or first authors on the papers included though it is expected that they will have taken a major role in all aspects of production of the papers, including data acquisition, analysis and writing of the paper. Where candidates have collaborated or are co-authors in the papers presented, they must make their level and extent of contribution to these and the contribution of others explicit in the introduction of the thesis.

The work presented in an AF thesis must constitute a body of work comprising a coherent and continuous thesis rather than a series of disconnected papers and must conform to the same standards expected of a traditional thesis i.e. the thesis must represent an original contribution in the field of research, show evidence of originality and independent critical judgement. Criteria for award of the degree of a thesis presented in AF will be identical to those of a standard format thesis and possible outcomes/recommendations examiners may select are also identical and are outlined in the Academic Regulations and Code of Practice for the Conduct of Research Degrees. https://www.salford.ac.uk/governance-and-management/academic-handbook

PRESENTATION OF THE THESIS

The incorporation of publication-style chapters in the thesis may lead to some duplication as each publication–style chapter may have components that overlap with parts of the other sections of the thesis. As a consequence of this, an AF thesis may be slightly longer than the standard doctoral/MPhil theses which normally have an expected maximum length of up to 100,000 words and 50,000 words respectively.

The AF thesis should adhere to the basic principles of a traditional thesis and comply with the guidelines outlined in sections 9, 10 and Appendix 2 of this document. The thesis should also include a general introduction to set the context and hypotheses which should include details of each paper contained within the thesis and a narrative of how these papers constitute a coherent body of work. It is important that aims and objectives are written to emphasize how the body of work interconnects. In addition, where 'results' chapters are appropriate, each would be presented as a stand-alone 'paper' with an abstract, introduction, materials and methods, results, discussion and references. An example of a practice-based MPhil by alternative formats may be seen here: http://usir.salford.ac.uk/id/eprint/52290/ . A final concluding general discussion chapter should bring the thesis together.

EXAMINATION OF THE THESIS

Examination of an AF thesis will be carried out in exactly the same way as a traditional thesis.

The number of papers included in an AF thesis is not prescribed as this may vary according to discipline and, although there is no upper limit, typically 5-8 'papers' or equivalent chapters are presented. Examiners will then be expected to judge whether the quantity and quality of the work, the critical analysis and originality of research and the defence of the thesis in the viva justifies the award of the degree.

Candidates submitting in AF may include negative data though it may be necessary to include supplementary information such as statistical data or a more detailed description of methods to fully satisfy examiners in terms of detail, control data and description of methods. Space restrictions in the published papers may also result in a candidate not providing sufficient detail in the thesis regarding methodology used, etc., and candidates are therefore advised to ensure that particular care is given to fully demonstrating the required level of academic rigour in all aspects of their research training and thesis presentation.

Examiners may request changes to the chapters presented in journal format even if they have been published or may also request that the thesis be resubmitted in traditional format.

Further information is available from the Doctoral School.