



University of  
**Salford**  
MANCHESTER

# **Code of Practice for the Conduct of Postgraduate Research Degree Programmes 2016/17**

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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 revised Research Award Regulations amended and approved by the University of Salford.

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

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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 Research Award Regulations

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 Research Award Regulations:

<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/research>

# 1 APPLICATION AND 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 PGR Support Office.

For a list of awards offered, including categories of candidatures, approved by the University of Salford, refer to the Research Awards Regulations (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 than the University minimum. Further information relating to English Language requirements and general admissions can be found in the Admissions and Retention Policy: <http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2>
- 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

## 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 and 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.

Primary supervisors must have completed supervisor training and had 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 nor to act as assessor at the Interim Assessment and Internal Evaluation, or viva.

- 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 7). 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 Research Award Regulations).
- 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 the Award of Doctor of Philosophy (PhD).
- d) Candidates 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. (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 8) 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 changes with Home Office Visas and Immigration Service regulations, students must complete their registration within a maximum of ten days following the end of the defined registration period. 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 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 15 of the Research Award Regulations. Prior to any arrangements being agreed schools must seek advice from Research and Enterprise and where appropriate the International Office. R&E 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 including library and computing.
- 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 Research Award Regulations and at <http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/research>
- 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). In addition, most candidates who submit a request to extend their completion period will be required to pay further tuition fees and will be charged at the appropriate fee for the academic year in which the extended study is required. (Refer to section 10 – Interruption of Study and Extensions of Period of Study)

For information on registration, please select the registration tab on [www.mystudentinfo.salford.ac.uk](http://www.mystudentinfo.salford.ac.uk).

## **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 and is aware of a suitable induction programme; that all forms/documentation is fully completed, dated and signed as required.
- b) Provides advice on the viability of the research proposed by the student and to assist with the conceptual support required for the development of the research; assist 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:  
<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2>
- 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  
<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures>.
- 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.
- g) Ensures that candidates are aware of current developments in both their own area and the broader area of research; encourage the candidate to integrate with, and contribute to the academic community of the University; encourage the candidate to become an independent academic researcher in their field; arrange for the student to make presentations on their research work to their peers and other academics.
- h) 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 5 per year; for 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:

- during induction week;
- to allow for the discussion and drafting of the Learning Agreement;
- prior to the completion of the Annual Progress Report and Self-Evaluation Document by the supervisor and student respectively;
- prior to both the Interim Assessment and Internal Evaluation, to explain and discuss their purpose, as well as the nature of the written submission;
- subsequent to both the Interim Assessment and Internal Evaluation, to discuss their outcomes, and define consequent actions;
- prior to final submission of the thesis;
- prior to the Viva Voce, to explain and discuss the procedure;
- 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 the Interim Assessment and 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.

- i) Provide a regular structured review of work produced by the student and being accessible to the student at other appropriate times when they might need advice.
- j) Create an open record of progress, showing personal development, achievement and all status reports on the student's work. To notify the student promptly if the work is unsatisfactory and provide guidance on remedial needs. To ensure that the Learning Agreement is updated whenever necessary.
- k) Organise the Annual Review of the student's progress and to complete the supervisor's Annual Progress Report.
- l) In the case of PhD students, supervisors organise the 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].
- m) Organise the Internal Evaluation of the student prior to final assessment (attending the assessment as observer).
- n) Ensure that the student understands the nature and process of examination of the thesis.
- o) Make recommendations on the selection of examiners for the thesis.
- p) Advise 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.
- q) Protects the candidates intellectual property rights (see Appendix 1)
- r) Advises the candidate on the preparation of material for publication.

- s) 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; familiarise self with academic good practice and attend appropriate induction events.
- c) Seek advice and constructive comment on the research work.
- d) Ensure that all forms/documentation is fully completed, dated and signed as required; to check their Salford email accounts on a regular basis, since all communication will be conducted through this email and not personal email accounts.
- e) Contribute 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 consult with the supervisor and co-supervisor in accordance with the agreed programme of work as set out in the Learning Agreement.
- g) Obtain appropriate ethical approval for their project, with the support and direction of the supervisor.
- h) Liaise 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) Integrate with, and contribute to the academic community of the University, by participating in Research Centre conferences/workshops.
- j) Familiarise themselves with the literature and issues associated with the research field, as well as the principles of good research practice. To take the responsibility to become an independent academic researcher and expert in the field.
- k) Attend such courses and training as recommended by the supervisor or the University.
- l) Undertake such health and safety training as required by the supervisor and the University. To undertake the research in a safe manner.
- m) Attend regular research meetings agreed with the supervisor. To provide the supervisor with written work and an agenda in a reasonable time before meetings; to complete and log the supervisory record and agreed actions. To provide the supervisor with other written work according to the agreed Learning Agreement.
- n) Complete and submit an annual Self Evaluation Report, and to notify 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) Participate in all assessments of research progress required by the Regulations (e.g. for PhD the Interim Assessment and 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 the Interim Assessment and the Internal Evaluation.

- p) Present the research work to peers and other academics.
- q) Publish in connection with the work only with the prior knowledge of the supervisor.
- r) Write the thesis; plan the submission of the thesis within the scheduled registration period and to submitting to the supervisor a notice of presentation form **at least two months** before the planned presentation date.
- s) Acknowledge that the supervisor's endorsement of a request to submit a thesis does not prejudice 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) Study conscientiously and at a level appropriate to the level of the research degree.
- u) Devote sufficient time to the mode of study; A full-time candidate wishing to be permitted to undertake or continue other work shall submit an application in writing to the School Research and Enterprise Committee, stating the nature and extent of the proposed work, except that a candidate appointed as a demonstrator or similar in the University shall not be required to seek the permission of the School Research and Enterprise Committee to undertake the duties of that post.
- v) The direction of a part-time candidate shall be generally by personal supervision and not simply by correspondence. A part-time candidate shall be required to meet his/her Supervisor either in the University or elsewhere at such frequent and regular intervals as the School Research and Enterprise Committee may in each instance stipulate. 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 his/her 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 his/her 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:

<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2>

The Student Charter is available on the student channel

[http://www.salford.ac.uk/\\_data/assets/pdf\\_file/0004/534361/uos\\_student\\_charter.pdf](http://www.salford.ac.uk/_data/assets/pdf_file/0004/534361/uos_student_charter.pdf)

## 6. ETHICAL APPROVAL

- 6.1 The University requires research to be consistent with basic ethical principles, and therefore ethical approval must be considered by all students studying for a postgraduate research degree. The preliminary ethical checklist (available at [http://www.pg.salford.ac.uk/page/progression\\_forms#LA](http://www.pg.salford.ac.uk/page/progression_forms#LA))

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 ethical approval, if required, is obtained in good time.

- 6.2 Students whose research includes human subjects, animals or human tissue MUST apply for Type 3 ethical approval. Full ethical approval must be obtained prior to any data collection. Any student who has not obtained the required level of ethical approval, and who uses their data as part of their Interim Assessment or Internal Evaluation will automatically fail the Interim Assessment or Internal Evaluation, and the data collection will have to be repeated once ethical approval has been obtained. This may affect progression as repeat assessments can take place up to 3 months after the original. The Ethical Approval Form for Postgraduate Researchers is available at <http://www.pg.salford.ac.uk/page/forms>

## 7 MONITORING OF PROGRESS – PROGRESSION OF CANDIDATURE

For regulations governing the progression of Postgraduate Research Candidates, please see the Academic Handbook <http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2>

Details of progression points, guidance and documents can be found on the Postgraduate Research website [http://www.pg.salford.ac.uk/page/progression\\_forms](http://www.pg.salford.ac.uk/page/progression_forms)

### 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 fulltime and part time doctoral candidates (Professional Doctorate candidates within 6 months).

This document also details the planned research (including ethical considerations) and the candidates 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 THE INTERIM ASSESSMENT

An **Interim Assessment** shall take place between months 9-11 of a full-time candidature, months 15-20 of a part-time candidature and 27-33 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. The panel shall comprise the School's nominee and one other appropriate member of staff, both whom are approved by the Associate Dean Research & Enterprise. They should be independent to the supervisory team. 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 up to 4,000 words describing current and future intended progress in their research and which takes account of guidance on the form and content of the report offered by the Pro Vice Chancellor (Research and Enterprise) advised by the Associate Deans (Research and Enterprise). The candidate shall submit to the panel a report and be examined orally by the panel.

The panel shall report to the School Research and Enterprise Committee and Postgraduate Research Award 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 IA is carried out no later than 3 months after with the same assessment panel. In addition to a repeat oral assessment a revised IA report may be required by the assessors.

Failure to successfully complete the repeat 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 the IA is foregone as 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.

### 7.3 THE INTERNAL EVALUATION

An **Internal Evaluation** shall 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

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 the School's nominee and another appropriate member of staff, both of whom are approved by the Associate Dean Research & Enterprise or nominee, and who are not part of the candidate's supervisory team. At least one member of the panel should not have served on the candidate's Interim or Transfer Assessment panel. The Supervisor may be in attendance as an observer at the Internal Evaluation at the Supervisor's and Candidate's discretion.

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 offered by the Pro Vice Chancellor (Research and Enterprise) advised by the Associate Deans (Research and Enterprise). The candidate shall be examined orally by the panel.

If a panel is unable after 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 Internal Evaluation by no later than three months after the original holding of the Internal Evaluation of a full-time candidature, and 6 months of a part-time candidature.

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

The panel shall report to the School Research and Enterprise Committee and the Postgraduate Research Award 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:

- (i) continuation of the candidate on the doctoral level Award;
- (ii) transfer to another Research Award: Master of Philosophy (MPhil), Master in 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 the Internal Evaluation at the Supervisor's and Candidate's discretion.

Should either the interim assessment or internal evaluation need to be repeated, this should be by no later than three 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 the Interim Assessment and Internal Evaluation can be found at [www.pg.salford.ac.uk/page/progression\\_forms](http://www.pg.salford.ac.uk/page/progression_forms)

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 an Interim Assessment or 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 the Interim Assessment and 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 an Interim Assessment and Internal Evaluation, this will be subject to a Discretionary Additional Formal Evaluation which shall take the same form and follow the same process, including reporting arrangement, as an 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.

The report template can be found [www.pg.salford.ac.uk/page/progression\\_forms](http://www.pg.salford.ac.uk/page/progression_forms)

### **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 to 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 [www.pg.salford.ac.uk/page/progression\\_forms](http://www.pg.salford.ac.uk/page/progression_forms)) with the endorsement of the supervisor which will be submitted to the appropriate research office within the School 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 may be approved for multiples of 3 months and up to a maximum of 12 months. During the interruption period, the student is not a registered student of the University and will not have access to any University facilities including email, Library, supervision, laboratories etc. No tuition fees would be payable. Both the minimum period of research and the thesis submission date are extended by a corresponding period.

**In line with Home Office Visas and Immigration Service (HOValS) requirements, overseas students on Tier 4 Student visas are required to leave the UK during this period. The University is required to inform the HOValS of student interruptions to their studies. Failure to leave the UK could significantly impact current and future visa applications.**

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 AskUS Student Advice and Support, contact details can be found below:

Email: [askUS@salford.ac.uk](mailto:askUS@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 School PGR Support Office 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. 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 Award 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.

## 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 School Research and Enterprise Committee 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 the Research Award Regulations: <http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2> Regulations 28, 29 and 30 of the Research Awards Regulations contain useful information relating to the contents thesis.

Further information of the contents for PhD by Published Works can be sourced online: <http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/research>

## 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 approving it is the students own work and within the prescribed

- 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 in the University. This will give an idea of the required standards. 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 the 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.
- 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. Self-Plagiarism is a type of plagiarism in which the writer republishes a work in its entirety or reuses portions of a previously written text while authoring a new work. Duplicate publication is the most common form of self-plagiarism, but other forms exist and include redundant publication, augmented publication, also known as meat extender, and segmented publication, also known as salami, piecemeal, or fragmented publication. The key feature in all forms of self-plagiarism is the presence of significant overlap between publications and, most importantly, the absence of a clear indication as to the relationship between the various duplicates or related. As theses are published online and as candidates are actively encouraged to publish their research, there are issues of copyright to consider. Violation of copyright would also be considered misconduct. It should be noted that journal publishers do not normally view the publication of an academic thesis as prior publication and vice versa authors; are generally allowed to include their journal articles in full or in part in a thesis or dissertation for non-commercial purposes.
- 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 s/he believes s/he 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 the 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 [http://www.pg.salford.ac.uk/page/progression\\_forms](http://www.pg.salford.ac.uk/page/progression_forms). 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 PGR Support 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)
- o. All theses must be submitted for examination in a temporary soft-binding. Following successful examination, the candidate will be required to rebind their theses (incorporating any corrections) in a permanent (hard) binding. (See Appendix 2 for full regulations on binding.) 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 two soft-bound and one electronic PDF copies of the thesis at the Student Administration Office, the candidate needs to submit a separate signed declaration of originality (a Declaration 1 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.
- q. A copy of the summary of the thesis (abstract), not exceeding 300 words, should be bound into each copy of 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 2 external examiners are appointed.

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 prejudice 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 his/her appointment as set out in this Code of Practice. Further guidance can be sought in the Research Award Regulations <http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2>

**The Independent Chair** who is a member of academic staff from a School different to that of the candidate; will be from a central pool of Independent Chairs maintained by the PGR 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, 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 Chairs Report. (Appendix 3)

## 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. The candidate submits the two soft-bound copies along with an electronic PDF version of the thesis, report or portfolio to the Student Administration, which despatches them to the appointed examiners. 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. If the supervisor is not available there must be someone from the supervisory team on call for purposes of providing clarification to the examiners if required, and certainly to be present for the summary part of the proceedings.
- 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 of the candidate. The supervisor is in attendance as an observer and only whilst in the presence of the candidate.
- e. 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/Publications/InformationAndGuidance/Documents/FHEQ08.pdf>
- f. 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, the oral may be conducted elsewhere or by video conferencing and, if so, the supervisor makes a written case, giving the reasons, to seek approval from the School Research and Enterprise Committee.
- g. Experience suggests that care needs to be taken to make the candidate feel at ease, particularly if there is any problem of 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 he or she considers to be the strengths of the thesis
- h. 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.
- i. 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.
- j. 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.
- k. 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.
- l. The candidate is normally informed of the outcome of the viva on the same day.
- m. 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.
- n. In the event that a resubmission is necessary, the candidate may be called for a further viva, and that 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 Award Board.
- If the candidate is not told the outcome on the day, the Independent Chair must give the candidate a clear indication of how he or she 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 Research Award Regulations.

### **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 the Student Administration and then submitted to the Postgraduate Research Award 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 the Student Administration. Once the report has been received, the 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 4 weeks 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 the Student Administration and before the joint examiners' report is considered by the appropriate Postgraduate Research Award 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 the Student Administration. Once the report



has been received, the 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(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 the Student Administration and before the joint examiners' report is considered by the appropriate Postgraduate Research Award 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.

### **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 being pre-printed on the report form, as follows:

### **Section 1 Award**

Box A (1)

Examiners should tick Box A (1) if they agree that there are no issues requiring further correction or amendment and that the criteria for the standard of award with reference to the Framework for Higher Education Qualifications have been met:

Box A (2)

Examiners should tick Box A (2) if they agree that the above criteria have been met but that some minor typographical corrections/amendments to content are needed which are not sufficiently serious to merit resubmission of the thesis and can be completed within 4 weeks of the date of the oral examination.

Minor corrections permissible under Box A (2) Conditional Award are the following:

Typographical errors; but if the errors, though trivial individually, are so numerous as to suggest carelessness on the part of the candidate, or so intrusive as to distract the reader's attention from the argument of the thesis, the examiners would be fully justified in ticking box R (1);

Minor amendments permissible under Box A (2) Conditional Award are the following:

Minor amendments, additions, replacement of the text, references or diagrams. For example:

- the replacement or addition of up to one or two paragraphs of text
- at most the replacement or addition of one or two pages (ensuring pagination is corrected)
- the addition or removal of a few references
- the insertion or removal of a table or figure
- the correction of a few errors of spelling or syntax

all of which could be achieved by pasting inserts over the incorrect text.

### Box A (3)

Examiners should tick Box A (3) if they agree that the above criteria have been met but that some major typographical corrections/amendments to content are needed which are not sufficiently serious to merit resubmission of the thesis and can be completed within 3 months of the date of the oral examination.

Major amendments permissible under Box A (3) Conditional Award are the following:

- the revision of a single chapter, or equivalent, to improve clarity of argument or presentation but NOT for the purposes of revising analysis or carrying out additional data collection;
- the reformatting of analytical presentation to improve clarity or reinforce the impact of the thesis's argument;
- the correction of a significant number of errors of spelling or syntax, as long as these are not serious enough to impede understanding of the thesis;
- the updating or amendment of references in the literature review to ensure completeness, but which do NOT constitute inadequate theoretical understanding or knowledge of the discipline

The examiners must decide who will sign off the major amendments: the internal examiner and / or the external examiner. Responsibility for signing off major amendments will then lie with the examiner(s) specified, and recorded on both the Joint Examiners' Report and the Independent Chair's report. **The decision to award major amendments does not allow a second viva examination.**

## Section 1 Resubmission

Boxes R (1) R (2) and, for doctoral awards, R(3)

Examiners should tick one box in the following circumstances:

Box R (1) if the thesis is unsatisfactory in substance and/or defective in presentation or detail and requiring further research and a further oral examination (if any, in the case of masters awards); the candidate has 12 months from the date of the oral for doctoral awards; 6 months from the date of the oral for Masters awards, to complete this work satisfactorily.

Box R (2) if the thesis is satisfactory but requires a further oral examination; this should take place within 3 months of the date of the first oral.

Box R (3) if the thesis does not meet the criteria for a doctoral level award on the basis that substantial work required is required to bring it to doctoral level; the candidate is invited to resubmit the thesis for examination for a lower award and has 3 months to resubmit.

## Section 1 Not awarded

Box N

Examiners should tick this box if the thesis does not satisfy the criteria for any postgraduate research award, in which case the student's candidature is terminated.

In the cases of award for DProf and MRes which have a credit bearing element the candidate will be eligible for a postgraduate taught award if the appropriate number of credits have been obtained i.e. 180 credits on the DProf for the award of a taught Master's degree and 60 credits on the MRes for the award of a Postgraduate Certificate.

Examiners should return the thesis and the completed report forms (pre and post oral examination) to the Student Administration within 7 days from the date of the oral examination, for consideration by the Postgraduate Research Award Board.

It is expected that examiners would normally agree on their recommendations. However, occasionally examiners are unable to agree, and in such cases the School Research and Enterprise Committee may appoint a further examiner or examiners.

When minor corrections are required (box A(2) above), the internal examiner (or in the case of a staff candidate the named External Examiner) needs to write to the Student Administration, after the corrections have been completed to his/her satisfaction. The recommendation to award the degree will then be put to the Postgraduate Research Award Board.

## 15 RESUBMISSION / ORAL RE-EXAMINATION

If a candidate is required to present a revised thesis, report or portfolio, he/she 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 Award 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 candidate may retrieve the two soft-bound submissions from the Student Administration (if returned by the examiners). The third 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.

**It must be made clear that, whilst the Examiners recommend changes to the thesis, report or portfolio, candidates must be prepared to be examined on the whole body of work and not just the suggested changes from the initial examination.**

Further information regarding re—examination can be found in the Research Awards Regulations (regulation 34):<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2>

## 16 AWARD AND CONFERMENT OF DEGREES

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

1. that the degree be awarded;
2. that the degree be conditionally awarded subject to minor amendments;
3. that the degree be conditionally awarded subject to major amendments;
4. permit the candidate to present a revised thesis and to present himself/herself for examination on a subsequent occasion with a further oral examination within 12 months;
5. permit the candidate to present himself/herself for a second oral examination within three months;
6. 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;
7. that the award be not conferred and that the candidature be terminated.

If an award has been made it is the responsibility of the 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 the Student Administration.

Any corrections needed must also have been made, to the satisfaction of the examiners, and the thesis rebound in permanent hard binding and resubmitted to the Student Administration by the final deadline.

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 (which can be found at Appendix 1).

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. A second print copy is retained by the candidate's supervisor. Further detailed guidance on submitting a thesis into USIR and on the formats to use is available at <http://www.salford.ac.uk/library/research/electronic-theses>.

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. Further requests may be made for additional single years, annually, up to a maximum of five years. The request needs the signature of the supervisor and Associate Dean (Research). A special form is available in the Student Administration.

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.

In exceptional circumstances, where a candidate is working under a commercial or industrial contract, a moratorium on access for up to five years may be agreed by the University at the commencement of candidature, rather than at the time of presentation.

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. 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.

## 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 Award 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 masters award
- Disallowance of transfer from a masters 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:

<http://www.mystudentinfo.salford.ac.uk/page/appeals>

<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/browse-by-theme/2>

Further information can be obtained by emailing the Governance Services Unit on [gov-academicappeals@salford.ac.uk](mailto:gov-academicappeals@salford.ac.uk).

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.

Further information can be obtained by emailing the Governance Services Unit on [govstudentcomplaints@salford.ac.uk](mailto:govstudentcomplaints@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 Research Award Regulations.

# APPENDICES

## APPENDIX 1

### THE UNIVERSITY OF SALFORD REGULATIONS REGARDING INTELLECTUAL PROPERTY RIGHTS

1. 'Intellectual Property' shall mean inventions (whether patentable or not) patents, designs (whether registered or not) copyright material and works including computer software and technical know-how and other information.
2.
  - (a) Intellectual Property created by a registered student of the University is subject to these regulations if created by the student when working on a project connected with his/her programme of study or research or created by utilisation of University resources.
  - (b) However, in cases where the student is engaged in research using the Intellectual Property Rights (IPR) already vested (or to be vested) in a third party the University the Student and the third party will enter into a separate agreement to supplement these regulations, on a case by case basis. A third party could include (but is not limited to) a student's employer, who may be sponsoring his/her programme of study or research project.
3. All such Intellectual Property shall belong to the University which shall undertake responsibility for such further development, protection and exploitation of the Intellectual Property as it thinks fit. The student concerned shall as required do any one or more of the following:
  - (a) co-operate with the University in applying for appropriate registration or protection of the Intellectual Property;
  - (b) enter into any appropriate agreements for protecting the secrecy of the Intellectual Property;
  - (c) collaborate (as required) with the University in any exploitation of the Intellectual Property.
  - (d) if the Intellectual Property is part of any agreement or arrangements as described in 2(b) above, the terms of said further development, protection and exploitation shall be governed by the agreement that is set up between the student, the University and the third party.
4. In the case of Intellectual Property which is exploited by the University directly or in partnership with others the University shall make to the student concerned such payment as shall ensure that the University and the student each obtain mutually acceptable shares of the benefit derived from the exploitation having regard to all the circumstances and in particular to:
  - (i) the extent of advice, assistance, effort and skill contributed to the Intellectual Property by University staff;
  - (ii) the contribution to the Intellectual Property made by the University in terms of the provision of facilities or resources;
  - (iii) the extent of the University's contribution to the protection, development and costs of exploitation of the Intellectual Property;
  - (iv) the extent of the return and other benefits derived from the Intellectual Property.
5. In the case of a dispute between the University and the student in relation to ownership or exploitation of the Intellectual Property or the sharing of revenue arising, neither party will unreasonably withhold its agreement to refer the dispute for independent arbitration by an Arbitrator who shall be agreed by both parties. In default of agreement the Arbitrator shall be nominated by the President of the Law Society.

6. In the event that the University does not wish to commit resources to commercialise the IPR then the University may at its sole discretion assign or license the IPR to the student for the purposes of commercialisation under terms and conditions to be agreed on a case-by-case basis. Any such transaction would be dependent on the student providing the University with a business plan for commercialisation of the IPR which the University felt was reasonable and in any event the University would retain some interest in any successful future commercialisation by the student.

## **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 Research Award Regulations
- 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**

Candidates are required to submit two copies of a thesis, all of which shall become the property of the University. These regulations refer to each of the three 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***

Since 1 April 1996 candidates submit theses for examination in a temporary (soft) binding (see below). Once examination of the thesis has been completed and the finalised report form has been received by the Student Administration, candidates will be required to submit 1 electronic copy to the University Library repository (USIR) and one permanent 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 one permanent hard-bound copy, 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 hard-bound copies of the thesis are (apart from any corrections made) identical to the original submission.

## **3 BINDING**

### **a) Initial Submission for Examination - Temporary (soft-covered) Binding**

The thesis should be presented either sewn or glued spine, by a book-binder into soft card covers. The card to be used should be of approx. 175 gsm / 230 microns. The spine should have a lettering strip drawn onto it, covering front and rear card covers by 15mm. The thesis shall not be trimmed at the head or edge or tail at this stage.

***Ring binding, spiral binding or any other non-approved bindings will NOT BE ACCEPTED***

### **b) Final Submission for Award of Degree - 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 in c) - h) below applies both to temporary and permanent bindings.**

- d) 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.
- e) 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.
- f) 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.

- g) The year of submission printed on the permanent hard-binding shall be the same as that in which the soft-bound copies were submitted.
- h) 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.
- i) 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 shall be 12 point.
- 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 videotapes 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:
- o Doctor of Philosophy (PhD) 100,000 words maximum
  - o Professional Doctorate (DProf) 60,000 words maximum and 40,000 words minimum
  - o Doctor of Built Environment (DBenv) 90,000 words maximum and 70,000 words minimum,
  - o Master of Philosophy (MPhil) 50,000 words maximum

- o 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 School Research and Enterprise Committee 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 either onto cassette or preferably DAT tape or CD.
- 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. If the amount of such material is substantial it 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 by replacing the original sheets which contained errors by newly typed sheets and adding additional sheets as required. The final hard-bound copy should be clean and contain no ink or pencil markings.

If the examiners recommend that the degree should be awarded subject to minor corrections candidates are expected to collect the Declaration 2 form and any copies of the soft bound thesis from Student Administration. (All doctoral candidates would usually be expected to collect two 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 the 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 SOLAR 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 IT Services 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 IT Services Division.
- 3 Examples of successful theses produced in accordance with these or previous regulations are available for inspection and can be searched for via the Library's SOLAR service <http://www.salford.ac.uk/library>. By choosing the Advanced Search option then limiting the material type to "Theses", print and electronic theses can be identified. Print theses can be requested and will be made available for inspection at Clifford Whitworth Library. Electronic theses can be viewed online.
- 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 Soft and Hard bound)**

<p><b>Ph.D. Thesis</b></p> <p><b>John SMITH</b> <b>2011</b></p>	<p><b>MANAGEMENT INFORMATION SYSTEMS</b></p> <p><b>John SMITH</b></p> <p><b>Ph.D. Thesis</b> <b>2011</b></p>
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**Example Title Page**

# **MANAGEMENT INFORMATION SYSTEMS**

**John SMITH**

School of Computing, Science and Engineering  
College of Science and Technology  
University of Salford, Salford, UK

Submitted in Partial Fulfilment of the Requirements of the  
Degree of Doctor of Philosophy, September 2011

**Notes on Writing Up and Submit a Science PhD thesis**

- . (1) Length: A PhD thesis is typically 100-150 pages in length (30-50,000 words) plus figures, tables and references (and appendices where appropriate). Writing a thesis that is much longer than this may be counter-productive, because examiners look for quality rather than quantity. The University upper limit is 80,000 words. A PhD thesis should present significant contributions to knowledge in the field that are worthy of publication in internationally recognised scientific journals, plus a good-sized introductory chapter which reviews the literature, 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 scientific 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 scientific 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 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 scientific literature in most fields, unless the work is also published in scientific 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 scientific 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.
  
- . (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.

### 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 PGR Support Office in case of any problems on the day (see Appendix for contacts).
	Remind yourself of the Postgraduate Research Award Regulations and Code of Practice sections on the examination of research degrees (sections 31 – 34 of The Research Award Regulations and 12 – 16 of the Code of Practice, both available at <a href="http://www.pg.salford.ac.uk/regulation">http://www.pg.salford.ac.uk/regulation</a> ) 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 (PGR Support Office to advise).
	Familiarise yourself with the University policy and regulations regarding academic misconduct (see <a href="http://www.governance.salford.ac.uk/page/academic_handbook">http://www.governance.salford.ac.uk/page/academic_handbook</a> section D, 'Academic Misconduct').
	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 (download from <a href="http://www.pg.salford.ac.uk/page/examiners">http://www.pg.salford.ac.uk/page/examiners</a> )

#### Pre-Oral Meeting

	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.

#### 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 his/her role is as an observer only, and check that the student wishes for the supervisor to be present.
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	Outline the format of the viva to all those present, and ensure that everyone present understands the procedures to be followed.
	Check with the candidate that s/he is "fit to sit" or if there are any special circumstances that may affect their ability to defend his/her 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:  
<http://www.pg.salford.ac.uk/regulation>  
See especially sections 31 – 34 of Research Award Regulations and 12 – 16 of the Code of Practice, on Examining the Thesis.
2. Academic Misconduct Procedure:  
[http://www.governance.salford.ac.uk/cms/resources/uploads/files/policies/Academic\\_Misconduct\\_Procedure.pdf](http://www.governance.salford.ac.uk/cms/resources/uploads/files/policies/Academic_Misconduct_Procedure.pdf)
3. Viva Examination Forms: <http://www.pg.salford.ac.uk/page/examiners> Details of the password will be emailed to you when your role as an Independent Chair is confirmed.

PGR Support Office:  
Tracie Davies, [t.davies@salford.ac.uk](mailto:t.davies@salford.ac.uk), ext 50025

**School Support Contacts:**

[PGR-supportSOBE@salford.ac.uk](mailto:PGR-supportSOBE@salford.ac.uk) ext 53071

[PGR-supportNMSW@salford.ac.uk](mailto:PGR-supportNMSW@salford.ac.uk) ext 56435

[PGR-supportSBS@salford.ac.uk](mailto:PGR-supportSBS@salford.ac.uk) ext 56852

[PGR-supportCSE@salford.ac.uk](mailto:PGR-supportCSE@salford.ac.uk) ext 53482

[PGR-supportELS@salford.ac.uk](mailto:PGR-supportELS@salford.ac.uk) ext 53482

[PGR-supportSAM@salford.ac.uk](mailto:PGR-supportSAM@salford.ac.uk) ext 56852

[PGR-supportHS@salford.ac.uk](mailto:PGR-supportHS@salford.ac.uk) ext 56852

**Student Administration**

Return scanned copies of forms to [sa-pgr@salford.ac.uk](mailto:sa-pgr@salford.ac.uk) or hard copies to askUS, 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:**

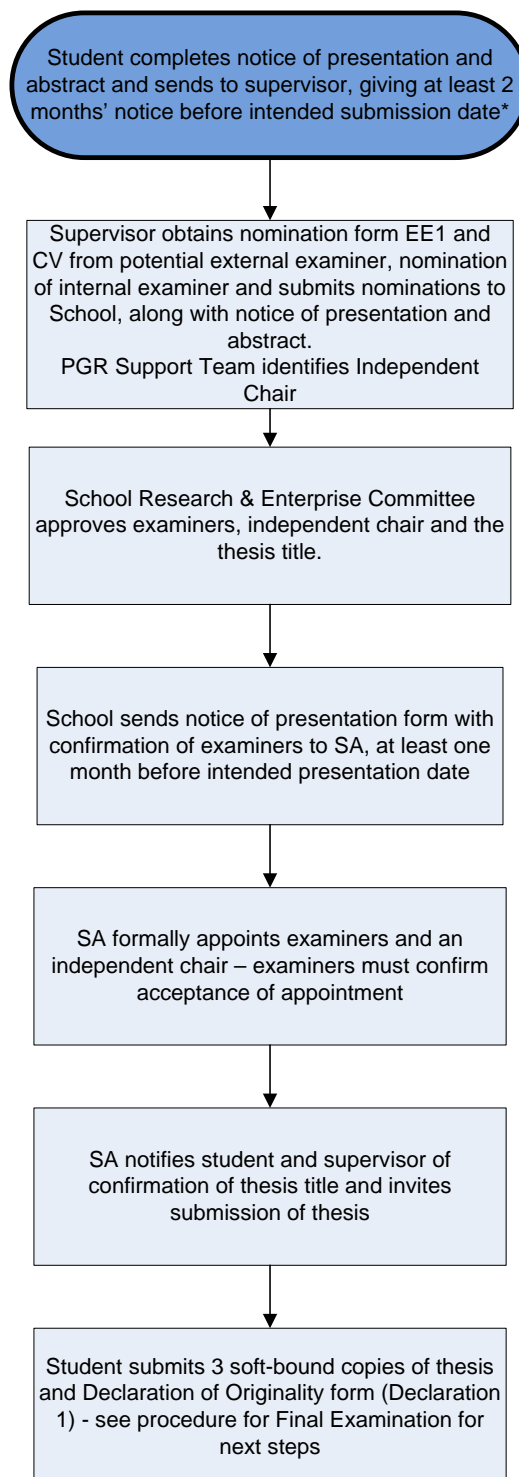
- the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and largely autonomous initiative in complex and unpredictable situations, in professional or equivalent environments. Doctoral degrees are awarded for the creation and interpretation, construction 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.

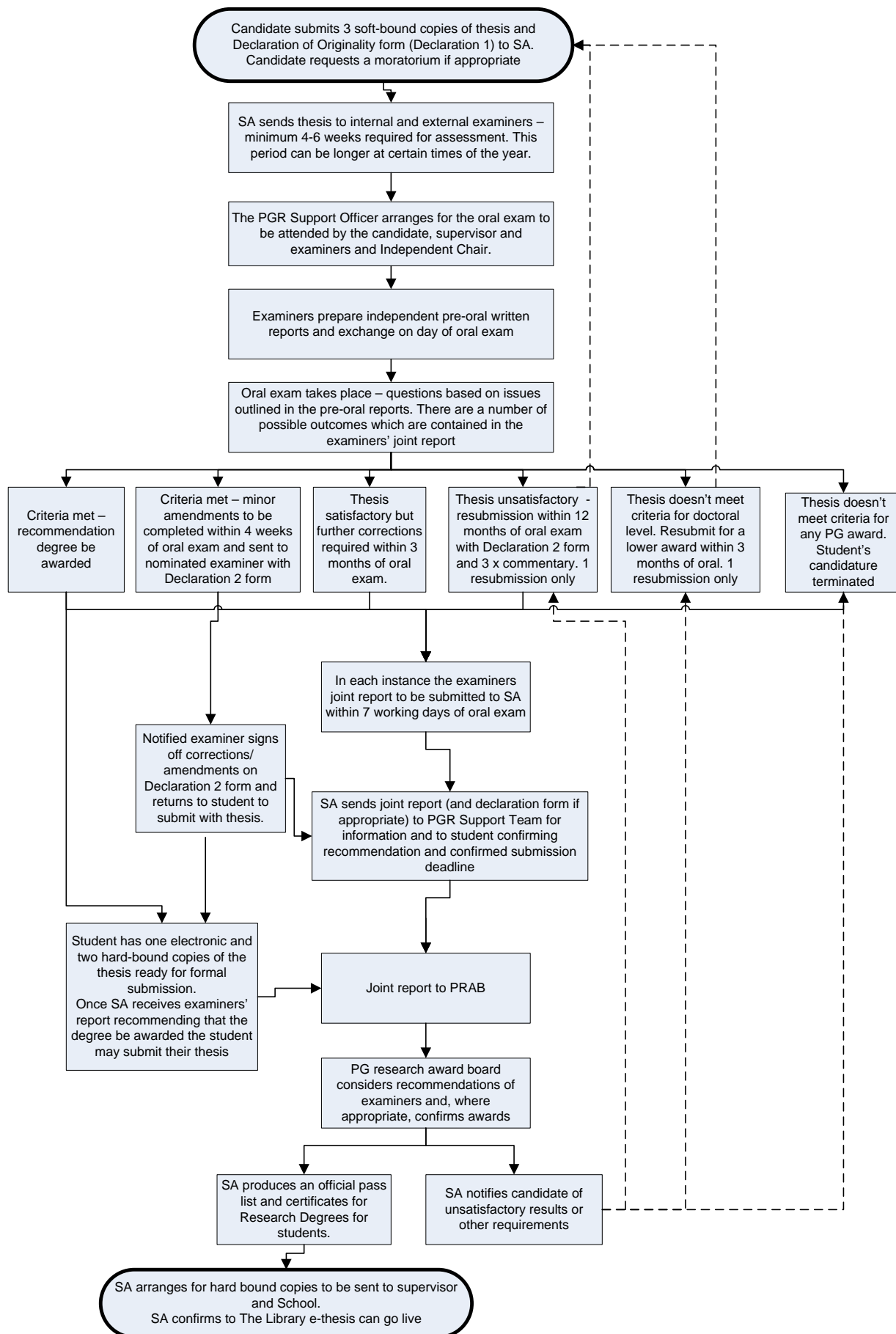
Achievement of outcomes consistent with the qualification descriptor for the doctoral degree normally requires study equivalent to three full-time calendar years.

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

\*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**



**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 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, the status of the commissioning body and the subsequent critical reviews will be taken into account as indicators of the standing of the work.

The claim for PhD by Published Works will normally be based on 5 – 8 publications (or equivalent), which should 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:-

1. a title page
2. a contents page
3. a clear statement presenting the theme of the works submitted and the overall contribution they have made to the discipline or theoretical base;
4. 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;
5. a summary plan for the critical review to be carried out once registered.
6. 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

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 3). 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 3) 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 applicants 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. A maximum of 12 months will be allowed for full completion of the programme, including the viva examination.

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 three soft bound copies of:

- A title page
- Acknowledgements
- Contents 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: the aims and nature of the research, the wider disciplinary perspectives, the inter-relationship between the material published/produced and the main contribution and/or addition to knowledge of the works, and 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.

#### **6. UNIVERISTY OF SALFORD ACADEMIC STAFF DEVELOPMENT FRAMEWORK**

The PhD by Published Works is the preferred route to PhD in a number of schools at the University of Salford. The academic staff development framework aims to support members of staff who are working towards their prima facie case. Once the prima facie case has been passed, support is the same as for all other routes to PhD for all candidates.

##### **Academic staff who have few or no publications**

The staff development programme supports those staff who have few, if any, publications.

- i. Candidates must first discuss their intention to register for a PhD by Published Works with their Director. The rationale for this is that, as a staff development opportunity, the research and research training will form part of the PDR process.
- ii. The annual (and mid-term) PDR process for academic staff will be used as the primary means of ensuring that the member of staff receives adequate support from their Directors and that their progress is subject to scrutiny.
- iii. The candidate must align their research activity with one of the Research Programmes/Centres/themes. The Research Programme Lead (or equivalent), candidate and their Director must agree and approve the proposed programme of research.
- iv. Where possible the candidate should become involved in existing research projects/bids for funding/fellowships which would include an element for training or conferences and/or cover their time involved in the research.
- v. When the Director and the Research Programme Lead (or equivalent) agree that the candidate can proceed, he/she must record their intention to work towards a PhD by Published Works with the Research Support Office using the Expression of Interest for Staff Development Framework – PhD by Published Works (Appendix 1)

### **Allocation of Research Supervisor/Mentor**

As with any PhD, the role of the 'Supervisor' is critical; however during the staff development stage the relationship is best thought of as **mentorship** rather than supervision. Throughout the staff 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 staff development, mentorship will 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 staff in order to develop the direct and indirect skills to become an independent researcher e.g. The School Research Methods Module, PG Research Training Programme, SPoRT programme.

### **Completion of Learning Agreement**

Having recorded their intention to complete a PhD by Published Work, the candidate and mentor should complete a Learning Agreement. The Learning Agreement (Appendix 2) is a contract of commitment, roles and responsibilities between the candidate and their mentor. It is important that a programme of work, which includes details of how often and in what form mentorship 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 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 the mentor can take into account any necessary arrangements for the candidate to complete their research.

## 5. 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 mentor, the School Director of Postgraduate research studies in the first instance and their Director).

Only when School Director of Postgraduate research studies and the Research Group Lead (and for UOS academic staff applicants, their Director) agrees that the applicant can proceed, he/she 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 staff candidates

- To discuss their intention to work towards a PhD by Published Works with their Director and ensure that this is built in to the PDP process
- To record their intention to work towards a PhD by Published Works with the School PGR Director, PhD by Published Works Programme Lead or equivalent
- 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 mentor 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 with Director via PDP process on an annual basis (together with the research programme lead, if appropriate)
- Engage in the internal assessment process (if appropriate and dependent on arrangements within each school)

### Responsibilities of Mentors

- Become familiar with PhD by Published Works guidelines
- Discuss learning agreement, writing plans and provide advice and guidance on appropriate paths/projects for research/appropriate training
- Meet with mentee on an agreed basis to ensure their writing plans and learning agreement remain appropriate to needs at that time
- Facilitate the internal assessment process (if appropriate and dependent on arrangements within each school)

### 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 (to candidates, directors, mentors and supervisors)
- 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 directors or 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 the writers group.
- Provide appropriate training for candidates, mentors and supervisors

**Responsibilities of School/Directors/research programme leads (or equivalent)**

- Use the Personal Development Plan process to ensure that members of staff have the resources they need to complete publications in accordance with their learning agreement.
- 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 Staff Development Framework- PhD by Published Works**

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

<b>Name</b>	
<b>School</b>	
<b>Directorate</b>	
<b>Number of Publications to date</b>  <b>or</b>	
<b>Planned publications</b>	
<b>Research programme (name lead) if applicable</b>	
<b>Estimated time to formal registration</b>	
<b>Potential mentor</b>	
<b>Short statement of area of interest/theme</b>	

**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 staff member will undertake or be involved in can also be included.

**General Roles of Staff 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" staff 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 Support Office.

<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures/research>

The Learning Agreement is a contract of commitment, roles and responsibilities between a student and their mentor. 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 director and 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. A few sessions are also held virtually in real time, for details please visit <https://myadvantage.salford.ac.uk>.

### **Consultation and Review**

Staff 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 if you are on track with your initially agreed programme of work. It is the member of staff'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 Director as part of the Personal Development Review. Other mechanisms for review /assessment of the work in progress (e.g. the IA) can be used dependent on the requirements of each school

### **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 member of staff 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 Director and mentor (and research programme lead as appropriate)

### **Learning Agreement Questions**

The questions listed at <http://pg.salford.ac.uk/page/learningagreements> should be your starting point when you discuss your Learning Agreement with your mentor. The list is not exhaustive and it is likely you will have to consider further questions when you think about your specific situation. Additional headings can be added as required.



**Learning Agreement - PhD by Submission of Published Works**

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

**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'*

<http://www.pg.salford.ac.uk/ethics>

*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**

This Learning Agreement is made on: ..... between the above named staff member and the University of Salford

**Signatures:**

Mentor: ..... Date:  
 .....

**For and on behalf of the University of Salford**

Staff Member: ..... Date:  
 .....

**Please print this document, sign and date and return to your Research Administrator**

Office Use:

Learning Agreement completed	
PDP Dates	
Anticipated date of Prima facie assessment	
Anticipated date of registration on PhD by Published Works programme	
Last date of registration on PhD by Published Works (10 years of first publication)	

**Name of Staff candidate:**  
 .....

**School:**  
 .....  
 .....

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

**Working title of Thesis:**  
 .....  
 .....  
 .....

It is expected that the candidate demonstrates that their work fulfils the FHEQ Descriptors for qualifications at Doctoral level:	<b>Tick:</b>
<ul style="list-style-type: none"> <li>- 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;</li> <li>- 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;</li> <li>- 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;</li> <li>- a detailed understanding of applicable techniques for research and advanced academic enquiry</li> </ul>	

**COMMENTS**

<b>For the Prima facie submission</b>	<b>Comments</b>	<b>tick</b>
Confirmation of :		
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;		
<p>a statement outlining the extent to which the works are based on the candidate's own independent work;</p> <p>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.</p>		
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 staff 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 PGR Support Officer**

***Postgraduate research team office use only***

Date of receipt ..... Date checked .....

Date approved by SREC.....

