



University of  
**Salford**  
MANCHESTER

# **Code of Practice for the Conduct of Postgraduate Research Degree Programmes 2024/25**

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**DOCTORAL  
SCHOOL**

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## **PREFACE**

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

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

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

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## Introduction

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

This Code of Practice explains the operation of the postgraduate support framework provided by the University and is intended to facilitate excellence throughout the duration of the research degree. It provides detail of the procedures and expectations 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. The Regulations in force at the time of a candidate's annual registration shall be those for that academic year.

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

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

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

# 1 Application & Admission to Research Candidature

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

## 2 Appointment of Supervisors

- a) Supervisors must be employed by the University; they should also be a member of a Research Centre and are currently involved in research in relevant disciplines.
- b) All supervisors must have completed supervisor training and must attend refresher supervisor training at least once every 3 years to keep up to date with good practice and regulatory requirements. Primary supervisors must have prior experience of aspects of the supervisory process as a co-supervisor (including Interim Assessment and Internal Evaluations), being mentored through this process by a Primary supervisor.
- c) Staff working towards a PhD are not eligible to be a primary supervisor.
- d) The appointment of the supervisory team should be done in consultation with the proposed supervisors' line manager(s) and Associate Dean Research and Innovation to ensure that sufficient resource can be allocated to supporting the student. The University adheres to the sector standard of no more than 6 supervisors at any given time. Any exception to this recommendation should be approved by the School Research, Enterprise and Innovation Committee.
- e) If the candidate/supervisor relationship is not working well, independent sources of advice are available. Initial discussion should be with the Postgraduate Research Director in the school. 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, Enterprise and Innovation Committee.

### 3 Registration and Duration of Programme

- a) Students need to register with the University at the beginning of their candidature, and again at the start of each subsequent year of their minimum period of research, subject to satisfactory progress (see section 6). The Research Councils indicate that research degrees should be designed so that they can reasonably be expected to be completed in the minimum registration period (refer to the Academic Regulations for Research Awards).
- b) A candidate is registered for their specific research award (see Academic Regulations for Research Awards, Table A)
- c) 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.
- d) "Split-site PhD" and "Distance Learning/Online" schemes are arranged on occasion, whereby the student conducts part of the research at Salford and/or all or part at another institution, often overseas. Split-site study requires the candidate to spend a minimum of 3 months each year, in the UK. Special arrangements are made to ensure control of supervision by the organising School, in addition to adequate local advice and access to facilities at the other institution. These arrangements must be agreed upon and signed off in an Agreement for the duration of the period of study. The candidate shall normally spend the equivalent of at least one third of the minimum duration of their period of study in Salford. Further information relating to the regulations surrounding this mode of study can be found at Regulation 16 of the Academic Regulations for Research Awards. Prior to any arrangements being agreed schools must seek advice from Research & Enterprise and the International and Regional Development Directorate. Research & Enterprise will maintain attendance monitoring in line with current practice for all approved "split site" and "distance learning/online" provision.
- e) 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.
- f) It is the candidates responsibility to register, within the published timeframe, at the start of the programme and at the beginning of the second and subsequent years.
- g) At the end of the minimum period of research and subject to satisfactory progression, 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.
- h) Candidates can request an 'Extension to Submit' prior to entering their Completion Phase. This can be for a maximum of 6 months and must include information on how they intend to submit during this period. This is for the submission of the thesis and not to extend the period of study. Requests will be considered by the Postgraduate Research Director.

- i) 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).
- j) Taking Leave of Absence (Holiday Entitlement) from Your Programme – You are encouraged to make use of your allocated annual leave; taking breaks is essential to healthy and productive work and the University supports your right to take leave. A leave of absence (compassionate leave) is an authorised break from your study and any leave of absence must be authorised by your primary supervisor.
- k) University vacation periods do not apply to postgraduate research students. Instead, postgraduate research students are allowed up to a total of 6 weeks (30 working days) authorised absence\* during an academic year. Postgraduate research students are encouraged to take their full entitlement so they can get a proper break, however students may carry over up to 5 days annual leave with permission from their supervisor. These five days must be used by the December of the year they are carried into.
  - a. Including Christmas and Easter periods where attendance may not required (as advised by your School)
  - b. Where leave of absence is authorised, you must obtain confirmation of this in writing from your primary supervisor by completing the research supervision meeting form.
  - c. In exceptional circumstances (e.g. bereavement, illness, legal requirements, maternity leave etc.) where you may require an interruption of study, you should discuss this in more detail with your supervisors and follow the Interruption of Study procedure described in Section 8 of this Code of Practice. Where leave of absence exceeds 6 weeks, this is considered an interruption to the programme where Students and Staff should refer to Section 8 of this Code of Practice and the University Interruptions and Withdrawals Policy.
- l) The following would not be considered leave of absence:
  - a. You are undertaking research/data collection for a thesis which specifically requires you to be away from the University or the UK and this has been approved by your School.
  - b. You are attending a research conference or other research-related events off campus.
- m) For information on registration visit <https://www.salford.ac.uk/askus/our-services/register-with-the-university>



## 4 Monitoring of Progress – Progression of Candidature

- a) For regulations governing the progression of Postgraduate Research Candidates, please see the Academic Handbook <https://www.salford.ac.uk/governance-and-management/academic-handbook>
- b) Details of progression points, guidance and documents can be found on the Postgraduate Research website <https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx>

### 4.1 Learning Agreement

- a) To support candidates and supervisors discussions on ways of working and agreement of expectations, they must jointly complete a Learning Agreement which must be submitted within the first three months of study (compulsory for all research candidates).
- b) This document also details the planned research (including ethical considerations) and the candidate's training needs (and dates by which it should be completed). The agreements must include mechanisms for consultation with the Supervisor and Co-Supervisor.
- c) 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.
- d) The Learning Agreement shall be reviewed at each progression point and updated as necessary. It is the candidate's responsibility to monitor their progression timeline in accordance with the assessment timeframe of their programme as outlined in the Academic Regulations for Research Awards.

### 4.2 Assessment 1: Interim Assessment (IA)

- a) Assessment 1: **Interim Assessment** shall normally take place between months 9-11 of a full-time candidature, months 15-20 of a part-time candidature and 27-35 for professional doctorate candidates. It shall comprise the assessment by a panel of the candidate's ability to progress, including confirmation that a Learning Agreement has been completed and updated as necessary, ethics approval is in place, has been applied for or a status update on the ethical approval application, and all mandatory training, has been undertaken <https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/Training-&-Development.aspx>
- b) The candidate must submit their Interim Assessment report to Turnitin to perform a similarity check; they will be advised of the correct link by their Research Support Officer. The similarity report will be reviewed by the Interim Assessment panel.
- c) The panel shall comprise 2 appropriate members of University of Salford staff who are appointed by the candidate's supervisor; both of whom must then be approved by the Postgraduate Research Director, Associate Dean Research & Innovation or their nominee. Panel members should be independent of the supervisory team. Staff working towards a PhD are not eligible to act as assessor.

- d) The supervisor may be in attendance as an observer, should the candidate wish, and only whilst the candidate is present. The candidate shall submit to the panel a report of around 10,000 words describing current and future intended progress in their research and which takes account of guidance on the form and content of the report as approved by the University Research and Enterprise Committee (<https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx>)
- e) The actual word count will depend on the nature and subject of the research and should be determined by the necessity to provide assessors with clear evidence that the candidate has developed a good understanding of the background to and the aims of their work, and should show how this knowledge leads to the development of an appropriate and achievable research plan and methodology with some evidence of progress with design, implementation, analysis and discussion. The candidate shall submit to the panel a report and be examined orally by the panel.
- f) Failure to submit the Assessment 1: Interim Assessment report and attend the assessment within the timeframe prescribed in the Academic Regulations for Research Awards and the Code of Practice for Conduct of Postgraduate Research Degree Programmes will be registered as a failed attempt, unless an extension has been granted by the School Research & Enterprise Committee.
- g) Where an assessment is to take place online, the Doctoral School will confirm the most suitable online tool e.g. Collaborate or Teams. The University does not permit the use of Zoom software for assessments. A date and time for the assessment will then be agreed. When the assessment takes place, the candidate will need to provide Photographic ID and be able to show the entire room they are using; the door should be closed and remain in sight at all times. For assistance with the University's online tools please see the following link:  
[https://testlivesalfordac.sharepoint.com/sites/Uos\\_Students/SitePages/Digital-IT.aspx](https://testlivesalfordac.sharepoint.com/sites/Uos_Students/SitePages/Digital-IT.aspx)
- h) The panel shall report to the School Research, Enterprise and Innovation Committee and Postgraduate Research Awards Board on the assessment of progress against generic criteria; evaluation of the current progress of the research project; and a diagnosis of future training requirements. The panel must confirm that the candidate has reached a threshold of academic performance and that the doctoral level candidature may continue.
- i) If the threshold has not been reached a repeat Assessment 1 is carried out with the same assessment panel no later than 1 month after for full time candidates, no later than 3 months for Professional Doctorate candidature and no later than 3 months of a part-time candidature. In addition to a repeat oral assessment a revised report may be required by the assessors.
- j) Failure to successfully complete the repeat Assessment 1: Interim Assessment will result in transfer or withdrawal as approved by the School Research & Enterprise Committee and Postgraduate Research Awards Board.
- k) For candidates with a reduced candidature this assessment is foregone as the written articulation of the admission decision shall be then treated as equivalent to the report of an Assessment 1.

### 4.3 Assessment 2: Internal Evaluation (IE)

- a) Assessment 2: Internal Evaluation shall normally take place between months 21-23 of a full-time candidature, months 35-40 of a part-time candidature and months 50-55 of a Professional Doctorate.
- b) 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, ethics approval is in place, and appropriate mandatory training undertaken. The panel shall comprise 2 appropriate members of University of Salford staff who are appointed by the candidate's supervisor; both of whom must then be approved by the Associate Dean Research & Innovation or their nominee. They should be independent to the supervisory team. Staff working towards a PhD are not eligible to act as assessor at Assessment 2: Internal Evaluation. Where there are extenuating circumstances an exception to the regulation may be applied for from the School Research & Enterprise Committee. At least one member of the panel should not normally have served on the candidate's Assessment 1 or Transfer Assessment panel. In exceptional circumstances, where the pool of colleagues available in the appropriate discipline is limited, the School PGR Director may approve the appointment of an assessor who took part in the Transfer Assessment or the Assessment 1: Interim Assessment Panel. Care should be taken in the selection of panel members as neither will be eligible to act as Internal Examiner at the Viva Voce examination, unless this has been approved as an exception by the School Research, Enterprise and Innovation Committee. The Supervisor may be in attendance as an observer at the Internal Evaluation, at the candidate's discretion.
- c) The candidate shall submit a substantive piece of work of around 40,000 words whose detail shall be determined by the School with regard to the nature of the research project undertaken and which shall take account of guidance on form and content as approved by the University Research and Enterprise Committee <https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx>. The actual word count will depend on the nature and subject of the research. The candidate shall be examined orally by the panel.
- d) Failure to submit the Assessment 2: Internal Evaluation report and attend the assessment within the timeframe prescribed in the Academic Regulation for Research Awards and the Code of Practice for Conduct of Postgraduate Research Degree Programmes will be registered as a failed attempt, unless an extension has been granted by the School Research and Enterprise Committee.
- e) If a panel is unable after Assessment 2: Internal Evaluation to recommend continuation of the candidate on the doctoral level Award, the candidate shall be provided with reasonable practical assistance in the form of academic advice and additional training so as to repeat the assessment by no later than 3 months after the original holding of Assessment 2: Internal Evaluation of a full-time candidature, and 6 months of a part-time candidature. Failure to complete satisfactorily Assessment 2: Internal Evaluation or any repeat Assessment 2: Internal Evaluation will prevent the student from registering for the following year.
- f) The panel shall report to the School Research, Enterprise and Innovation Committee and the Postgraduate Research Awards Board on the assessment of continuing academic progress and shall offer wherever possible formative comment and assistance to the candidate. Within its report the panel shall recommend:

- i) continuation of the candidate on the doctoral level award;
  - ii) transfer to another Research Award: Master of Philosophy (MPhil), Master of Research (MRes), Master of Science (MSc) or Master of Laws (LL M). Where such a transfer is required the candidature for the doctoral level Award shall be deemed to have been terminated and the period of study for the doctoral level Award may be recognised as a period of study for the other Award;
  - iii) termination of candidature.
- g) The Supervisor may be in attendance as an observer at Assessment 2: Internal Evaluation at the Supervisor's and Candidate's discretion.,
- h) Should Assessment 1: Interim Assessment need to be repeated. This should be by no later than 1 month after the original holding of the assessment/evaluation for a full-time candidature, 3 months for a part-time candidature and prior to registration for the following year. Should Assessment 2: Internal Evaluation need to be repeated, this should be by no later than 3 months after the original holding of the assessment/evaluation for a full-time candidature, 6 months for a part-time candidature and prior to registration for the following year.
- i) Details of the process and requirements for Assessment 1: Interim Assessment and Assessment 2: Internal Evaluation can be found at:  
<https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx>

#### **4.4 Annual Progress Report**

- a) The Annual Progress Report is completed by the primary supervisor and shall recommend
- i) re-registration of the candidate without any amendment to the candidature;
  - ii) refusal of re-registration for administrative or procedural reasons, such as the non-completion of a Learning Agreement or non-payment of the appropriate fees at the prescribed times;
  - iii) re-registration of the candidate but with an amendment to the duration of the programme of study;
  - iv) transfer of the candidate to another Research Award, or termination of candidature, subject to Assessment 1: Interim Assessment or Assessment 2: Internal Evaluation.
- b) But where completed prior to the completion phase, the Annual Progress Report should comment upon matters relating to submission.
- c) On the part-time Professional Doctorate Assessment 1: Interim Assessment would be held at month 33-35, and Assessment 2: Internal Evaluation would be held month 50-55 with final submission at month 73. The requirement for the Supervisor to complete an Annual Progress Report for the end two years is forgone.

- d) In the exception circumstances where the Annual Progress Report recommends to the School Research, Enterprise and Innovation Committee the transfer of the candidature to another Research Award or termination of candidature, and the candidate has already undergone Assessment 1: Interim Assessment and Assessment 2: Internal Evaluation, this will be subject to an Additional Formal Evaluation which shall take the same form and follow the same process, including reporting arrangement, as Assessment 2: Internal Evaluation.

#### **4.5 Annual Self Evaluation Report**

- a) The Postgraduate Researcher Annual Self-Evaluation Report shall be submitted annual 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.

## 5 Interruption of Study/Extensions of Period of Study

### 5.1 Interruptions of Study

- a) 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.
- b) 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.
- c) Candidates whose ability to undertake research is affected should formally report to their supervisor to discuss whether or not a formal interruption of studies may be required. Retrospective notification of mitigating circumstances would not normally be taken into account. The request for an interruption must be made on the appropriate form (found <https://www.salford.ac.uk/askus/academic-support/interruptions-and-withdrawals>) with the endorsement of the supervisor which will be submitted for consideration by the School Research, Enterprise and Innovation 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.
- d) Where it has been determined that a student is facing sustained and significant issues, interruptions are normally approved for multiples of 3 months and up to a maximum of 12 months. No tuition fees would be payable. Both the minimum period of research and the thesis submission date are extended by a corresponding period. Student can curtail their interruption and return to study earlier if they are able to do so. During the interruption period, the student is not a registered student of the University and should refer to the University's Student Interruptions and Withdrawals Policy for guidance on access to University facilities: <https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures>

### 5.2 Mitigating Circumstances Affecting Progression Point Assessments and The Viva

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

### 5.3 Extensions to Study

- a) Candidates are required to complete their studies within the time period as stated on their admissions offer letter. If a student fails to complete their studies within the agreed registration period they will automatically be withdrawn. In exceptional circumstances

an extension may be requested for consideration by the School Research & Enterprise Committee. An extension request must be submitted at least 6 months before the end of the student candidature, unless the circumstances that form the ground for the request happen within the last 6 months of the candidature. In any case the request must be submitted as soon as reasonable after the occurrence of the circumstances. Upon receipt of the extension request, the School Research, Enterprise and Innovation Committee will request further information from the Supervisor before making a recommendation to the Postgraduate Research Awards Board that the candidate be permitted to present their thesis at a later date. The recommendation will include the final date for submission, after which the submission **will not** be permitted.

- b) 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.
- c) Interruptions of Study are available in exceptional circumstances. Guidance is also available for Transfer of Study and Withdrawals including guidance is available via <https://www.salford.ac.uk/askus/academic-support/interruptions-and-withdrawals>.
- d) Extensions to submission are available in exceptional circumstances during a candidate's completion/non-fee-paying phase. Further information and guidance is available via <https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need-.aspx>
- e) Further guidance on the circumstances which may require an extension or interruption is available in the University's Personal Mitigating Circumstances Policy. <https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures>
- f) The University's policies for Maternity, Paternity and Adoption are available at <https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures>

## 6 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 support the thesis being presented and allow the research to be fairly evaluated and referenced accordingly;
  - 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 these 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.
- d) The thesis shall be written in English, unless the Postgraduate Research Awards Boards grants permission for it to be written in a different language.
- e) Further details regarding contents of a thesis presented in Alternative Formats are available in Appendix 9 and in [this guidance document](#) on the Doctoral School Hub.



## 7 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) The supervisor should not be approving the quality of the thesis rather acknowledging it is the student's own work, within the prescribed research area, and complies with the conditions of the candidature and ethics approval requirements.
- c) The Regulations for the Form of Thesis are set out in Appendix 2.
- d) Candidates are responsible for writing their thesis in their own words, except for quotations from published or unpublished sources which should be clearly identified and acknowledged as such. The source of any photograph, map or other illustration should also be indicated, as should the source, published or unpublished, of any material not resulting from the candidate's own experimentation, observation or specimen-collecting. Quotations, images and other materials for which a third party owns the copyright can be included within the thesis for examination purposes (see also Section 16); however, unless another exception to copyright law applies, the permission of the copyright holder must be obtained before the final thesis can be lawfully made publicly available in USIR. Candidates should consult the University's Intellectual Property Policy and the Library's USIR repository team for further advice where necessary.
- e) The University strongly encourages research degree candidates to submit their work for publication either before or after thesis submission.
- f) 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.
- g) After the minimum duration 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
- h) 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.
- i) The time limit for presenting a thesis may be extended by the School Research, Enterprise and Innovation Committee in certain circumstances. The candidate needs to make a strong written case for an extension of time, itemising the reasons, detailing progress to date and work still outstanding and giving a realistic final deadline by which they believe they will be able to submit. Please refer to 8 (c) for further information on extending study.
- j) A candidate can also seek permission to submit 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, Enterprise and

Innovation Committee to seek approval, before being sent to Student Administration.

- k) The candidate needs to give two months' notice of intention to submit a thesis, by completing a Notice of Presentation form, available from <https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/What-documents-do-I-need.aspx>. This period of notice enables various preliminary formalities to be completed, particularly the appointment of examiners (See section 11). The candidate gives a copy of Section A of the form to the Doctoral School Office and the completed form to the supervisor two months before the expected thesis submission (Appendix 6). Candidates need to attach a summary (the "abstract") to the notice of presentation which should not be longer than 300 words, and which should bear the full thesis title and the candidate's name. The summary needs to be in a specific format as it will be registered with a national database of research abstracts following successful examination. (Appendix 5). A copy of the ethical approval confirmation email, must be submitted alongside the completed Notice of Presentation form.
- l) Candidates must submit a PDF version of their first, pre-viva thesis and Declaration 1/Resubmission Declaration form electronically to [SA- PGR@salford.ac.uk](mailto:SA-PGR@salford.ac.uk) and copy in the relevant PGR-Support inbox and their supervisor. Candidates must also be prepared to submit an editable version of their thesis (e.g. Word version) should an examiner request a copy for the purpose of adding comments. SA- PGR will issue a receipt to confirm the thesis has been received. The internal examiner will submit the thesis to the school Turnitin site to perform an originality check. Candidates should note Section 17 requiring submission of one electronic copy of the final successful thesis to the University Library repository (USIR).
- m) When presenting the electronic PDF/Word copies of the thesis to [SA-PGR@salford.ac.uk](mailto:SA-PGR@salford.ac.uk) , the candidate needs to submit in electronic format a separate signed declaration of originality (a Declaration 1/Resubmission Declaration form) to the effect that the thesis is the candidate's own work. The supervisor needs to countersign the declaration before the candidate submits the thesis. Exceptionally, if the Primary Supervisor is unable to complete the requisite documentation (for example through illness) then the Associate Dean Research and Innovation or their nominee may do so.
- n) A copy of the summary of the thesis (abstract), not exceeding 300 words, should be included in the thesis, immediately preceding the main body of the text, but after Contents/Acknowledgements, etc.
- o) 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.

## 8 Appointment of Examiners

- a) The candidate submits the Notice of Presentation form (see section 10(n)) to the supervisor, who informally contacts the examiners. The Board of Examiners shall comprise at least two Examiners, one of whom shall be external to the University. For staff candidates (i.e. academic staff with a contract of employment of 0.2 FTE or greater on the payroll whose primary employment function is research, teaching or teaching and research) 2 external examiners are normally appointed. Staff working towards a PhD are not eligible to act as assessor at the viva voce.
- b) 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.
- c) 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.
- d) Candidates should also note that the supervisor's advice and comments about the completed thesis do not prejudge the subsequent assessment, which is exclusively a matter for the appointed examiners.
- e) Every examining panel for a doctoral thesis and Master's thesis shall comprise at least three members:
  - i) 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.
  - ii) The External Examiner who must satisfy the criteria in relation to their appointment as set out in this Code of Practice (see Appendix 1 of this document). Further guidance can be sought in the Academic Regulations for Research Awards <https://www.salford.ac.uk/governance-and-management/academic-handbook>
  - iii) **The Independent Chair** is a member of academic staff from a Directorate different to that of the candidate; has had no academic involvement in the candidate's programme of study; will be from a central pool of Independent Chairs maintained by the Doctoral School Support Team; has received the appropriate training; has the primary role of conducting the examination in order to ensure fairness to the candidate and full observance of University procedures; should not read the thesis or make any contributions to the academic examination of the thesis and make any contributions to the academic evaluation of the thesis by the Examiners; will inform the candidate of the examiners' decision and will be required to complete the Independent Chair's Report, (Appendix 3). Exceptionally, the Doctoral School and School PGR Director will allow an internal examiner to chair an examination provided they have attended the appropriate training. A separate chair is still required if they have not undertaken this training or require a training refresher (e.g. have not attended supervisor training within the last 3 years).

## 9 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 an electronic PDF version of the thesis, report or portfolio to Student Administration, which dispatches the document to the appointed examiners. Should an examiner require a hard copy of the thesis, this will be arranged by Student Administration and paid for by the School. The examiners typically require between four and six weeks to examine the thesis. However, in the event of a Research Degrees Appeal Board being convened a request may be made to the examiners for disclosure of the reports.
- b) The internal examiner must submit the thesis to Turnitin to perform a similarity check; they will be advised of the correct link by their Doctoral School Support Officer on behalf of the Doctoral School. Where the candidate is to be examined by 2 external examiners the thesis will be submitted by the School PGR Director (or their nominee). The similarity report will be reviewed by the Viva Voce panel.
- c) The primary supervisor may be in attendance at the oral examination as an observer at the candidate's discretion. If the primary supervisor is not in attendance at the oral examination, they, another member of the supervisory team or the School Associate Dean Research & Innovation must be on call for the purposes of providing clarification to the examiners if required.
- d) The Research Support Officer 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.
- e) Whilst supervisors are not examiners, they will be expected to be present at the oral examination, subject to the prior agreement of the examiners and at the discretion of the candidate. The supervisor is in attendance as an observer and only whilst in the presence of the candidate.
- f) The candidate has the option to deliver a short presentation of no more than 10 minutes duration. Where a viva has been resubmitted for re-examination the candidate may not add any new material into the presentation: it must be based on the contents of the thesis.
- g) 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:

- i) 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
  - ii) 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
  - iii) 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
  - iv) a detailed understanding of applicable techniques for research and advanced academic enquiry. <http://www.qaa.ac.uk/en/quality-code/the-existing-uk-quality-code/part-b-assuring-and-enhancing-academic-quality>
- h) The oral examination, if any, is held at the University of Salford and should take place in a suitable room and without interruption. Where the examination is to take place online, the Doctoral School will confirm the most suitable online tool for the assessment e.g. Teams. The University does not permit the use of Zoom software for assessments. A date and time for the assessment will then be agreed. When the assessment takes place, the candidate will need to provide Photographic ID and be able to show the entire room they are using; the door should be closed and remain in sight at all times. For assistance with the University's online tools please see the following link:  
[https://testlivesalfordac.sharepoint.com/sites/Uos\\_Students/SitePages/Digital-IT.aspx](https://testlivesalfordac.sharepoint.com/sites/Uos_Students/SitePages/Digital-IT.aspx)
- i) Experience suggests that care needs to be taken to make the candidate feel at ease, particularly if there is any disability or exceptional stress or cultural differences. The Independent Chair should ask the candidate at the start of the examination whether there are any special circumstances which have affected their ability to defend their thesis on that day. The candidate should have explained to them the form that the examination shall take, as already agreed by the examiners. It is desirable to allow the candidate ample opportunity to expand on what they consider to be the strengths of the thesis.
  - j) 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.
  - k) 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.
  - l) 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.

- m) 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.
- n) The candidate is normally informed of the outcome of the viva on the same day.
- o) 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.
- p) In the event that a resubmission is necessary, the candidate may be called for a further viva, and the university / examiners reserve the right to do this.

## **10 Examiners' Reports**

### **10.1 Pre-Oral Examination Report**

- a) The Pre-Oral report should only be completed if an oral examination is required;
- b) 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 sent to the Independent Chair prior to the oral exam and exchanged between examiners on the date of the oral in the pre-oral meeting. The pre-oral reports should then be lodged with the Joint Examiners' Report form and available for the candidate to see on request following the viva;
- c) 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;
- d) 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;
- e) the supervisor may be called for clarification purposes at the time of setting the agenda for the oral.

### **10.2 Post-Oral Examination Report**

- a) The Independent Chair will communicate the examiners' recommendation to the candidate, making it clear that it is provisional until approved by the Postgraduate Research Awards Board.
- b) If the candidate is not told the outcome on the day, the Independent Chair must give the candidate a clear indication of how they will be notified and the likely timescale in which the examiners will make their provisional recommendation.
- c) Where the Examiners are unable to agree on their recommendation they shall each separately submit an examiner's report on a form specified by the University which shall be available on request to the candidate and the supervisory team and which shall make one and only one recommendation as set out in Table E of the Academic Regulations for Research Awards.

### **10.3 The Joint Examiners' Report**

#### **Section 1:**

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

- b) 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:
- i) whether the candidate possesses a satisfactory knowledge and understanding of existing studies relevant to the subject of the thesis;
  - ii) 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;
  - iii) 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;
  - iv) 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;
  - v) 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;
  - vi) 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);
  - vii) whether the thesis merits the award of the degree aimed for;
  - viii) 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**

- a) 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**

- a) 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**

- a) If minor typographical corrections or minor amendments to content are needed for the thesis to be accepted the Examiners must indicate the corrections required in this section of the report and return the feedback section to the candidate within 24 hours



of the oral. The internal examiner is responsible for sending a copy, at the same time, to Student Administration. Once the report has been received, Student Administration will send a copy of the report to the candidate along with the Declaration 2 form. Minor amendments are normally signed off by the internal examiner, however it will depend on the nature of the amendments, The examiners must identify on the form which examiner(s) will sign off the corrections/amendments.

- b) The candidate will have 3 months from the date on their letter from Student Administration containing the Joint Examiner's Report to complete the corrections/amendments to the satisfaction of the named examiner and the required date must be inserted on the form.
- c) It is expected that corrections/amendments of this nature and extent will be carried out by the candidate before the thesis is returned to Student Administration and before the joint examiners' report is considered by the appropriate Postgraduate Research Awards Board.
- d) In exceptional circumstances, should the either examiner be indisposed, an alternative subject specialist can be appointed by the relevant Associate Dean Research & Innovation to confirm that the corrections submitted are acceptable.
- e) 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**

- a) 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 Independent Chair within one week of the oral. Once the report has been received, the Independent Chair sends the JER and preoral reports and Independent Chair report to Student Administration. Student Administration will send a copy of the Examiners report to the candidate along with the Declaration 2 form. Generally major amendments will be reviewed by both examiners however this will depend on the nature of the amendments required. The examiners must identify on the form which examiner(s) will sign off the corrections/amendments. In exceptional circumstances, should the either examiner be indisposed, an alternative subject specialist can be appointed by the relevant Associate Dean Research & Innovation to confirm that the corrections submitted are acceptable.
- b) The candidate will have 6 months from the date on their letter from Student Administration containing the Joint Examiner's Report to complete the corrections/amendments to the satisfaction of the named examiner(s) and the required date must be inserted on the form.
- c) It is expected that corrections/amendments of this nature and extent will be carried out by the candidate before the thesis is returned to Student Administration and before the joint examiners' report is considered by the appropriate Postgraduate Research Awards Board.
- d) Corrections and/or amendments must be signed off by the nominated examiner(s) 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**

- a) In cases where 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. Once the report has been received, Student Administration will send a copy of the report to the candidate along with the Declaration 2 form.
- b) The candidate will have 12 months from the date on their letter from Student Administration containing the Joint Examiner's Report to complete the revisions to the satisfaction of the named examiner(s) and the required date must be inserted on the form.
- c) 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 a further oral examination is required.
- d) The candidate should be aware that, while the revision may have addressed the examiners' comments from the first examination, a revision of the nature of a resubmission may have altered the content of the thesis substantially and raise issues that may not have been apparent in the initial examination. Therefore, the candidate must be prepared to be examined on the whole body of work in the resubmission and not just the suggested changes from the initial examination.
- e) Both examiners are required to examine the resubmitted thesis in full. In exceptional circumstances, where the external examiner is indisposed, the internal examiner or an alternative subject specialist can be appointed by the relevant Associate Dean Research to confirm that the corrections submitted are acceptable.

## **Section 7 – Confirmation of completion of process**

This section must be completed in order to:

- a) Verify that the candidate has had an opportunity to declare any circumstances which affected their ability to defend the thesis on the day.
- b) Sign off the lodging or pre-oral reports and to verify that issues raised in the pre-oral reports have been addressed.
- c) Examiners should return the thesis and their completed report forms to PGR Administration within 7 days from the date of the oral examination.

## **11 Recommendation of the Examiners**

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

## 12 Resubmission / Oral Re-Examination

- a) If a candidate is required to present a revised thesis, report or portfolio, they will be informed in writing. The arrangements and regulations for the re-examination shall be as if the candidate were being examined for the first time, unless the Postgraduate Research Awards Board has already, on the recommendation of the Examiners for the first examination, excused the candidate from a further oral examination or stipulated otherwise.
- b) The appropriate examination fee and time allowed to re-present will be detailed. The electronic copy will be retained for purposes of comparison with the revised thesis when presented.
- c) 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.
- d) Candidates submitting a revised thesis will need to complete a Resubmission Declaration of Originality by Research Candidate form.
- e) 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.
- f) 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.
- g) Further information regarding re—examination can be found in the Research Awards Regulations: <https://www.salford.ac.uk/governance-and-management/academic-handbook>

## 13 Award and Conferment of Degrees

- a) The examiners' recommendation is submitted to the next scheduled meeting of the Postgraduate Research Awards Board which awards the degree on behalf of the University. The Postgraduate Research Awards Board can make one of the following recommendations:
  - i) that the degree be awarded;
  - ii) that the degree be conditionally awarded subject to minor amendments;
  - iii) that the degree be conditionally awarded subject to major amendments;
  - iv) permit the candidate to present a revised thesis and to present themselves for examination on a subsequent occasion with a further oral examination within 12 months;
  - v) permit the candidate to present themselves for a second oral examination within three months;
  - vi) 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;
  - vii) that the award be not conferred and that the candidature be terminated.
- b) If an award has been made, it is the responsibility of Student Administration to produce an official pass list. The official date of graduation and conferment is the date that the certificate is printed.
- c) If a candidate is hoping to attend the annual Graduation Celebration Event then the report form needs to be completed by a deadline. Dates are confirmed at the start of the academic year and available from Student Administration.
- d) Any corrections needed must also have been made, to the satisfaction of the examiners, and resubmitted to the Student Administration by the final deadline. Those candidates who do not meet the final deadline risk withdrawal from the programme.
- e) If a candidate does not pay or does not make satisfactory arrangements to pay their tuition fees then their registration for the academic year in question may be cancelled.
- f) 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.
- g) If a candidate does not pay or does not make satisfactory arrangements to pay their tuition fees, the results of any assessments shall be withheld from the student.
- h) 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>

## 14 Posthumous Awards

- a) The Postgraduate Research Awards Board may recommend to the Research and Enterprise Committee that the award of a posthumous degree be made where a candidate has died after the thesis has been examined, or submitted for examination, but before the oral examination (where required) can be held.
- b) In such a case, the Board shall consider the work presented and, provided that it is satisfied that the work is the candidate's own (by means of the receipt of reports from the supervisor and School PGR Director), may decide to recommend that an award be made before submitting the thesis.
- c) In such a case, the Board shall consider available evidence of the research work completed by the candidate. Normally, such evidence shall be supplied by the candidate's supervisor, who shall also submit a report for consideration by the examiners. The PGR Director concerned shall also submit an argued recommendation regarding the award of the degree. The following criteria must also be satisfied:
  - a. enough of the research project must have been completed to allow a proper assessment to be made of the scope of the thesis;
  - b. the standard of the research work completed must be of that normally required for the award of the degree in question, and must demonstrate the candidate's grasp of the subject;
  - c. the written material available (draft chapters, published work, work prepared for publication, presentations to conferences/seminars, progress reports made by the candidate for his/her department/institution/sponsor) must demonstrate the candidate's ability to write a thesis of the required standard.

# 15 Copyright, Deposit and Consultation of Thesis

## Deposit

- a) One copy of each successful thesis, report or portfolio is deposited as an electronic copy in the University of Salford's Institutional Repository (USIR) [<https://Salford-repository.worktribe.com/>], managed by The Library. Further detailed guidance on submitting a thesis into USIR and on the formats to use is available at <https://www.salford.ac.uk/library/resource-discovery/theses>
- b) USIR is an Open Access repository, and The Library will automatically make the thesis, report, or portfolio openly accessible, immediately after conferment of the degree or at the end of any moratorium, and in any case at the end of five years.
- c) Research theses are made publicly available online via USIR in order to ensure that the benefits of the University's research reach the widest possible audience, in accordance with our commitment to open access. Candidates' theses will be permanently hosted via USIR and any subsequent repositories. These held in the USIR will also be made available in the Electronic Thesis Online Service (EThOS), managed by the British Library, where they will be made available Open Access. Candidates are reminded that theses made publicly available on USIR can be harvested by other Open Access databases.

## Copyright

- a) The University's position with regard to ownership of copy right and other intellectual property is stated in the Intellectual Property Policy:

The copyright in the thesis or dissertation of a Student undertaking a post-graduate research or taught programme will belong to the Student as author, but with the following caveat: authors are asked to sign a declaration and agree to a Repository Agreement (see Related Documents) upon submission of their thesis. This allows the University to make the thesis available online according to the University's commitment to open access.

3.1.1.1 – 3.1.1.1.3 University of Salford Intellectual Property Policy available <https://www.salford.ac.uk/library/open-research/open-data/research-data-management/legal-and-ethical>
- b) Theses will be made open access under a Creative Commons licence. Theses will be licensed under a Creative Commons Attribution 4.0 International Licence <https://creativecommons.org/licenses/by/4.0/> (CC BY) unless the candidate selects an alternative Creative Commons licence at the point of deposit. Details of Creative Commons licences are available at <https://creativecommons.org>. Once a thesis has been made open access under a Creative Commons licence the terms of that licence cannot be revoked.
- a) It is the responsibility of the candidate to gain permissions for the inclusion of any third-party copyright material in a thesis, report or portfolio deposited in USIR. If permission cannot be secured from the copyright holder, the candidate should upload to USIR an additional abridged PDF version of the thesis with the copyrighted images/sections

removed. The redacted version will be made publicly available in USIR, while the full version will be stored but not available. For further advice contact Library's research team at: [library-research@salford.ac.uk](mailto:library-research@salford.ac.uk) or <https://www.salford.ac.uk/library/find-resources/theses>

## **Moratoriums**

- a) The candidate may request that a moratorium be imposed on access to the thesis, for a limited period. Requests are approved by the ADRI for the School and must contain a valid reason for the temporary delay to open access.
- b) The candidate requests this when presenting the thesis for examination and may request a moratorium of up to two years from ratification of award initially. If after two years a further period of restriction is required (one year at a time up to a maximum of five years in total), a new application must be made to Student Administration three months in advance of the termination date – including a valid reason for the moratorium extension.
- c) Schedule:
  1. Moratorium request for up to two years
  2. Moratorium request for one year submitted three months in advance of the termination date
  3. Moratorium request for one year submitted three months in advance of the termination date
  4. Moratorium request for one year submitted three months in advance of the termination date (five year maximum reached)
  5. Thesis will be made live – no more moratorium requests are permitted.
- d) If a new application is not received, it will be assumed that the moratorium has ended, and the thesis will be made openly available in USIR.
- e) The inclusion of third-party copyright material in a thesis, report or portfolio is not a valid reason for a moratorium and a redacted version should be created if permissions cannot be secured. All thesis abstracts are publicly available and cannot be restricted; therefore, a sanitised version of the abstract should be submitted.
- f) Where a moratorium on the full text is granted, information about the thesis including its title, author and abstract will still be made publicly available in USIR. If the abstract contains information that would undermine the moratorium, an amended abstract should be provided for use throughout the duration of the moratorium.



## 16 Academic Appeals and Student Complaints Procedure

- a) The University has established an **appeals procedure** and a student may appeal against the ratified decision of any Postgraduate Research Awards Board after initial consideration by the School Research, Enterprise and Innovation Committee. This will therefore include the following decisions:
- Termination of candidature
  - Requirement to be reassessed or to fulfil other conditions before being permitted to proceed or obtain an award
  - Disallowance of progression following annual progress report, Interim Assessment, Transfer Assessment or Internal Evaluation
  - Transfer of candidature from a doctoral level to a master's award
  - Disallowance of transfer from a master's level award to a doctoral level
- b) 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:
- i. <https://www.salford.ac.uk/askus/admin-essentials/academic-appeals>
  - ii. <https://www.salford.ac.uk/governance-and-management/student-facing-policies-and-procedures>
- c) Information about the Academic Appeals Procedure is available from the Quality and Enhancement Office. Contact details are [academicappeals@salford.ac.uk](mailto:academicappeals@salford.ac.uk) or 0161 295 4068 or 0161 295 7059.
- d) 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.
- e) Candidates may obtain information about the Procedure from the University's Quality and Enhancement Office. Please email [complaints@salford.ac.uk](mailto:complaints@salford.ac.uk).
- f) Candidates may obtain independent advice and support from the Students' Union Advice Centre. Please contact 0161 351 5400 or [advicecentre-ussu@salford.ac.uk](mailto:advicecentre-ussu@salford.ac.uk).

## 17 PhD by Published Works

- b) The guidelines for candidates eligible for the degree of PhD by Published Works are included in Appendix 7.
- c) Regulations governing this award can be found in Section 16 of the Academic Regulations for Research Awards.
- d) Library's research team (email: [library-research@salford.ac.uk](mailto:library-research@salford.ac.uk):  
<https://www.salford.ac.uk/library/find-resources/theses>)

## **18 Higher Doctorate Degrees Doctor of Science (DSc) and Doctor of Letters (DLitt)**

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

# Appendices

## Appendix 1: External Examiner Guidance

- a) The University requires that all research degrees are examined by an Internal Examiner and an External Examiner. Where a candidate is also a member of staff within the University, or where appropriate examining expertise cannot be found within the University, a second External Examiner will replace the Internal Examiner. Staff candidates include those who become staff during or after their registration as a PhD candidate.
- b) A proposed individual may not fulfil the role of External Examiner if they have been a student or member of staff at the University of Salford within the past 6 years. A proposed individual cannot act as an External Examiner on more than 2 occasions in the same academic year.
- c) The Examiners are responsible for:
  - a. considering the written work submitted by the candidate;
  - b. arriving at an independent evaluation of whether the work submitted meets the criteria for the award and, if not, in which aspects it is deficient;
  - c. completing an initial independent Pre-Oral Report form, submitting it to the independent chair/doctoral school prior to the oral examination, and exchanging it with the other examiner on the day of the oral examination;
  - d. consulting with the other examiner and comparing initial reports
  - e. following examination of all written and, where appropriate, oral evidence, deciding whether the candidate has met the standards for the award;
  - f. deciding upon an appropriate recommendation to the University;
  - g. completing a final Joint Examiners' Report form with the other examiner on the candidate's performance and submitting it to Student Administration, [sa-prg@salford.ac.uk](mailto:sa-prg@salford.ac.uk);
  - h. in all cases where the recommendation is that the degree be revised and resubmitted for the original or a lesser degree, agreeing with the other examiner a full list of the changes to be made and the work to be undertaken. A copy of this should be attached to the final report. It is normally expected that a candidate would have the opportunity to revise and resubmit to the original degree, before being downgraded to a lesser degree.
  - i. in the case of disagreement between the examiners, the Independent Chair will advise the examiners on the regulatory options. The Independent Chair does not have an additional casting vote but should endeavour to help the examiners reach an agreed position.

## Appendix 2: Regulations for the Form of Thesis

### 1

- a. These regulations refer to theses for the degrees of PhD, DProf, DMA, EngD MRes, MSc by Research and MPhil and should be read in conjunction with the Academic Regulations for Research Awards
- b. These regulations do not refer to dissertations submitted by candidates for the degree of MSc (taught) for MA or for the Postgraduate Diploma, or for undergraduate dissertations.

### 2 Submission

#### Submission for examination:

- a) The candidate submits a PDF version of their thesis, , and Declaration 1/Resubmission Declaration form electronically to [SA-PGR@salford.ac.uk](mailto:SA-PGR@salford.ac.uk) and copies in the relevant PGR- Support inbox and their supervisor, for information.
- b) Candidates should also be prepared to submit an editable version of their thesis (e.g. Word version) should an examiner request a copy that they can add comments to.
- c) SA-PGR will issue a receipt to the candidate to confirm the thesis has been received.
- d) SA-PGR saves the thesis PDF to the candidate's SharePoint folder in the JER Documents Library.
- e) SA-PGR updates Banner and JER workflow document with the pdf thesis submission date.
- f) Assuming the required documentation is in place (Notice of Presentation etc.) SA-PGR will then 'despatch' the thesis via email, with Word/PDF versions and alert the relevant PGR-Support inbox in the usual way.
- g) Doctoral School will arrange an online, in person or hybrid viva, where necessary.

#### Final submission for award:

- a) Candidates will complete the Declaration 2 form in the usual way – sign-off from examiner(s) and e-thesis receipt number from USIR deposit (see below).
- b) The candidate submits the Declaration 2 form to SA-PGR to be eligible for the next Postgraduate Research Awards Board.
- c) 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***

- d) Once examination of the thesis has been completed and the finalised report form has been received by Student Administration, candidates will be required to submit 1 electronic copy to the University Library repository (USIR) before the official degree result can be published and the degree conferred.
- e) 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.
- f) On final submission of an electronic 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 final versions of the thesis in all formats are (apart from any corrections made) identical to the original submission.

### **3 Presentation**

#### **a) Initial Submission for Examination – electronic**

- i) Candidates must submit a PDF version and be prepared to supply an editable version as noted in Section 2, above. Further information on submitting the thesis can be found here: <https://testlivesalfordac.sharepoint.com/sites/DoctoralSchoolHub/SitePages/PGR-FAQs.aspx#submitting-your-thesis>
- ii) And specific information on formatting the thesis can be found here:
- iii) Candidates are expected to consult carefully and follow the guidance provided in the above links, which should be considered as part of the Code of Practice, although the information is too detailed to be reproduced in full here. Candidates submitting a thesis in Alternative Formats should also consult the guidance in Appendix 9

#### **b) Final Submission for Award of Degree**

- i) The production of a hard bound copy of the thesis for presentation to the candidate's supervisor is optional.

### **4 Print**

- a) The thesis shall be presented in permanent and legible form in typescript or print.
- b) The minimum point size of the text shall be 12 point, using a sans-serif font.
- c) One-and-a-half, or else double, spacing shall be used, except for indented quotations or footnotes where single spacing may be used.
- d) Margins at the document 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 thesis requires it.

## 5 Print

- 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 of right-hand corner of each page, top or bottom, and 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 Arrangement

**Arrangement** – Front matter should be arranged in the following order:

- a) The **title page** of the thesis shall give the following information:
  - a. full title of the thesis and any subtitle;
  - b. total number of volumes, if more than one, and the number of the particular volume;
  - c. full name of the author;
  - d. qualification for which the thesis is submitted;
  - e. name of the University;
  - f. name of the School in which the candidate's research was conducted;
  - g. 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).
  - a. The contents list shall refer to any illustrative materials such as slides, sound or video material not bound into the thesis. If a thesis consists of more than one volume, the contents of the whole thesis shall be shown in the first volume and the contents of subsequent volumes in a separate contents list in the appropriate volume.
- c) The **list of tables and illustrations** (if any) shall follow the table of contents and should list all tables, photographs, diagrams and the like in the order in which they occur in the text.
- d) Any **acknowledgements** shall be on the page following the table of contents and the list of table and illustrations.
- e) If the thesis contains any material which the author has used before, this fact shall be indicated in a **declaration** immediately following the acknowledgements. If the thesis is based on joint research, the nature and extent of the author's individual contribution shall be indicated.

- f) For **abbreviations** not in common use a key shall be provided. The **definitions** of any term specific to the thesis shall be given.
- g) There shall be an **abstract** of the thesis, not exceeding 300 words, and set out in a form suitable for publication.

## 7 Text of the Thesis

- a) The thesis shall be divided appropriately into **chapters, sections and subsections**. The system of headings should be consistent and should provide a clear indication of changes in content, emphasis and other features which occur at each stage of the work.
- b) **References** cited in the text may be identified by one of two methods, either:
- i) by numbers typed as superscripts or, if on the line in round brackets, immediately following the relevant word or phrase in the text;
  - ii) by citing the author's name and year of publication in round brackets immediately following the relevant word or phrase in the text (see also list of references 9 (b)).
- c) The **list of references** shall be arranged in accordance with the system of citation used (see 7 (b)). When using method (i) the references should be listed in the order in which they are identified in the thesis. When using method (ii) they should be listed alphabetically by the author's surname. In both cases, the list should enable the reader to identify the work cited and to locate the specific passage referred to.
- d) **Footnotes**, if used, shall be identified with other symbols, to distinguish from references.
- e) **Prescribed word limits** are as follows:
- Doctor of Philosophy (PhD): normally 100,000 words maximum;
  - Professional Doctorate (DProf): 60,000 words maximum and 40,000 words minimum;
  - DBEnv: 90,000 words maximum and 70,000 words minimum;
  - Master of Philosophy (MPhil): 50,000 words maximum;
  - Master of Research/Master of Science/Master of Laws (MRes/MSc/LLM): 40,000 words maximum
- Where a thesis has a prescribed maximum or minimum word limit this shall not include footnotes and references.
- f) **Language** – the thesis shall be written in English, unless the Postgraduate Research Awards Board grants permission for it to be written in a different language, this language to be specified in each instance.



## 8 Illustrative Material

- a) Whenever practicable, diagrams, maps, illustrations, computer printouts, published papers and tables shall be bound into the thesis. Colour may be used, provided it is of good quality and permanent.
- b) Photographic prints shall be on single weight paper or permanently mounted on cartridge paper for binding and shall be securely fixed in the thesis.
- c) Musical scores submitted for degrees in musical composition by research must be accompanied by recordings in durable and accessible formats.
- d) Any illustrative material which cannot conveniently be bound in the text, such as maps and slides, shall be packaged in such a way that it can be bound with the thesis document if at all possible. If the amount of such material is substantial 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

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

## Supplementary Notes for Guidance of Candidates

- 1 For points for covered by the above regulations candidates are advised to refer to the recommendations of British Standards 4821:1990 *Recommendations for the presentation of theses and dissertations*, copies of which are available in the University Library. Please note that this standard is officially withdrawn but still offers useful guidance.  
The following may also be useful and are available electronically on the British Standards Online website and can be accessed via The Library's search service <http://www.salford.ac.uk/library>:
  - British Standard 5605: 1990 *Recommendations for citing and referencing published material*
  - British Standard 1629: 1989 *Recommendations for references to published material* ISO 690-2: 1997(E) *Information and documentation: bibliographic references. – Part 2: Electronic documents or parts thereof.*
- 2 Digital IT can advice on how to achieve the layout required by the regulations, providing a candidate is using word processing or other software such as EndNote which is supported by Digital IT.
- 3 Examples of successful theses produced in accordance with these or previous regulations are available for inspection and can be searched for via the University's online research repository: <http://usir.salford.ac.uk/etheses/>
- 4 Candidates may also seek advice on any aspect of these regulations from Student Administration. Candidates may employ whichever firm of binders they wish but may find it convenient to approach an independent firm of binders approved by the University through the Students' Union.

**MANAGEMENT INFORMATION  
SYSTEMS**

**John SMITH**

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

## Notes on Writing Up and Submitting a PhD thesis

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

### 1 Length:

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

### 2 Content:

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

### 3 Standard:

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

### 4 Publication:

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

### 5 Style:

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

## 6 Structure:

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

## Appendix 3: Checklist for Independent Chairs

This is an example form, please contact your Research Support Officer for the most recent version.

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 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

1	Check any detail received from Doctoral School to see if the candidate has a RAP and if they have any required adjustments. Seek clarity on any aspects that you need to.
2	Contact the examiners, confirm they have received thesis and any RAP, and determine data of Viva. Pass that on to doctoral school confirm if in person or on teams.
3	Make sure you are clear on where and when the Viva is taking place, and have the contact details of the Doctoral School Team in case of any problems on the day (see Appendix for contacts).
4	Remind yourself of the Academic Regulations for Research Awards and Code of Practice sections on the examination of research degrees (sections 19 – 22 of the Academic Regulations for Research Awards and 12 – 15 of the Code of Practice, both available at <a href="https://www.salford.ac.uk/governance-and-management/academic-handbook">https://www.salford.ac.uk/governance-and-management/academic-handbook</a> Part E, 'Research Programmes') The Doctoral School Team will advise which year's regulations apply.
5	If relevant, make sure you are clear on specific programme regulations, e.g. for Professional Doctorates, PhD by Published Works or other programmes (Doctoral School Team to advise).
6	Familiarise yourself with the University policy and regulations regarding academic misconduct (see <a href="https://www.salford.ac.uk/governance-and-management/academic-handbook">https://www.salford.ac.uk/governance-and-management/academic-handbook</a> Part D, 'Student Conduct').
7	A copy of all the paperwork will be in the viva room/sent to you via email/as an attachment to the teams invite, but as a back-up it is a good idea to have ready access to a copy of the Pre-Oral Report Form, Joint Examiners' Report Form, and Independent Chair Report Form to take with you on the day.

## Pre-Oral Meeting

1	The University must comply with the Home Office 'Right to Work' regulations. Please confirm that you have received the <a href="#">TrustID</a> pdf of the external examiner's documents and that you are happy that they are correct – i.e. that the person attending the viva is the same as the person in the TrustID document. Please note, foreign nationals conducting an online Viva from outside of the UK do not need to complete this check.
2	The examiners must not discuss the thesis until the pre-oral reports are lodged. Ideally the Pre-oral reports would be sent to you prior to the pre-oral meeting, but if not on the day of the Viva check the examiners have brought a completed copy of the pre-oral report forms with them and they submit them to you <b>BEFORE</b> the Viva takes place.
3	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. Make sure examiners have read and taken note of any requirements in the RAP, confirm any regular breaks etc.
4	Remind examiners that the student has the option of starting the viva with a short presentation of <b>no more than 10 minutes</b> duration.

## During the Viva

1	Check with the candidate that they are "fit to sit" or if there are any special circumstances that may affect their ability to defend their thesis.
2	At the start of the Viva, introduce all parties and explain role of the Independent Chair. If a member of the supervisory team is present, explain that their role is as an observer only, and check that the student wishes for the supervisor to be present.
3	Outline the format of the viva to all those present, and ensure that everyone understands the procedures to be followed.
4	Where a viva is to be conducted online, ask the student to confirm that they are the only person in the room, that the door is to remain closed and – where possible – the door should be in view.
5	For online Viva: Like any assessment the Viva can be stressful, check with the candidate if they have family or friends close by to support them. Record on the Independent Chair Report form the candidates exact location and emergency contact details.
6	During the Viva make brief notes on procedural matters and conduct of the examination on the Independent Chair Report form, including timing of any breaks, manner of questioning, if RAP adjustments are followed, any issues that arise etc
7	Do not carry out personal work during the viva, including checking phones and emails.
8	Keep an eye on the time, and on the candidate, and suggest "comfort breaks" where appropriate.
9	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.
10	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.
11	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

1	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.
2	Ensure that the examiners fill in and sign the Joint Examiners Report form.
3	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, Enterprise and Innovation Committee shall appoint an additional examiner to review the thesis and the original examiners' reports which will be anonymised.

## Concluding the Viva

1	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.
2	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.
3	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.
4	It can be very distressing when a candidate receives a disappointing outcome and they may need further support. Please ensure that if the candidate is in this position, they are aware of the following: <ul style="list-style-type: none"><li>• Our 24-hour Student CareFirst telephone helpline provides emotional support by trained counsellors, call 0800 970 1080.</li><li>• University Security emergency number 0161 295 3333 (for trained first aiders)</li><li>• Crisis Support <a href="https://testlivesalfordac.sharepoint.com/sites/Uos_Students/SitePages/Crisis-Support.aspx">https://testlivesalfordac.sharepoint.com/sites/Uos_Students/SitePages/Crisis-Support.aspx</a></li></ul>

## Appendix

### Links

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

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

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



## Useful Contacts

### PGR Manager:

Tracie Harrington-Lord: [t.harrington-lord@salford.ac.uk](mailto:t.harrington-lord@salford.ac.uk)

<b>School Support Mailboxes:</b>	<b>Doctoral School Team:</b>
<a href="mailto:PGR-supportSSEE@salford.ac.uk">PGR-supportSSEE@salford.ac.uk</a>	Michelle Jones – <a href="mailto:m.jones1@salford.ac.uk">m.jones1@salford.ac.uk</a> Jessica Smith – <a href="mailto:j.smith2@salford.ac.uk">j.smith2@salford.ac.uk</a>
<a href="mailto:PGR-supportSHaS@salford.ac.uk">PGR-supportSHaS@salford.ac.uk</a>	Louise Brown – <a href="mailto:l.m.brown@salford.ac.uk">l.m.brown@salford.ac.uk</a> Ben Meade – <a href="mailto:b.w.f.meade@salford.ac.uk">b.w.f.meade@salford.ac.uk</a>
<a href="mailto:PGR-supportSBS@salford.ac.uk">PGR-supportSBS@salford.ac.uk</a>	Tracy Ireland – <a href="mailto:t.j.ireland@salford.ac.uk">t.j.ireland@salford.ac.uk</a> Megan Davies – <a href="mailto:m.m.davies@salford.ac.uk">m.m.davies@salford.ac.uk</a>
<a href="mailto:PGR-supportSAM@salford.ac.uk">PGR-supportSAM@salford.ac.uk</a>	Moira Mort – <a href="mailto:m.mort@salford.ac.uk">m.mort@salford.ac.uk</a> Rachel Lilley – <a href="mailto:r.lilley@salford.ac.uk">r.lilley@salford.ac.uk</a>

Please Note: if you would like to contact a member of the Doctoral School, call using Microsoft Teams.

### Student Administration

Return scanned copies of forms to [sa-pgr@salford.ac.uk](mailto:sa-pgr@salford.ac.uk) or hard copies to Student Records Team, University House.

## **Appendix 4: Checklist for Independent Chairs**

### **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) 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.
- b) a comprehensive understanding of techniques applicable to their own research or advanced scholarship.
- c) 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.
- d) conceptual understanding that enables the student:
  - i. to evaluate critically current research and advanced scholarship in the discipline
  - ii. to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

### **Typically, holders of the qualification will be able to:**

- a) 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.
- b) demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level.
- c) continue to advance their knowledge and understanding, and to develop new skills to a high level.

### **And holders will have:**

- a) the qualities and transferable skills necessary for employment requiring:
  - i. the exercise of initiative and personal responsibility
  - ii. decision-making in complex and unpredictable situations
  - iii. 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:**

- a) 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 general practice.
- b) 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.
- c) a detailed understanding of applicable techniques for research and advanced academic enquiry.

#### **Typically, holders of the qualification will be able to:**

- a) make informed judgements on complex issues in specialist fields, often in absence of complete data, and be able to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences.
- b) 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:**

- a) 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.

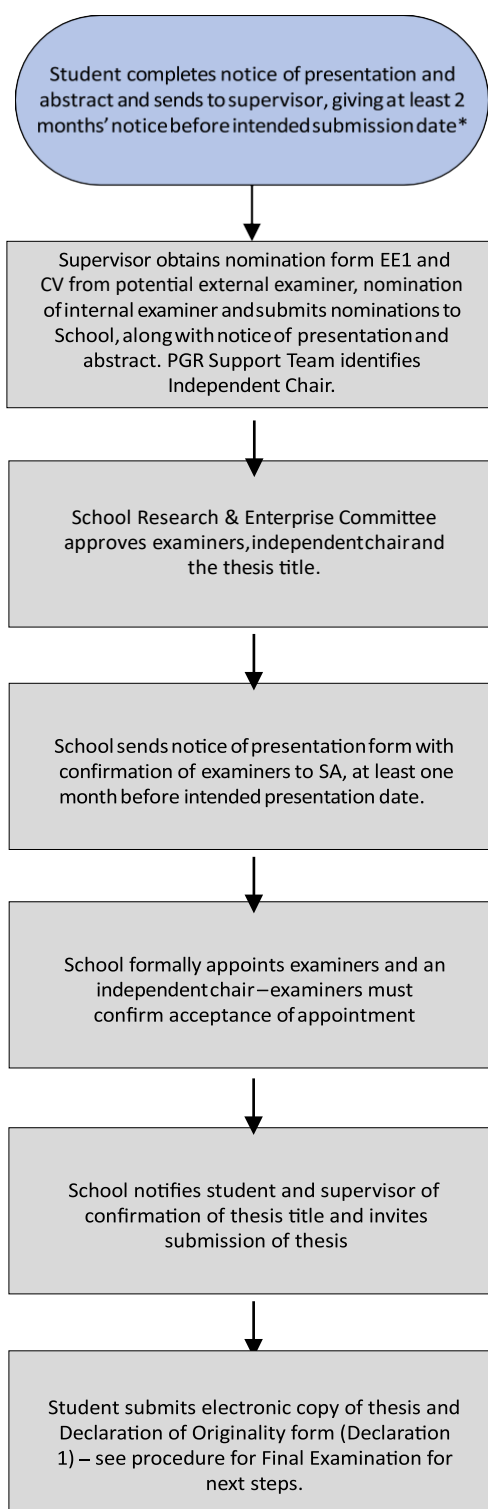
Holders of doctoral degrees will be able to conceptualise, design and implement projects for the generation of significant new knowledge and/or understanding. Holders of doctoral degrees will have the qualities needed for employment that require both the ability to make informed judgements on complex 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 and 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.

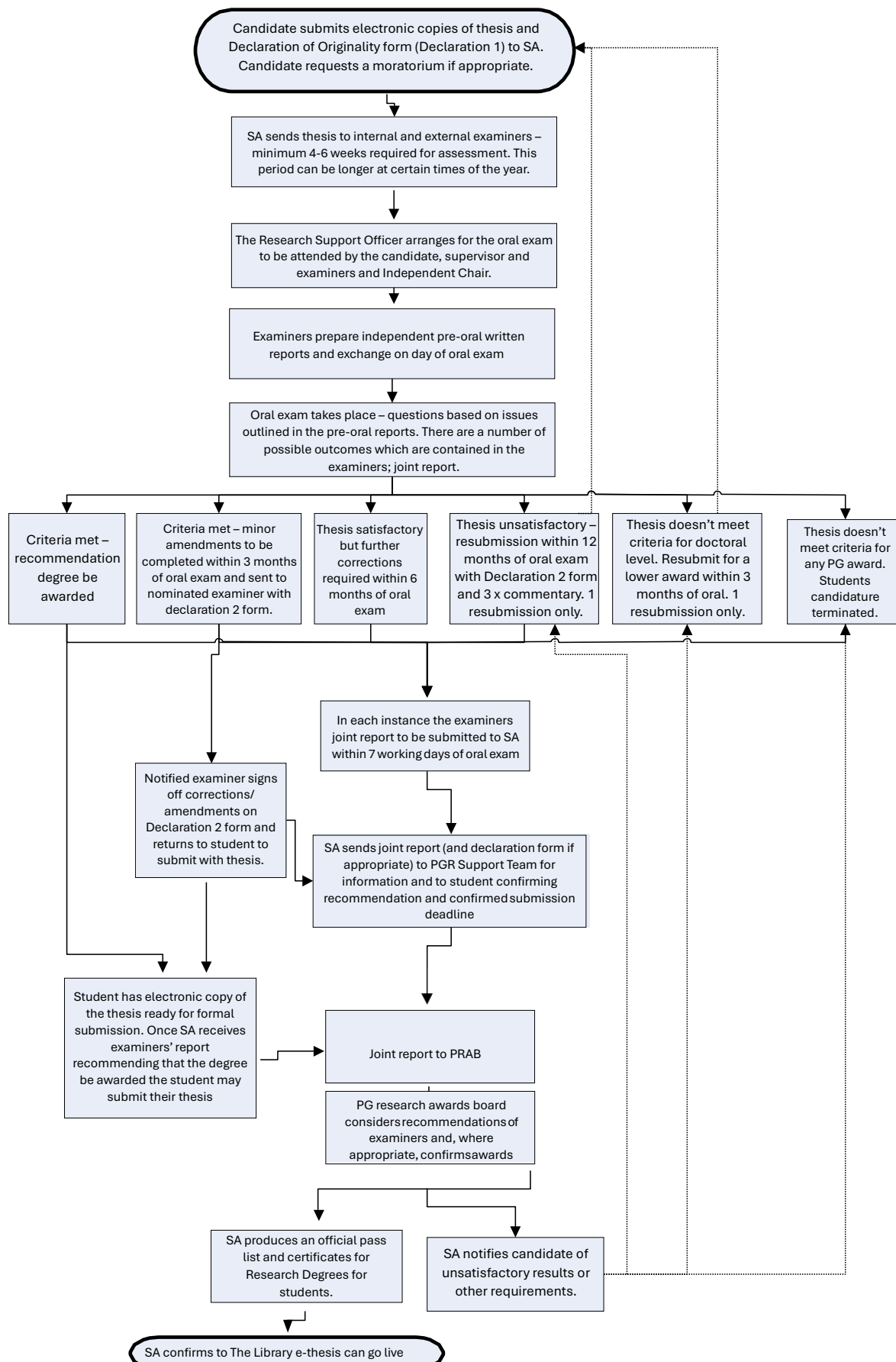
Achievement of outcomes consistent with the qualification descriptor for the doctoral degree normally requires study equivalent to three full-time calendar years.

## 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, plus one completion phase year to complete their PhD, which includes a critical review of the publications and demonstrates the contribution to knowledge.

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

### Requirements for the PhD by Published Works

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

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

## **FHEQ Descriptors for qualifications at Doctoral Level**

The criteria for the award of the degree of PhD by Published Works are the same as for the traditional PhD:

- a) 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.
- b) 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.
- c) 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.
- d) 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.

### **The Pre-Registration Assessment (*Prima Facie*)**

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

The application will be assessed by the School Dean or his/her representative, the PGR Director or PhD by Published Works Lead and the proposed supervisor (at least one member of the panel must have experience of undertaking two or more internal



evaluations). Where the mentor is also the proposed supervisor, the panel must include an independent member of staff.

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

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

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

The oral assessment will comprise questions by the panel. The applicant can also provide an oral presentation of no more than 10 mins. 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:

- a) An understanding of underlying issues, the nature of evidence and argument, and the relationships between practice, theory and criticism.
- b) Research methods and skills and practice techniques appropriate to the work.
- c) Knowledge and understanding of the research context of the thesis, and of trends in the discipline.

- d) Knowledge, understanding and skills in analysis and synthesis of research material.
- e) Knowledge and understanding of related disciplines (where appropriate).
- f) Specialist knowledge, understanding and skills such as an additional language, methodology or technique.
- g) Unique contribution to knowledge within the specific discipline or practice field.

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

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

- a) To recommend that the applicant be eligible to register for the PhD by Published Works.
- b) 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.
- c) Recommendation for the applicant not to progress.

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

- a) The names of those who attended the panel.
- b) The focus of panel discussion in terms of relevance, authenticity, currency and coherence of the submission.
- c) Whether ethics approval has been obtained for the outputs presented.
- d) Recommendations for the applicant's consideration.
- e) The final decision of the panel.

The panel's decision is provisional until approved by the School Research, Enterprise and Innovation 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>

### 3 Registration and Duration

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

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

### 4 Thesis and Viva Preparation

The candidate can submit the completed work no earlier than six months following the date of the prima facie case panel and within the completion year. The candidate shall submit electronic copies in PDF and Word (if requested) format, comprising:

- a) Title Page
- b) Acknowledgements
- c) Content page – including numbering of the submitted outputs i.e. papers, chapters, monographs, portfolio, DVDs, creative works etc. all of which must have been published.
- d) 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).
- e) 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.
- f) A summary sheet with a copy of each publication numbered to correspond with the numbers in the summary.
- g) A critical review of up to 15,000 words stating:
  - a. the aims and nature of the research.
  - b. the wider disciplinary perspectives.
  - c. the inter-relationship between the material published/produced and the main contribution and/or addition to knowledge of the works.
  - d. offering a critical appraisal of the work from a micro and macro perspective.

This is to demonstrate that the candidate has subjected their work to scrutiny and review at the individual publication/production level and also within the wider boundaries of their specific discipline, and to evidence the works as a coherent programme of research, achieving a depth of

scholarship and originality comparable to that required for the Award of PhD by thesis.

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

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

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

- i. During the period of development, mentorship may be provided by academic staff in line with normal practice of PhD by traditional route and their contribution recognised as part of the Performance & Development Plan (PDP) process.
- ii. The mentor should be a member of the academic staff of the university who is experienced in research activity, publications and in the area of the candidate's field of work.
- iii. Agreement on authorship and /or co-authorship is by agreement with the mentor/s.
- iv. The same internal training and support that is available to all Post Graduate Researchers will be made available to registered Published Works candidates in order to develop the direct and indirect skills to become an independent researcher e.g. School Research Methods Modules, PG Research Training Programme, SPoRT programme.

### **Completion of Learning Agreement**

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

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

## **Applicants with Complete Body of Works**

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

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

## **5 Roles and Responsibilities**

### **Responsibilities of candidates**

- a) To discuss their intention to work towards a PhD by Published Works with their proposed supervisor.
- b) To become familiar with PhD by Published Works guidelines.
- c) To prepare for and undertake the Prima Facie assessment, in consultation with their proposed supervisor.
- d) Once the Prima Facie has been passed, to register as a research degree candidate.
- e) 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.
- f) 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.
- g) To take up appropriate training and development opportunities.
- h) To participate in an action learning/support group for Published Works candidates as appropriate.
- i) Meet with allocated supervisor at agreed intervals and review progress.
- j) Pursue opportunities to become involved in research projects and seek and acknowledge mentorship as appropriate (e.g. co-authorship on publications).
- k) Review progress and submit thesis within the prescribed timeframe.
- l) Engage in the examination process.

### **Responsibilities of the supervisor**

- a) Become familiar with PhD by Published Works guidelines and the structure of the PhD by published works thesis.
- b) Participate as active member of the Prima Facie panel.

- c) Provide advice, guidance and feedback on the critical review of the published works.
- d) 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**

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

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

- a) Ensure that mentors/supervisors are recognised for their contribution within their Personal Development Plan.
- b) Ensure that the Research Centre and its themes continue to provide an environment where research capacity can be developed and there are opportunities for involvement and development in research and academic writing.

**Expression of interest for PhD by PublishedWorks**

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

<b>Name</b>	
<b>School in which your research area sits</b>	
<b>Directorate or Research Group in which your research area sits</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>	

## **Learning Agreement – PhD by Submission of Published Works**

### **Instructions for use of this document:**

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

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

### **Guidance Notes:**

#### **Approach to Writing/Research**

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

#### **General Roles of Candidate and Supervisors/Mentors**

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

Another starting point to understanding the duties of students and mentors (supervisors) is to read the 'Code of Practice for the Conduct of Postgraduate Research Degree Programmes' which is available at the web link listed below. Copies of this document can also be obtained from the Postgraduate Office.

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

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

The candidate should let their mentor know at this point if they have any special/individual needs which should be taken into account. It is important to document these in the Learning



Agreement so that a student's mentor can take into account any necessary arrangements for the candidate to complete their research. (N.B. it is the duty of the mentor to encourage the student to inform the Disability and Learner Support Service of their needs in order for appropriate support to be organised).

### **Writing/Research Support**

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

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

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

### **Approach to Collaborating Organisation (if applicable)**

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

### **Learning Agreement Questions**

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

## Learning Agreement – PhD by Submission of Published Works

<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***

*All postgraduate research students must obtain ethics approval before commencing research.*

### ***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 candidate and the University of Salford

**Signatures:**

Mentor/Supervisor:.....Date:  
.....

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

Learning Agreement completed	
Review Dates	
Anticipated date of Prima facie assessment	
Anticipated date of registration on PhD by Published Works programme	
Latest possible date of registration on PhD by Published Works (normally within 10 years of first publication)	

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

Office Use:

**PRIMA FACIE – PhD BY PUBLISHED WORKS****Name of 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>	
<b>COMMENTS</b>	

<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)		
Details of ethics training undertaken;		
Details of ethics statements on publications;		
<b>ADDITIONAL COMMENTS:</b>		

**Recommendation:**

(Please tick the appropriate box)

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

**Prima Facie Assessment Panel Members:**

Confirmation by the following members of the Panel:

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

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

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

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

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

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

Date approved by SREC.....

## Appendix 8: Code of Practice for Higher Doctorate Degrees at the University of Salford – Doctor of Science (DSc) and Doctor of Letters (DLitt)

### Higher Doctorate and Criteria

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

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

### Process and Procedure

Eligibility	<ul style="list-style-type: none"> <li>• Member of staff of the University of Salford with at least three years' service and a recognised Bachelors, Masters or Doctoral degree awarded by another University; or</li> <li>• a graduate of the University of Salford not less than 8 years standing from admission to his/her first degree.</li> </ul>
Admission	<p><u>Application</u></p> <ul style="list-style-type: none"> <li>• Applications shall be made to the Director of Postgraduate Research and shall include: a list of the published works which the candidate is submitting, a summary with commentary of the work upon which the candidature is to be based, and a brief curriculum vitae.</li> </ul> <p><u>Pre-registration Assessment (Prima Facie)</u></p> <ul style="list-style-type: none"> <li>• The application shall be forwarded by the Director of Postgraduate Research to the Dean of School appropriate to the field of study who shall convene an assessment panel to determine whether there is a prima facie case for proceeding with the application.</li> <li>• The assessment panel shall comprise of the Dean of School and the Associate Dean of Research (or their nominees).</li> </ul> <p><u>Registration</u></p> <ul style="list-style-type: none"> <li>• Upon a successful prima facie assessment and the payment of the required registration fees, the applicant will be registered as a Higher Doctorate candidate.</li> </ul>
Preparation for Submission	The Director of Postgraduate Research, in consultation with the Dean of School appropriate to the field of study, will allocate a University adviser to the candidate to provide guidance on the next stage of submission.
Duration	A formal submission must be made within 3 months of being registered.

Formal Submission	<p>The candidate shall submit electronic copies of</p> <ol style="list-style-type: none"> <li>1) up to ten selected published works,</li> <li>2) a critical commentary of up to 10,000 words describing the candidate's research career, how they have established their research reputation, and how the criteria for the degree are met,</li> <li>3) a statement outlining the extent to which the works are based on the candidate's own independent work; an indication as to the extent that the work was produced jointly and the clear quantitative and/or qualitative apportioning of the extent of the sharing of the work; and statements by those with whom work was shared agreeing that apportioning, and</li> <li>4) a statement whether any of the published works have been submitted for an award at this or any other university.</li> </ol> <p>The University shall retain the submitted copies.</p>
Assessment	<p>The Director of Postgraduate Research, on the advice of the relevant Dean of School, shall appoint three external expert examiners in the relevant discipline(s). The panel will normally include examiners of international standing: 2 international examiners are preferred, but at least 1 is mandatory.</p> <p>The examiners shall recommend by unanimous decision to the Postgraduate Research Award Board whether the evidence submitted demonstrates excellence in academic scholarship and merits the award against the following criteria:</p> <ul style="list-style-type: none"> <li>• research is of the absolute highest quality;</li> <li>• is substantial in scale and in the contribution it has made to knowledge;</li> <li>• is authoritative, being able to demonstrate impact on the work of others;</li> <li>• is of global reach and international importance within the field;</li> <li>• of such breadth or covering such branches of knowledge appropriate to the field and in line with disciplinary norms and expectations</li> </ul>
Appeal	<p>A candidate shall have the right to appeal against the decision of the University, through the Postgraduate Research Awards Board. Such an appeal should be lodged under the University's 'Academic Appeals Procedure'.</p>



## Appendix 9: Information on Alternative Format Theses

### GENERAL

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

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

### PRESENTATION OF THE THESIS

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

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

### EXAMINATION OF THE THESIS

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

The number of papers included in an AF thesis is not prescribed as this may vary according to discipline and, although there is no upper limit, typically 5-8 'papers' or equivalent chapters

are presented. Examiners will then be expected to judge whether the quantity and quality of the work, the critical analysis and originality of research and the defence of the thesis in the viva justifies the award of the degree.

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

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

Further information is available from the Doctoral School.