

Guidance for Completion of Research Degree

1. This guidance is for candidates completing research degrees at the University of Southampton and its Accredited Institution, the University of Chichester. Unless otherwise stated, this guidance applies to submissions for doctoral research degrees, as well as for the MPhil degree. Although it is also intended to cover professional doctorates, or other doctorates with a major taught component, if you are submitting for these degrees you should check with their Faculty that all aspects of the guidance are applicable.
2. When you have completed your supervised study and the main supervisor has seen a first draft of the thesis, you are transferred to nominal registration whilst writing up the thesis and preparing for submission. Candidates are required to give notice of their intention to submit a thesis. Examiners are then appointed, and the typed thesis is bound and formally submitted for examination. Candidates for a doctoral degree are normally required to attend an oral examination (or 'viva voce' examination). MPhil candidates are normally also required to attend an oral examination. Your supervisor will inform you in good time of the arrangements for any such examination. You should ensure that you will be available for the oral examination whenever it is to be held.
3. After examination, an award may be approved by the Senate, or by the President and Vice-Chancellor acting on Senate's behalf. Degree ceremonies, known as Congregations, are held at the University in July (and December for candidates from certain Faculties).
4. From the time you transfer to nominal registration until conferment of your degree, it is important to keep your Faculty Student Office/Graduate School Office or your Accredited Institution's Research Office informed of your current address.
5. This document sets out the administrative arrangements which apply to completion of your research candidature and details of requirements for the preparation of your thesis for examination. If you have any questions on any aspect of these arrangements and requirements, please enquire at your Faculty Student Office/Graduate School Office or your Accredited Institution's Research Office.

Notice of intention to submit a thesis

6. Candidates who are intending to submit a thesis are required to give the Faculty Student Office/Graduate School Office at least two months' prior notice in writing, giving the full title of the thesis. Candidates in the Accredited Institution are required to give their respective Research Offices at least four months' prior notice. If you have not done this before being transferred to nominal registration, please do so as soon as possible. You may give your notice of intention to submit using the Intention to Submit form. If the thesis title contains particularly obscure or technical terms, please write clearly. Please also ensure that you have discussed with your main supervisor at an early stage (in advance of the examination) any potential embargo period for your thesis as Faculty approval is required for this (see paragraph 61 below).
7. Until you have given notice of your intention to submit a thesis, no arrangements will be made to appoint examiners. This process will take some time and it will save inconvenience to you and others if you give notice of your intention to submit your thesis sooner rather than later.
8. If you wish to attend in person at a July Congregation you must give notice of your intention to submit a thesis by the previous 31 January. For a December Congregation (where available) you must give notice of your intention to submit a thesis by the previous 31 July. If you fail to do this, the degree may still be awarded, but you will have to ask to have conferment of your degree postponed until the next available Congregation, or else have it conferred in your absence.
9. If you feel that your research and/or preparation of your thesis has been affected by adverse personal circumstances of a medical or any other nature, you are advised to follow the

procedure as laid out in the *Regulations Governing Special Considerations for Research Degree Programmes* as soon as issues become apparent.

10. Before you leave the University or an Accredited Institution of the University you should make sure that you have returned all books borrowed from the University of Southampton's Library. The loans desk can provide you with details of all books recorded as being on loan to you, and you are also able to check this on-line. Please note that you will not be awarded your degree unless you have returned all loans items to the Library.

Production and Submission of Thesis

General

11. You should not submit your thesis for examination until your main supervisor, or any other members of the supervisory team as appropriate, have had an opportunity to comment on the separate chapters and on the work as a whole. Supervisor(s)' comments and agreement that the thesis is suitable for submission do not, however, indicate that it will satisfy the requirements for the award of a degree.
12. You must submit your thesis, prepared in accordance with the instructions given in this document, at least three months before the date on which you wish the degree to be awarded. It will normally take at least three months for your thesis to be examined and an award to be conferred. An electronic submission of the thesis by University of Southampton candidates is also required (see paragraph 66 below).
13. It is very important that your thesis contains a clear declaration stating that it is the result of work done wholly or mainly by you while in candidature for a research degree at this University or at the Accredited Institution. If it is based on work done jointly with others, you must clearly state what was done by others and what you have contributed yourself. If applicable, you need to indicate the extent to which the thesis incorporates material already submitted (by yourself or any other person) for another degree. You also need to confirm that you have attributed published sources you have consulted or quoted and acknowledged all main sources of help. A Declaration of Authorship form, which must be bound into the thesis, can be accessed via the Quality Handbook.
14. You are at liberty to publish the whole or part of your work prior to submitting it as a thesis, provided that there is no indication in the published work that it is under consideration for the award of a higher degree. If you do publish parts of your thesis before submission, you will need to list references to these publications in the Declaration of Authorship form.

Writing the thesis

15. Your thesis must not exceed 75,000 words in the case of a doctorate, or 50,000 words in the case of an MPhil, excluding references and bibliography. If you feel it is necessary for your thesis to exceed this length, you must seek prior permission to do so from your Faculty on the recommendation of your main supervisor, or via the External Research Degrees Committee if you are studying at an Accredited Institution. This limit on length is not a target figure – an important aspect of scholarship which must be demonstrated in a thesis is the ability to convey information concisely. The maximum length of the thesis does not include supporting material or evidence which may be bound in as appendices. Appendices should be clearly marked as such and listed on the contents page. If appendices are submitted in separate volumes, they must be prepared and bound in the same style as the thesis. All supporting material or evidence will be available to the examiners and will form part of the record. You should also refer to Paragraph 86 of the Code of Practice for Research Candidature and Supervision.
16. You should use gender neutral language unless the nature of the research requires the use of gender specific language.
17. If you wish to write your thesis in a language other than English you must make an application through your main supervisor to your Faculty or via the External Research Degrees Committee if you are studying at the Accredited Institution. They will consider

applications on an individual basis. If permission is granted, you will be expected to provide the accompanying abstract in English.

Preparation of typescript

18. If there are issues of confidentiality relating to the content of your thesis which might affect its preparation, proof-reading, or editing (see paragraphs 19 – 22 below), you should seek advice from your main supervisor in the first instance or, on their advice, from the University's Research and Innovation Services website via: <http://www.soton.ac.uk/ris>
19. If you are not planning to type/word-process the thesis yourself, you should be aware that typing or word-processing a thesis for a degree candidate is not part of the duties of University or Accredited Institution staff. You may be able to arrange for someone within or outside the University/Accredited Institution to prepare your thesis, but both acceptance of the work and the charge to be made are entirely a matter between you and the person employed by you to carry out this work. You are advised to agree in advance the method of charging and the date by which the completed work is required. It is also advisable to provide guidance contained in this document on typographic design. The use of a commercial typing/word-processing service may reduce the time taken but the cost will probably be greater.

Proof-reading and editing

20. You should ensure that the written thesis demonstrates a high standard of proof-reading and copy editing (including attention to layout, spelling, grammar, sentence structure). The thesis should be checked for accuracy, including references, cross-references and sequences of numbers. Text, diagrams and tables must be numbered sequentially.
21. As a general rule, your main supervisor is not expected to edit a thesis. If a thesis requires editing, your main supervisor should advise you of the need and, if appropriate, give advice on where to obtain help with proof-reading and editing. You are responsible for:
 - (a) arranging for assistance with proof-reading or editing and paying for the service, if required; and
 - (b) acknowledging the role of the editor in the 'Acknowledgements' section of the thesis using the following words: 'With the oversight of my main supervisor, editorial advice has been sought. No changes of intellectual content were made as a result of this advice.'
22. If you seek assistance with editing your thesis, you and your main supervisor are responsible for:
 - a) ensuring that your main supervisor, and other members of the supervisory team as appropriate, are aware of the entire intellectual content (i.e. the structure, logic and organisation) of the thesis before assistance is sought from an editor
 - b) ensuring that the editor is directed on the nature of assistance and extent of input to the thesis which is permitted
 - c) overseeing any contribution to a thesis from an editor
 - d) being satisfied that the editor has not introduced changes to the intellectual content of the thesis and that the final thesis submitted is the work of the candidate
 - e) ensuring that you acknowledge editorial advice in the thesis
 - f) ensuring that any issues of confidentiality are appropriately dealt with (see paragraph 18 above)

Specifications

23. Three soft-bound copies of the thesis must be submitted for examination (see paragraphs below on Text and Typographic Design, Reproduction and Binding requirements).
24. Unless specific reference is made below, the University practice is to follow the British Standard Specification for Abbreviation of Title Words and Titles Publications, BS4148:1985 and for guidance on presentation BS4821:1990 British Standard Recommendations for the Presentation of Theses and Dissertations. This standard has been officially withdrawn, but

even though it has not been replaced, it still offers the best guidance. Both publications are held by the University Library. The information below covers all the major aspects of thesis production, but the British Standards contain more detail on such matters as colour reproduction, tables, references, and appendices. You should refer to them in the first instance if you foresee or encounter a particular problem.

25. You must follow the specifications laid out in this document when preparing your thesis. If you do not, it may be returned to you for correction. It is your responsibility to ensure that the thesis is prepared in accordance with these specifications. If you are seeking assistance with either the preparation or the binding, you should ensure that those helping are aware of the requirements.
26. You should bear in mind that after examination theses are read, stored, and copied, and they should be designed and produced for such use.

Text and typographic design

27. Paper used must be:
 - A4 size (210 x 297 mm), acid-free white paper
 - bond quality (i.e. minimum 80gsm, and for theses containing a large number of graphs or illustrations 90 or 100gsm)
28. Text must be:
 - typewritten/word-processed;
 - in a font not less than 2.0mm high for capital letters and 1.5mm for lower case letters (2.0mm is the equivalent of approximately 11pt character size, depending on the font in use);
 - words must be evenly spaced, without right hand justification;
 - spacing between lines should be one and a half lines; double spacing may be used if necessary in the interests of legibility, particularly if lines contain mathematical formulae, diacritic marks or strings of capital letters which may require additional space;
 - it should be clear where a new paragraph is starting and where matter in the text is being quoted;
 - margins at the binding edge must not be less than 40mm (1.5") and other margins must not be less than 15mm (0.59");
 - running heads and page numbers should be within the recommended margins;
 - printed double-sided. However, each section or chapter should always start on a right-hand (recto) page, so you may have some pages that are blank apart from the header and footer text.

Please note that Microsoft Word templates that match these specifications, along with complete instructions on the use of many useful features in Word, can be found Windows PC Office 2013 at <http://go.soton.ac.uk/thesispc> and for Mac Office 2011 at <http://go.soton.ac.uk/thesismac>.

You are required to submit an electronic copy of your thesis (see paragraph 66 below). In practice this means that all the front matter, chapters and appendices must be combined into a single document before export as a PDF file. The use of templates to format your work will greatly simplify this process, and enable time-saving features such as the automatic generation and updating of the table of contents.

29. The Title page (of every volume if more than one) must contain the following information in the order shown

University of Southampton[1]

Name of the Faculty in which the research was conducted

Full title of the thesis and any subtitle

Total number of volumes (if more than one) and the number of that particular volume

Your full name followed, if you wish, by any qualifications and distinctions

Qualification for which the thesis is submitted

Month and year of submission

Sequence of material

30. In a single bound* volume, thesis material should be arranged in the following sequence:

Title and subtitle
Abstract
List of contents
List of tables, illustrations etc
List of accompanying material, if any
Author's declaration
Acknowledgements
Definitions, abbreviations used
Introduction
Main text, divided into chapters, sections etc
Conclusion
Appendices
Glossary
List of references/Bibliography
Index

*Please see paragraphs 33 and 65 below for requirements for additional copies of individual sections and further paperwork/forms

Abstract

31. The abstract should provide a synopsis of the thesis, stating the nature and scope of work undertaken, and the contribution made to knowledge in the subject treated.
32. The abstract should not exceed one side of paper (preferably within the limit of 300 words). Standard margins should be used, and preferably one and a half spacing, although single spacing will be acceptable if necessary to keep the abstract on a single side of paper.
33. Four copies of the abstract are required in total for a doctorate, and three copies for an MPhil degree. Of these, one must be bound in each copy of the thesis, immediately after the title page and before the table of contents. The remaining copy (for a doctorate) should be submitted separately as indicated in paragraph 65 below.
34. If the thesis is in a language other than English (see paragraph 17 above) one copy of a translation into English of the abstract must also be provided and must say in which language the thesis is written.
35. The abstract must be headed as follows:

Requirements	Example
NAME OF UNIVERSITY (in capitals	UNIVERSITY OF SOUTHAMPTON
Abstract (in capitals & underlined	ABSTRACT
Name of Faculty (in capitals)	FACULTY OF NATURAL AND ENVIRONMENTAL SCIENCES
Discipline	Ocean and Earth Sciences
Degree for which thesis is submitted	Doctor of Philosophy(<u>underlined</u>)
Title of thesis (in capitals	FRACTURES IN COAL SEAMS
Full name of author	by Arthur Francis Jones

36. The following conventions for layout of the abstract are to be observed:

- indentation of paragraphs (none for the first paragraph; two spaces for each succeeding paragraph);
- paragraph headings must not be used;
- quotation marks must be single throughout

Large illustrations, and material that cannot be bound

37. Any maps or tables on oversized sheets included in the text should be folded so that they are at least 7mm (0.25") in from the right-hand edge of the text sheets, otherwise they may be cut by the guillotine in binding.
38. Large maps and diagrams unsuitable for binding in the text may be accommodated in a pocket at the back of the thesis. Their overall dimensions when folded must not exceed 254mm x 180mm (10" x 7.25") for an A4 volume, and their total thickness should not be more than one-third of the thesis. Failing this, a separate portfolio will be necessary.
39. It may occasionally be necessary for non-print material, such as computer programmes, tapes or film to be included as part of a thesis. As far as possible such material should be avoided or submitted only as illustrative or supporting material. If material in this form is an integral part of the thesis, then you must consult with your main supervisor, or other members of the supervisory team as appropriate, with regard to its presentation and the number of copies required.

Reproduction

40. The main method of reproducing text is by photocopying. The heat used in laser printing may distort the page and make it unsuitable for binding, but a good quality photocopy of laser printed work is suitable.
41. Care must be taken to ensure that photographs are processed properly in order to achieve a high degree of permanency. Illustrations and photographs should if possible be printed onto photographic quality paper the same size as the text sheet. This eliminates the necessity for guards in binding and thus reduces binding cost. Laser copies of photographs are acceptable. Advice on reproduction and binding is available from the Print Centre, Building 36, situated behind the Hartley Library, Highfield campus (telephone: ext. 23603 or 023-8059 3603 (external)).
42. Folded material can increase the cost of binding, as does the provision of a pocket, but the latter may be cheaper in the end if all folded material suitably numbered and indexed is gathered together into it. Alternatively, large originals can be reduced either by using a photocopier or the Print Centre (situated in Building 36 behind the Hartley Library). If you are a student at the Accredited Institution you should consult your Library and printing facilities.
43. Line diagrams and outline maps can be reproduced cheaply on paper suitable for colouring, either by photocopying or printing.

Copyright

44. The copyright in all material submitted for a higher degree remains with the candidate. If, however, you include material that is not entirely of your own creation, e.g. if it is reproduced from a book, a journal or other published source copies of photographs, drawings, diagrams or graphs, copyright clearance may be required before making copies.
45. The Print Centre (situated in Building 36 behind the Hartley Library) can make any number of copies of original material provided it is wholly and entirely of the author's creation and it is the author who requests it.
46. For other published material you will need the copyright holder's permission before making copies. For literary, artistic or dramatic works permission is not required if the author has been dead for 70 years or more. You should seek further information and guidance from the Library in the case of films, sound recordings and broadcasts which are subject to different copyright restrictions. Special considerations apply to manuscripts. In the case of loose photographs, the name of the copyright holder may be stamped on the back. In the case of books, the name of the copyright holder is usually printed at the beginning. If this information is not obvious then further investigation must be undertaken. You should allow at least two months to obtain copyright permission and avoid disappointment in completing your thesis. You must include in your thesis an acknowledgement of the source of any

copyright material and written permission must be attached to the 'Permission to deposit an e-thesis' form.

47. If you are in any doubt about the law regarding copyright of material, you should consult the Print Centre or obtain information from the University website (<http://www.soton.ac.uk/library/>). If you are still uncertain, the safest course is to seek permission to make the copies you require.

Binding of the thesis

48. You are responsible for the payment of all costs incurred in the preparation and submission of your thesis. The three copies required for examination, and the final copy of the thesis after examination (and when any corrections have been approved), should all be soft-bound [2]. Soft-bound copies can be obtained from the Copy Room in the George Thomas Building (Building 37) on the Highfield Campus. The Copy Room can be contacted on copy@soton.ac.uk.
49. Although the University no longer requires hard-bound copies of the final thesis [2], should you require any hard-bound copies for your own use, the University's approved binding suppliers, Caromar Limited and GB Bookbinding Limited, provide hard-bound thesis binding services. Their details are as follows:

Caromar Limited, Unit 7 Belgrave Industrial Estate, Portswood, Southampton SO17 3EA
Telephone: 023 8055 8554 Email: martin@caromar.ltd.uk

GB Bookbinding Limited, Unit 23 Basepoint, Abbey Park Industrial Estate, Romsey, SO51 9AQ
Telephone 01794 522820
Email: info@gbbookbinding.co.uk

50. If you wish to purchase any hard-bound copies of your thesis, it is recommended that they are bound in black washable buckram with stiff boards, 2-lb strawboard or .090 millboard, and sewn by one of the following methods:
- (a) Oversewn on an oversewing machine;
 - (b) Oversewn by hand onto three 13mm (0.51") tapes;
 - (c) Plates and diagrams may be guarded where necessary;
 - (d) Trim head, tail and fore-edge 3mm (0.12"); round, back and line up spine.
51. You may wish any hard-bound volume of the thesis to have lettering on the spine in gold or simulated gold as follows (an example layout can be accessed via Example of spine layout for a hard-bound theses):
- (a) candidate's surname preceded by initials up the spine (18 pt typeface), starting not lower than the centre of the spine
 - (b) the degree, the year in which the thesis was submitted for examination and the volume number (if applicable), may be lettered across the spine under the candidate's name and initials (16 pt typeface), the degree abbreviation to start 70mm (2.76") from the tail of the spine.
 - (c) if the spine is too narrow for (b) above, it is recommended that the degree and year be lettered up the spine
52. If each copy is bound in more than one volume, the volume or part number would normally appear on the spine beneath the year. The amount of space beneath 'degree' and beneath 'year' should be the same.
53. You may wish to include the title of the thesis on the front cover of each volume but only the lettering indicated above would normally appear on the spine.

Submission of the thesis

54. You should submit three soft-bound copies for examination. It is advisable to mark on the outside cover of each of these soft-bound examiners' copies that the copy is for examination

on (give date). The text should be in a final and correct form. Examiners will be reluctant to accept theses which require substantial typographical correction.

55. Once your thesis has been examined and after any corrections have been made and approved, one final soft-bound copy will be required for retention in the University (see 'Examination' section below and also paragraph 64 on 'Thesis Deposit').

Examination

56. Candidates for a doctoral degree and for an MPhil degree are normally required, to attend an oral examination. Your main supervisor or your co-ordinating supervisor will inform you in good time of the arrangements for the oral examination.

57. Examiners are not obliged to recommend the award of degree. They will recommend one of the following:
- that the degree be awarded, subject if necessary to 'minor' or 'modest' amendments being made to the thesis;
 - that you be required to attend for a further oral examination;
 - that you be permitted to submit, by a specified date, a revised thesis for the same degree for re-examination, including an additional oral examination, on one subsequent occasion;
 - that, if you are submitting for a doctorate, you be given permission to apply for the degree of MPhil to be awarded either without re-examination or subject to re-examination of a revised thesis;
 - that no degree be awarded and resubmission be not permitted.
58. If the examiners require you to make minor corrections, you should contact your Faculty Student Office/Graduate School Office regarding the procedure for submission and approval of corrections. Minor corrections should be completed within three months of the examination and need to be checked by your main supervisor and certified by the internal examiner. You should inform your Faculty Student Office/Graduate School Office at the time you submit your corrections.
59. If the examiners require you to correct 'modest' errors/omissions of substance, you will need to submit the amended thesis by a date specified for certification by both the internal and the external examiners. Such amendments may require limited further analysis but will not affect the originality of the central thesis. The date specified for the submission of amendments should normally be no later than six months, although examiners may request a specified date of up to nine months, after you have been formally notified of the need to make changes to your thesis. You should contact your Faculty Student Office/Graduate School Office regarding the procedure for submission and approval of corrections, and inform the Office at the time you submit your corrections.
60. If the examiners recommend that no degree be awarded and that re-submission be not permitted, you may ask for your case to be reviewed in accordance with the appeals' procedures approved by Senate. A copy of these procedures may be obtained from your Faculty Student Office/Graduate School Office or your Accredited Institution's Research Office.

Restriction (embargo) period for a thesis

61. With the agreement of the Faculty, on behalf of Senate, it is possible to restrict access to a thesis (see paragraph 32 of the Regulations for the degrees of Master of Philosophy and Doctor of Philosophy). Normally a restriction may be permitted for up to three years from the time of the examination, where this is regarded as desirable for one or more of the following reasons:
- commercial grounds
 - pending patent application(s)
 - where it is necessary to maintain confidentiality
 - for e-theses only, pending publications or uncleared third party copyright
 - Access can be restricted to the print version, the electronic version or to both versions. It is also possible to restrict access to part of a thesis, for example where

commercially sensitive or uncleared copyright material has been moved to an appendix.

62. The length and reason for any restriction on access to the thesis must be noted on the Permission to Deposit Thesis form and signed by the main supervisor and Director of the Faculty Graduate School. You should note that any discussion regarding restriction of the thesis should take place with your supervisor as early as possible (see also paragraph 6 above).
63. The thesis will be made publicly available at the end of the restricted period. As the candidate, you are responsible for contacting the University if there are any extenuating circumstances which warrant an extension to the original restriction.

Thesis Deposit

64. Before your award can be considered for approval, you need to submit one final soft-bound copy of your completed doctoral or MPhil thesis, with all corrections/amendments made, to your Faculty Student Office/Graduate School Office or Accredited Institution's Research Office. The University or Accredited Institution will retain this final soft-bound copy for the relevant Library. Should you wish to have any additional copies hard-bound for your own use, see paragraphs 49 – 53 above for recommended binding and specification details.

The Accredited Institution will also send to the University of Southampton's Hartley Library a copy of each Pass List for the award of a University of Southampton research degree once it has been approved.

65. You do not need to provide any additional copies of the title page and the abstract as these are no longer required by the British Library (from September 2014).
66. The University requires the submission of an electronic copy of the final thesis, including corrections, to the Faculty Student Office/Graduate School Office. The thesis should be submitted on CD, or other agreed method, in PDF format or other suitable format as agreed with your main supervisor. The electronic copy must include all front material (title page, abstract, acknowledgements, table of contents etc) and should normally be a single file. Further information on electronic submission and file formats can be accessed via Guidance for e-Thesis deposit in the Quality Handbook .

Further information on electronic submission of theses, including copyright, intellectual property rights, restrictions and file formats can be found on the Library website via <http://library.soton.ac.uk/thesis>. Thesis templates using Microsoft Word are also accessible from this link. You should also access the University's policy on research data management which is available via <http://www.calendar.soton.ac.uk/sectionIV/research-data-management.html>. You may also wish to consult the guidance on research data management on the Library's website via Research Data Management - LibGuides@Southampton at University of Southampton.

Library

Award and Conferment of Degree

67. If your thesis is successful, and the award of a degree is recommended by the examiners, the award will be approved by the Senate, or by the President and Vice-Chancellor acting on its behalf. You will then receive the appropriate degree certificate and invited to attend the next Congregation ceremony. University of Southampton students whose awards are approved just prior to the Congregation ceremonies in July will normally receive their certificate at the Ceremony; those awarded at other times will have the certificate posted to them. Students at the Accredited Institution should enquire at their Research Office about the timing of congregation ceremonies.
68. Awards can only be made to students who have no outstanding debts to the University and Accredited Institutions. Checks are made on individuals before any recommendation for award is considered. If there is a debt the award may be withheld pending settlement. Every effort will be made to contact you should this situation arise, but if you want to be sure of an

award being made you should ensure that you have no outstanding commitments to the University by checking with the Fees Office (Student Services Centre, Highfield campus) or the Fees Office at the Accredited Institution (University of Chichester) if you are registered there.

69. Arrangements for Congregations are made by the Graduation Office in the Student Services Centre, Highfield Campus, or through the University of Chichester's Research Office (Accredited Institution of the University of Southampton). They will contact you direct with information on dress, gown hire and other arrangements. Your Faculty Student Office/Graduate School Office (or Research Office at the Accredited Institution) will ensure that details of your address are passed to the Graduation Office, so it is essential that you keep them informed of how to contact you.

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