

## RESEARCH DEGREE POLICY DOCUMENTS

### **SECTION 3**

#### **RESEARCH DEGREES: SUBMISSION, PRESENTATION, CONSULTATION AND BORROWING OF THESES**

##### **Preamble**

You should seek advice from your supervisor(s) and your School / Institute on the presentation of the thesis in a format appropriate to your academic discipline. In addition to this advice, you must ensure that your thesis conforms to the University's requirements for presentation which are set out below. If your thesis does not meet these requirements it may not be accepted for examination.

The application of these Instructions is **mandatory** and applies to the following research degrees:

- Doctor of Philosophy (PhD)
- Doctor of Philosophy (Integrated studies)
- Master of Philosophy (MPhil)
- Master of Arts by Research (MA(R))
- Master of Science by Research (MSc(R))
- Master of Laws by Research (LLM(R))
- Doctor of Clinical Psychology (ClinPsyD)
- Doctor of Philosophy by Publication (PhD)
- Doctor of Education (EdD)
- Master of Education (MEd)
- Doctor of Medicine (MD)
- Doctor of Laws (LLD)
- Doctor of Letters (LittD)
- Doctor of Science (ScD)

#### **1. Instructions for Submitting a Thesis**

A candidate must submit:

- (1) two copies of the work submitted. Any thesis must be written in English and presented in the required form.

If a candidate is successful one copy of the thesis (or other submission) shall be deposited in the University Library and shall be allowed to leave it only on conditions approved by the Senate. The second copy shall be deposited with the School or Institute most concerned with the thesis (see Section 3 below). Both copies should be submitted **within four weeks** of being notified by the Postgraduate Research Service of the successful completion of the examination process.

Candidates should submit the Library copy of the thesis as an electronic copy in portable document format (pdf) on a CD, DVD or USB flash drive. The CD, DVD or USB flash drive should be clearly and securely labelled with the name of the candidate, the title of the thesis, the name of the degree for which the thesis is submitted and the date of submission. The electronic copy must be submitted at the same time as the final version of the printed copy and should be identical to the printed version.

The Library may also, in exceptional circumstances, accept a hard copy of the thesis where the form of the submission makes it difficult to accept in purely digital format, for example, where there are multiple objects that cannot be digitised. The Library will provide advice on this and exceptions will be agreed with the Head of Library Academic Services.

- (2) three copies of an abstract of the thesis, not exceeding 300 words, in a form suitable for publication. If the candidate is awarded the degree, the University may publish this abstract in any manner approved by the Senate or by the Head of School concerned.
- (3) a statement showing what part, if any, of the material offered has previously been submitted by the candidate for a degree in this or any other University or has formed part of solely or jointly-authored publications. If joint work is submitted, the candidate must indicate what part of it is their independent contribution.
- (4) a statement of the length of the thesis (which should include footnotes and the bibliography but not material in appendices) or of the length of the critical analysis where such an analysis is required..
- (5) confirmation from the primary supervisor that any required taught courses have been satisfactorily completed.
- (6) for the degrees of PhD by Publication, Doctor of Laws, Doctor of Letters and Doctor of Science, and of Doctor of Medicine where the candidate is submitting a body of published work, the bound copies of the work submitted must include a list of the publications on which the assessment for the degree is to be based, a critical analysis of the work submitted and, where multi-authored works are included in the list, written evidence of the candidate's own original contribution to the work in respect of:
  - (a) design of the investigation
  - (b) conduct of the research
  - (c) analysis of the outcome
  - (d) preparation of the work for publication.

Copies of all the published work to be assessed must also be included, either bound together with the above or separately contained.

## **2. Instructions for Presenting a Thesis**

- (1) The thesis shall bear the name of the candidate, the title of the thesis, the name of the degree for which the thesis is submitted and the date of submission. The title page should include the following words:

"This copy of the thesis has been supplied on condition that anyone who consults it is understood to recognise that its copyright rests with the author and that use of any information derived there from must be in accordance with current UK Copyright Law. In addition, any quotation or extract must include full attribution."

- (2) Specified word-limits exist for theses. These are published in the UEA Calendar, and candidates should consult this to ensure that their thesis is not too long. Any queries regarding these word-limits should be referred to the appropriate School or Institute in the first instance.

- (3) Diagrams, maps and similar documents may be submitted in a portfolio of any size and must bear equally the particulars (name of candidate, title of thesis etc.) mentioned in rule 2(1) above.
- (4) A candidate may (with the permission of the Academic Director of Research Degree Programmes) submit recorded material, such as audiotape, videotape, and film, of not more than one hour's running length as supporting evidence. This must be in addition to a written thesis and not a substitute for any part of it. The examiners may require candidates to deposit copies of the recorded material with the thesis in the Library and in the appropriate School or Institute. Work submitted in non-book material form should be in a durable form suited to preservation over long periods. The item should be provided with an appropriate container approved by the Head of Library Academic Services and bear on its exterior the particulars mentioned in rule 2(1) above.
- (5) In the case of the Musical Composition programme in the School of Music recorded material may be submitted when the musical work is able to exist only in recorded form (as in the case of types of electro acoustic composition).
- (6) In the case of the Professional Practice programme in the School of Art, Media and American Studies, a substantial part of the thesis may be curatorial, archival, educational or creative in content. This will be represented in the thesis submission by a substantial dossier of practical work presented in an appropriate, accessible and enduring format.
- (7) A candidate may include as a CD or DVD within the appendices of the thesis, supporting supplementary material, for example copies of large data sets or digital images. This should be used in exceptional circumstances only, where it is considered that it may be important for examiners to have access to supplementary data or information. There is no requirement for the examiners to refer to this supplementary material, although they may do so if they wish. Supplementary CD/DVDs must be placed in a pocket inside the back cover of the thesis or, if substantial, in an appropriate container as specified in 2(4) above. Each copy of the thesis submitted must be accompanied by a full set of this material.
- (8) A candidate should initially submit their thesis in electronic format and also submit one copy of the thesis in a secure soft binding sufficiently durable for the assessment process. The examiners will be sent the thesis in electronic format as standard but will be asked at appointment to notify the University if they would prefer to receive the thesis in soft-bound format. In this case the candidate will be informed of the additional number of soft-bound copies required. The candidate should also bring a soft-bound copy of the thesis to the oral examination for reference during the discussions.

No Pass List will be issued after successful assessment until the thesis has been resubmitted in the form outlined in rules 2(1) to 2(5) above and the candidate has confirmed that no changes, other than any required by the examiners, have been made to any part of the thesis from that previously assessed.

The Pass List will not be issued until both the print version and electronic version of the thesis have been deposited with the University.

- (9) Whether soft-bound or hard-bound, all submitted theses must be prepared in accordance with the following instructions. Supplementary advice regarding the format of the electronic copy can be found on the Etheses web pages on the Library website.

i) Quality of Reproduction

- all copies shall be legible and the final version of the text of the thesis must be of good print quality,

such as: typescript, laser printout or typeset;

- if the use of colour is essential in the text or illustrations of a thesis, the candidate shall choose a method of production that facilitates the reproduction of colour. It should be recognised that information contained in colour diagrams may be lost; candidates should check how colour diagrams reproduce in black and white and consider labelling pages that contain colour with 'Original in colour';
- in the production of graphs, maps and diagrams, hatching or broken lines, which will reproduce in monochrome, should be considered as an alternative to colour;

ii) Format

- the text and, wherever possible, all the material of the thesis, including illustrations, shall be produced on A4-size paper. If in exceptional circumstances another format is required for the whole thesis, the author shall seek permission to use a non-A4-size format from the Postgraduate Research Service via the primary supervisor;
- paper used for the text shall be of a substance within the range of 70 g/m<sup>2</sup> to 100 g/m<sup>2</sup>;

iii) Production of Text

- to avoid risk of show-through, text shall be produced either: entirely on rectos (the right hand pages of an open book); mostly on rectos, but occasionally on versos (the left-hand pages of an open book) where it is necessary to allow a diagram to face related text; or on paper that is opaque enough to avoid show-through, in which case text may be produced on both sides of the paper;

iv) Margins

- to allow for binding, reading and reproduction, the margin on the binding edge of the page, i.e. the left-hand edge of a recto and the right-hand edge of a verso, shall be not less than 40mm. Other margins shall be not less than 15mm. The character size and line length shall also be taken into account when deciding margin width. Running heads and page numbers shall be within the recommended margins at the top and bottom of the page, but no nearer the edge of the paper than half the margin width;

v) Photographic Prints; Large Illustrations

- photographic prints shall, if bound with the text, be on medium-weight photographic paper (e.g. paper of a thickness equivalent to that of uncoated paper of substance within the range 70 g/m<sup>2</sup> to 100 g/m<sup>2</sup>) or permanently mounted on A4-size card or substantial paper;
- if it is necessary to bind in an illustration on a paper size larger than A4, it shall be produced on paper that can be folded to fit within the thesis. Illustrations shall not be pasted across both pages of an open volume;

vi) Binding

- the thesis shall be bound in black buckram, over-cast and with white end papers and linen joints, in such a way that it can be opened fully, for ease of reading;
- lettering on the cover and spine of the thesis shall be large enough to be legible when the volume is on a library shelf. Normally, lettering should be in gold, in 6-7mm letters. Lettering on the spine should be from bottom to top showing: the degree for which the thesis is submitted, the year, and the name of the candidate, as follows:

It is the responsibility of the candidate to ensure that the bookbinders selected bind theses in the form approved by the University.

- the front cover shall bear the title of the thesis, the author's name, the name of the degree for which the thesis is submitted and the year of submission;

vii) Typographic Design

- for ease of reading, the size of character used in the main text, including displayed matter, shall be not less than 2mm for capitals and 1.5mm for x-height (height of lower-case x) (2mm is the equivalent of approximately 11pt character size, depending on the font in use);
- text should be set with even or proportionate spacing between words. Word division at the ends of lines should be avoided if possible;
- full lines shall be between 60 and 70 characters long, including word spaces;
- in typescript or printout, one-and-a-half line spacing or equivalent shall be used, although double spacing may be used if necessary. Lines that contain mathematical formulae, diacritical marks or strings of capital letters may need additional space;
- it should be clear when a new paragraph is starting and where matter in the text is being quoted;

viii) Tables

- if there are relatively few tables, each shall appear as near as possible to the first reference to it in the text. If there are frequent references to tables, or if there are many tables, they may be collected together at the end of the text, possibly as an appendix;
- each table shall, if possible, appear complete on one page. A table shall be neither spaced out to fill the available space nor reduced to fit a small space. Tables shall normally be in the same orientation as the main text;
- each table shall have a number and title, which may appear above or beneath the table, provided there is a consistent choice throughout the thesis. The number shall precede the title. The title shall describe the content of the table. If a table occupies more than one page, its number shall be given on each page;
- the character size used in tables shall be large enough to allow the table to be reproduced without risk to legibility. The presentation of a series of tables shall be consistent in character size, use of space and other typographic treatment;

ix) Headings

- headings shall be used to indicate the hierarchical structure of the text. Each level within the hierarchy shall be distinguished from the others by position or typography, or both;
- the space that precedes and follows a heading shall be not less than the space between paragraphs;

x) Illustrations

- an illustration should normally appear near the first reference made to it in the text. The desirability of grouping illustrations at the back of a volume shall be considered if they need to be compared with one

another, are referred to frequently in the text, or need to be separate because of their nature, e.g. their size or method of production;

- illustrations shall be of a technical quality that reproduces well;
- every illustration, including appendices and material that cannot be bound, shall be included in the list of illustrations with page numbers or other identification;
- each label within an illustration shall be either so positioned that the part it applies to cannot be confused with any other, or linked to the part by a thin line. The lettering shall be large enough and clear enough to remain legible when the illustration is reproduced. A legend shall accompany each illustration;

xi) Numbering

- arabic numerals shall normally be used for numbering all sequences within a thesis;
- page numbers shall be visibly clear of the text;
- the pages of the thesis shall be numbered in a single sequence beginning with the title page, which shall be counted but not numbered, and including pages that carry tables, illustrations, appendices, etc. The use of blank pages shall be avoided if possible;
- the components of material that cannot be bound, e.g. frames of a film, shall be numbered in a manner appropriate to their form, e.g. 'microfiche frame D7';
- chapters shall be numbered from the start to the finish of the thesis. Appendices shall be numbered in a separate sequence from that used for chapters;
- illustrations shall be numbered consecutively in a single sequence, generally without distinguishing between different kinds of illustration. Tables within the text shall be numbered consecutively in a single sequence, separate from illustrations;

xii) Bibliographical References

- a bibliographical reference shall be given for every work, published or unpublished, cited in the text;
- references may be identified by one of two methods, either:
  1. by numbers typed as superscripts, or, if on the line, in brackets, immediately following the relevant word or phrase in the text; or,
  2. by citing the author's name and the date of publication in brackets immediately following the relevant word or phrase in the text;
- the bibliography, if present, shall list all sources referred to or consulted in writing the thesis, but not necessarily all material relevant to it. Entries in the bibliography shall be given either in alphabetic order of originators' names or, if the bibliography is long, according to a conventional bibliographical system. A consistent form of presentation shall be used for all bibliographical references throughout the thesis.

xiii) Sequence of Material

- material shall be arranged in the following sequence:

*Title and subtitle.* The title page of every volume shall give the following information in the order listed:

1. the full title of the thesis and any subtitle;
2. the full name of the author, followed, if desired, by any qualifications and distinctions;
3. the qualification for which the thesis is submitted;
4. the name of the University;
5. the name of the School or Institute in which the research was conducted;
6. the month and year of submission;

*abstract.* The abstract shall follow the title page. It shall provide a synopsis of the thesis, stating the nature and scope of work undertaken and the contribution made to knowledge in the subject treated. It shall appear on its own on a single page and shall not exceed 300 words in length;

*list of contents.* It shall list in sequence, with page numbers, all relevant sub-divisions of the thesis, including the titles of chapters, sections and subsections; the list of references; the bibliography (if any); the list of abbreviations and other functional parts of the whole thesis; appendices (if any); and the index (if any);

*list of tables, illustrations, etc (if any); list of accompanying material (if any);*

*preface (if any);*

*acknowledgements (if any);*

*text, divided into chapters, sections, etc.; appendices.* Appendices may consist of material of considerable length or of lists, documents, commentaries, tables or other evidence that, if included in the main text, would interrupt its flow. The presentation of appendices, including character size, shall be consistent with the style of the main text;

*definitions.* Definitions of any terms specific to the thesis, including abbreviations and codes used in illustrations, shall be given;

*glossary.* Terms that require explanation shall be defined in a glossary, which shall include a key to any abbreviations used. For an abbreviation not in common use, the term shall be given in full at the first instance followed by the abbreviation in brackets;

*list of references; bibliography; index;*

*appendices (if required).*

(xiv) Use of work, which has formed part of solely or jointly-authored publications, within a thesis submission

- The University strongly encourages research students to submit their work for publication either before or after thesis submission. Material that has already been published or submitted for publication may be included in a thesis. However, any such material should be edited and reformatted to ensure integration with the hypotheses and central arguments of the thesis and to ensure that it reads as a coherent whole. The contributions of other authors must be fully acknowledged.
- If the thesis includes material that has previously appeared in jointly-authored publications, candidates must ensure that the following information is included in the statement accompanying the thesis: full details of the jointly-authored publications in which the material has appeared, details of which chapters within the thesis have been based on work from the publications, and details of which work is directly attributable to the candidate and which to the other authors of the work. The University reserves the right to contact the other author(s) to verify the relative contributions. Candidates should include solely or jointly-authored publications as an appendix at the end of the thesis.

- Where the candidate is the sole or a primary author on a publication (or a manuscript being prepared for publication) the work may be included in similar form within the thesis, subject to compliance with the previous two paragraphs. The same is true for text, tables or figures that are the candidate's own work that appear as sections of publications where the candidate is not the primary author. Other text, tables or figures from joint publications may be included in the candidate's thesis or the research that forms the basis of these publications may be described within the thesis, provided the contributions of others are fully acknowledged.
- The permission of all the copyright holders (including, if relevant, fellow authors and publishers) to include the published work should be sought before submitting the final copies of the thesis. It is important to complete this prior to submission, as the thesis will normally be made available open access in the University's repository. If it is not possible to achieve third party copyright clearance, the e-thesis can remain on closed access and the exception be recorded by the University. This can be requested via the Research Degree Examinations – Research Degree Entry Form.
- Separate Regulations, published in the Calendar, apply to the submission of theses for the degrees of PhD by Publication, Doctor of Science and Doctor of Letters, in which a collection of publications is accompanied by a critical synthesis of the candidate's contribution to research. This format is not an acceptable form of submission for a research degree thesis at the University.

### 3. **Consultation and Borrowing of Theses**

If a candidate for a Research Degree is approved for the award of the degree, one electronic copy (or exceptionally a hard copy) of the thesis is deposited in the University Library where it shall be available for consultation and/or copying in the manner described in the following paragraph. The second copy is deposited with the School or Institute most closely associated with the research.

Theses deposited in the University Library cannot be removed from the Library. However, copies may be taken, normally in one of the following ways:

- (1) By the British Library Document Supply Centre which may make a digital copy of UEA PhD theses available for download via EThOS, the British Library's E-theses initiative.
- (2) By the University Library which will make theses available for reference use in the Library.

All copies made in accordance with the above provisions will include the title page of the thesis which should include a statement protecting the author's copyright (See Rules for the Form of Theses (Research Degrees) Regulation 3).

In particular cases where the original is sought, the University Library passes on inter-library loan requests to the School of Studies concerned. Hard-bound copies of theses deposited in the University Library are never lent to other libraries.

The Head of School or their nominee, at the request of the author, may determine that a particular thesis shall, for a period of up to three years specified by the Head of School or their nominee, be available only to the author or to those who have written permission to consult it. A candidate wishing to apply for a consultation restriction to be placed on his thesis should apply for the appropriate form from the Postgraduate Research Service. The completed form must accompany the copies of the thesis, when submitted. Theses whose use is restricted in this way are not sent to the British Library Document Supply Centre either in electronic format or for digitisation by EThOS and are not made available for copying in other ways until the restriction has lapsed.