



Appendix 6: Specifications for Higher Degree Theses and Portfolios

For submissions made from 1st August 2016 onwards

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1 Introduction

- (i) This document gives guidance about the common and essential aspects of the presentation of theses and portfolios for higher degrees at the University of Bath. In certain circumstances, some variations may be acceptable (see 3(viii)). In cases of doubt, further enquiries should be directed to the Doctoral College. These specifications and procedures refer only to submissions for research degree awards; that is to say MPhil, PhD, DBA, EdD, EngD, DHealth, DClinPsy, DPRP, MS and MD.
- (ii) A thesis/portfolio must be presented to the standard expected for a University of Bath higher degree, and meet the requirements for the award of that degree (Regulations 16.3(m) (MPhil), 16.4(m) (EdD), 16.5(n) (PhD), 16.6(f) (MD/MS), 16.12(m) (DBA), 16.14(m) (DHealth), 16.15(o) (EngD), 16.16(l) (DClinPsy) and 16.17(m) (DPRP)).
- (iii) Regulation 16.1(j) sets out the forms of submission permitted for each award. According to the regulations for the degree for which he/she is registered, a candidate may present either a thesis or a portfolio for examination. The requirements of a portfolio submission (which may evidence specialist professional skills and assignments) will be outlined in the regulations for the relevant programme (e.g. EngD, EdD or DClinPsy).
- (iv) If the regulations for the degree permit, a thesis may be presented in one of two equivalent formats:
 - a) Either a traditional monograph, consisting of chapters – “traditional format” thesis. (In this format published papers may be appended to the thesis, demonstrating that the work is of publishable quality. However, the papers will not be examined as part of the submission); or

- b) an alternative format which integrates published and unpublished academic papers as chapters – “alternative format” thesis.

Additional guidelines for the submission of a thesis in the alternative format are provided in appendix A.

- (v) Regardless of format, doctoral students retain the right to, and the responsibility for, deciding when to submit their thesis (QA7 Research Degrees sections 3.3 and 12.6).
- (vi) You may wish to attend one of the Doctoral Skills workshops on thesis writing. Alternatively, [Vitae](#) provide a useful resource on thesis writing.

2 Number of copies required and summary of the submission procedure

(i) Submission of the thesis/portfolio for examination

Regulation 16.1 (j)(i) requires that two copies (three in the case of MS, MD and PhD by Staff Method B) of the thesis/portfolio submitted for a higher degree be lodged with the Doctoral College, and that these must be presented and bound in accordance with the specification given below. The copies must be delivered to the Doctoral College. You are required to keep an additional copy identical to the submitted copies for reference before and during the examination process.

You may submit theses/portfolios for examination in a soft binding (see para 5 (i) below) and are advised to do so, since soft binding is significantly cheaper than the hard Library bindings required for the final archive submission, and you may be asked to make corrections which means the thesis/portfolio has to be rebound.

At the same time you should also submit your thesis/portfolio in electronic format to Moodle where it will be checked for plagiarism. This step must be completed before the printed copy of the thesis/portfolio can be sent out to the examiners by the Doctoral College.

Doctoral students will submit their thesis/portfolio to the central Doctoral Submission page (<https://moodle.bath.ac.uk/course/view.php?id=58088>) with the exception of students on the DBA in Higher Education Management or the Doctorate in Clinical Psychology who will continue to use their own programme-specific submission pages within Moodle.

(ii) Submission of the final thesis or portfolio after examination

Regulation 16.1 (j)(iv) requires candidates to upload an electronic copy of the final thesis/portfolio to the University's research information system 'Pure' and to submit a hard-bound copy accompanied by a completed [HD3](#) form to the Doctoral College no later than fourteen days before the meeting of the Board of Studies at which the award of the degree will be approved. These copies will be retained and made available by the University Library.

3 General presentation of the thesis/portfolio

(i) Paper and layout

The thesis/portfolio should be bound to A4 size, using paper (ordinarily white) of weight 70g/m² to 100 g/m². The margin on the binding edge should not be less than 40mm, and other margins should not be less than 15mm. Both sides of the paper may be used, subject to there being no 'show-through'. If the content of the thesis/portfolio necessitates the use of paper larger than A4, such as A3 fold-out sheets, care must be taken to ensure that this is fixed securely into the binding, and that it is folded well within the edges of the document, so that folds are not trimmed off during the binding process.

(ii) Typeface and spacing

The main text of the thesis/portfolio should ordinarily be printed in black ink in a font of point-size 11 or 12, and you should take care to use an easily legible font. Serif fonts such as Times

Roman are traditionally used, but Arial is considered by some to be easiest to read. Text may be spaced in either single or one-and-a-half spacing, with extra spaces between paragraphs. Full justification may be used, but must not impair legibility.

Journal-formatted published papers *may* be included within an alternative format thesis submission if approved by the copyright holder, however it is advised that you ensure the typeface is large enough to be legible and that the margins of the document are sufficiently deep to prevent text being lost in the binding gutter. The authors accepted manuscript of any papers under review, or any papers still in draft form should be stylistically integrated into the thesis.

(iii) Pictures, diagrams and other figures

Pictures, diagrams and other figures should wherever possible be printed directly onto the paper. In exceptional cases photographs may be glued in, but care must be taken to ensure that the glue is permanent, secure and that no loose edges are left unglued.

(iv) Use of colour

The submitted copies should be identical to one another in all ways. This includes any use of coloured paper, text and picture or other figures. You should always bear in mind that any photocopies taken by other institutions may use black ink only and should consult with your supervisor before using coloured ink or paper.

Coloured paper

Coloured paper may exceptionally be used if there are strong grounds for doing so. For example, some candidates with specific learning difficulties may find the use of certain coloured paper and inks more accessible. However, ordinarily white paper should be used throughout. Please remember that some colours are difficult to photocopy.

Coloured text

Coloured ink may exceptionally be used if there are strong grounds for doing so, but you are strongly advised to avoid or at least limit use of coloured text.

Coloured pictures and other figures

Colours may be used in pictures, diagrams and other figures, but you must ensure that all submitted copies of the thesis/portfolio use colours in the same way, and that figures remain intelligible if subsequently copied using black ink only.

(v) Previously published papers

Papers already published in reputable journals may be appended (by permission of the Supervisor) to a traditional format thesis provided the overall size of sheet is not greater than the paper size specified above. You may need the publisher's permission to make these available online in the electronic copy of your thesis. The Library can advise on this. See also appendix A for guidelines on the inclusion of papers in an alternative format thesis.

(vi) Numbering of the pages

All papers should be numbered, including introductory pages, appendices, reduced copies of computer print-outs, etc. A single sequence of arabic numerals should be used. This is to facilitate photocopying and binding, so pages may remain in the correct order. (If necessary, roman numerals may be used to number sequential sub-sets of the whole work).

(vii) Submission of non-paper media

Ordinarily, you should submit your work in printed form. However, where appropriate to the academic work being conducted, additional non-paper media may be submitted. You should note that non-paper submissions should normally be treated as supplementary to the paper thesis/portfolio.

(viii) Accessible formats

Candidates with certain disabilities and/or specific learning difficulties may wish to submit theses/portfolios in a format other than those set out in this document. In such cases candidates must discuss with their supervisors the presentation of their thesis/portfolio in another format and seek advice from the Doctoral College about the archival nature of the proposed format. Formal approval from the Board of Studies for the change in format must be sought in good time, normally when the Candidature Form is submitted to the Board. This must:

- ensure that the preliminary arrangements for examination of the thesis/portfolio in the proposed format are in place before approving the request of the candidate;
- approve any subsequent changes to the arrangements for examination of the thesis/portfolio in the proposed format.

(ix) Referencing

There are two basic systems of citation, the name/date system and the numeric system. You are advised to contact your Department or School for information on which system to use, and once a system is adopted, to apply it consistently. The library provides guidance on citing and referencing. This is located at:

<http://www.bath.ac.uk/library/infoskills/referencing-plagiarism/referencing.html>

(x) Wordcount

Please consult the Doctoral College for guidance about word limits for theses and portfolios within your Faculty/Department/School.

4 Detailed specification for opening pages**(i) Title Page****(a) Layout**

The title-page must give the following information in the order indicated:

- The full title of the thesis/portfolio
- The total number of volumes if more than one and the number of the particular volume
- The full name of the author
- The full name of the qualification for which the thesis is submitted (e.g. Doctor of Philosophy)
- The name of the University and the full name of the department/ school in which you are registered
- The month and year of submission of the thesis/portfolio for examination

e.g.

An investigation into the reasons for studying for a higher degree

Volume 1 of 2

Kim Chris Smith

A thesis submitted for the degree of Doctor of Philosophy

University of Bath

Department of Education

June 2016

(ii) Preliminary pages

The preliminary pages of your thesis/ portfolio should include the following sections:

- a copyright notice;
- a statement of restrictions on the use of the thesis/portfolio, including any licence applicable to the work;
- declarations identifying where any material from a previously submitted thesis/portfolio, or any work done in conjunction with others has been included in the submission.

A template for each section is shown below, and should be completed as appropriate, and inserted in the pages following the title.

(a) Copyright notice

Attention is drawn to the fact that copyright of this thesis/portfolio rests with the author and copyright of any previously published materials included may rest with third parties. A copy of this thesis/portfolio has been supplied on condition that anyone who consults it understands that they must not copy it or use material from it except as licenced, permitted by law or with the consent of the author or other copyright owners, as applicable.

If you wish to include copyright material belonging to others in your thesis/portfolio, you are advised to check with the copyright owner (often the publisher) that they will give consent to the inclusion and public availability online of any of their material in the thesis/portfolio.

(b) Restrictions on use and Licensing

Restrictions on the use of theses by others should be the exception rather than the rule, but when confidential or commercially-sensitive information (e.g. information which is the subject of a patent application) is included in a thesis/portfolio, some restriction on all or part of the thesis/portfolio is likely to be necessary for a time after submission: you should consult with your supervisor(s) about any proposed restrictions. If access is to be restricted, a case must be made to, and permission must be sought from, the Board of Studies (Doctoral) using the Restriction of Access to a Thesis form, PGR7. Restrictions are not normally granted for more than three years duration (see Regulation 16.1 (j) (v)). The date on which the restriction ceases to apply should be recorded in the preliminary pages of the thesis.

The following statement should be printed below the copyright declaration, to be completed and signed when the final version of the thesis is submitted to the Doctoral College:

Access to this thesis/portfolio in print or electronically is restricted until
 (date).
 Signed on behalf of the Doctoral College.....(print
 name).....

This declaration must be signed and dated by a member of Doctoral College staff not by the author of the thesis/portfolio.

Once the examination process is completed and your examiners recommend that your thesis/portfolio is approved for the award, you will then submit the final version of the thesis/portfolio to the library (hard bound copy and e-thesis). At this point you may request an embargo on your electronic thesis for a year. This may be particularly useful if, for example, you have publications pending. This is done via the HD3 form (Section 6 iii below). Please note that the hard-bound copy of your thesis will still be available in the Library. If you

have any concerns about your thesis/portfolio being publicly available online, please contact the Library's Open Access Team openaccess@bath.ac.uk

You may choose to make your thesis/portfolio available using a [Creative Commons licence](#). This licence protects you as the author of the work and clarifies (and limits) the uses that others may make of your work without them needing to ask you for permission. If someone wants to use your thesis for a purpose other than those allowed by the licence, they can still contact you to ask permission.

You can specify the [Creative Commons licence](#) you decide is the most appropriate even if, after consultation with your supervisor, you have decided to put an embargo on your thesis's publication for commercial or other reasons.

(c) Declaration of material from a previously submitted thesis/portfolio and of work done in conjunction with others (mandatory if applicable)

Regulations 16.3 (k) (MPhil), 16.4 (k) (EdD), 16.5 (l) (PhD), 16.10 (d) (staff candidature), 16.12 (k) (DBA), 16.14 (k) (DHealth), 16.15 (m) (EngD), 16.16 (j) (DClinPsy) and 16.17 (k) (DPRP) require that candidates provide a clear indication of the extent (if any) to which material has been incorporated from a submission for another degree and the extent (if any) to which the work has been carried out by people other than the named author. The following statements should be completed and printed below the statement of restrictions on use of the thesis/portfolio.

Declaration of any previous submission of the work

The material presented here for examination for the award of a higher degree by research has / has not been incorporated into a submission for another degree.

(If applicable, provide the relevant details i.e. those parts of the work which have previously been submitted for a degree, the University to which they were submitted and the degree, if any, awarded).

Candidate's signature

Declaration of authorship

I am the author of this thesis, and the work described therein was carried out by myself personally, with the exception of article/chapter where *(detail the amount in percentage terms)* of the work was carried out by other researchers *(e.g. detail any collaborative works included in the thesis in terms of formulation of ideas, design of methodology, experimental work, and presentation of data in journal format).*

Candidate's signature

(iii) Other preliminary pages

Following the statements and declarations, there should be included:

- **Table of contents** (mandatory). This should list in sequence, with page numbers, all major subdivisions of the thesis/portfolio such as chapters or academic papers, the bibliography, appendices (if applicable), references.
- **Other tables** (e.g. figures) (if applicable)
- **Acknowledgments** (optional)
- **Summary or abstract** (mandatory). The thesis/portfolio must include a bound-in summary (abstract) of the work.
- **List of abbreviations** (if applicable)

5 Binding

- (i) The University offers a limited binding service. Information about the time required for binding, costs, and further details may be obtained from Imaging Design and Print Services. You are encouraged to use the University binding service, which is familiar with the requirements of this document. When using companies outside the University, you are reminded to pay particular attention to ensuring that the specifications set out in this document are followed.
- (ii) **'Perfect' binding of the examination copies**
If you wish, your thesis/portfolio may be presented in 'perfect bound' form, i.e., soft bound, in the first instance, for examination purposes only. It will eventually be submitted in hard-bound form. You should note that under no circumstances will theses be accepted for examination if they are unbound or presented in a binding from which pages may be easily removed: this includes any sort of unglued or loose-leaf binding, spiral binding and clipped bindings.
- (iii) **Final library binding of the archive copy**
- (a) Guards are to be inserted where necessary to compensate for any insertions (photographs, etc.).
 - (b) End papers, white cartridge of 135 g/m² with reinforced spine.
 - (c) Book to be glued with polyvinyl adhesive. Spine to be sewn, or grooved and reinforced with twine impressed in grooves.
 - (d) Edges to be trimmed and left white.
 - (e) The book to be rounded and backed and the case to be made of heavy calibre greyboard of not less than 1900 g/m² covered by heavy quality washable buckram.
 - (f) Colour of case as follows:
Masters by Research (including MPhil) - Black
MS - Royal Blue
MD - Red
PhD - Maroon
Professional doctorates - Dark Green
 - (g) The bound copies will bear a short blocked title in gold in a central position on the front board cover. The spine will bear the name of the degree, the year of submission for examination, and the author's name, reading from bottom to top as in the example:

Back cover

PhD 2016 J. SMITH

Front cover

6 Electronic copy

- (i) **File format**
PDF is the preferred format. Library staff will convert any items submitted in other formats to PDF.
- (ii) **Uploading the electronic copy onto Pure**
You should upload the electronic copy of the final thesis/portfolio to the University's research information system 'Pure' <https://purehost.bath.ac.uk/admin> . Detailed instructions on how to do this are available from the Library website <http://www.bath.ac.uk/library/subjects/resources/submitting-theses.html>.

(iii) Final thesis/portfolio submission (HD3) form

You must then complete and sign the University of Bath HD3 form and hand this in to the Doctoral College. This form is available from the Library website

<http://www.bath.ac.uk/library/subjects/resources/submitting-theses.html>. Electronic theses will not be accepted by the Library without a completed HD3 form, countersigned by Doctoral College staff.

Appendix A: Guidelines for submission of a thesis in the alternative format

Introduction

(i) Implementation

It is acknowledged that publishing journal articles is increasingly important for doctoral students, particularly for career development in some disciplines. From 1 August 2016, **where regulations permit** (see Regulation 16.1(j) **and according to these guidelines**, candidates may submit a thesis incorporating academic papers that are published, accepted, submitted, or written as if for publication in reputable refereed journals, or as book chapters, as a substitute for a chapter or part of a chapter. The aim being to preserve the fundamentals of the doctorate being a coherent supervised training in research, whilst making its outputs closer to postdoctoral career expectations, i.e. publication in peer review journals.

(ii) Benefits

The benefits for candidates of this approach include:

- a reduction in the number of research opportunities missed, due to time spent rewriting published material into chapter format;
- a focus on publication whilst at the same time working on their thesis;
- gaining practice in writing for publication;
- receipt of referee critique to sections of the work;
- an increased likelihood of publishing material from the thesis;
- motivational drive from early publication successes;
- an improved research profile - strengthening early career academic job applications.

(iii) Deciding which format to use

(a) If you are registered on a programme where submission of an alternative format thesis is permitted (PhD, DBA, EdD, DHealth or MPhil), you should discuss with your supervisory team at an appropriately early stage in your studies (dictated by the discipline to some extent) the format in which you wish to submit your thesis. The outcome of these discussions will be recorded in the next six monthly progress report, and must be indicated in the 30 month report. This will ensure that appropriate advice is given and that you are adequately supported in the writing of your thesis. It will also enable the University to monitor the uptake of this option, the point at which writing begins, and the submission rate of theses written in the alternative format.

(b) You are strongly advised not to use registration time to rewrite material from one format into another. Later decisions to change the thesis format would not be sufficient cause to warrant an extension to registration for rewriting purposes.

(c) If you opt to submit a thesis in the alternative format, you are responsible for producing a coherent document which meets the expectations of these guidelines and the Specification set out above.

(d) The thesis must be the result of work done mainly while registered as a candidate for the doctoral Degree (Regulation 16.3 (k) (MPhil), 16.4 (k) (EdD), 16.5 (l) (PhD), 16.12 (k) (DBA), and 16.14 (k) (DHealth)).

(e) You are advised that inclusion of published material into a thesis does not guarantee assessment success. Peer reviewed publications vary in standards and requirements. Therefore examiners are permitted to request revisions to any part of the thesis text, including parts already submitted or published. Under these circumstances, revisions will be incorporated into the commentary text for the paper.

Structure

(i) Academic Papers

- (a) There is no limit to the number of academic papers that may be included in an alternative format thesis. You should ensure that the papers and accompanying commentary meet word counts specified by your Faculty.
- (b) If more than one academic paper is included, they must be closely related in terms of subject matter and form part of the cohesive research narrative of the thesis, rather than a series of disconnected papers.
- (c) Including a commentary before and after each academic paper will fully contextualise and integrate the paper into the thesis, in effect forming a thesis chapter. The commentary text is of key importance, as it not only draws together all elements of the thesis but also provides the opportunity for you to convince the examiners that you understand the detail and context of the academic papers presented for assessment.
- (d) As each academic paper will have self-contained components that may overlap with other sections of the thesis, there may be some duplication of material. The [Guidelines for examiners of candidates for degrees by research at the University of Bath](#) alerts the examiners to expect some duplication.
- (e) Preliminary and background data supporting an academic paper may be incorporated into the thesis within the commentary text. Any research findings not written into an academic paper may be incorporated into the thesis within the commentary text or written as a conventional results chapter.
- (f) The alternative format is intended to encourage you to submit work for publication. Where the paper format would be inappropriate or artificial, you should write a conventional chapter.

(ii) Data access statement

It is expected that each published academic paper will include a data access statement, describing where data directly supporting the publication can be found and accessed www.bath.ac.uk/research/data. It is good practice to ensure that such a statement is included in all papers under review or in draft form.

(iii) Collaborative work

- (a) Co-authored papers may be included in the thesis. As set out in the Regulations, the thesis shall indicate, where it, or any part of it such as a published paper, has been produced by a candidate jointly with others, that **a substantial part is the original work of the candidate** (Regulation 16.3 (k) (MPhil), 16.4 (k) (EdD), 16.5 (l) (PhD), 16.12 (k) (DBA) and 16.14 (k) (DHealth)). Therefore a statement of authorship form (provided in Appendix B), describing the candidate's contribution (in terms of the conceptualisation of the work, its realisation and writing), must preface each co-authored paper.
- (b) You should be aware that you may be examined on all material included in the thesis, as this may affect your decision to include co-authored papers.
- (c) Where two candidates have worked on a collaborative paper together, both would be entitled to include the paper in their submission, as long as their individual contribution was clearly explained.

(iv) Restricting public availability of the thesis

- (a) You should carefully consider including any pending publications in the thesis. Publishers

may request that open release of the e-thesis be deferred until after the paper's publication in the journal. You can request the Board of Studies to approve a restriction on the thesis using the Restriction of Access to a Thesis form, [PGR7](#). Discuss this with your supervisory team and apply for a restriction at the earliest possible stage.

- (b) If a paper from the thesis, written as if for publication, is submitted to a journal after the degree has been awarded, the author should alert the journal editors that the work is included in their thesis, and reference the e-version of the thesis.

(v) **Formatting**

- (a) The authors accepted manuscript of each publication should be stylistically integrated into the thesis, matching typeface, margins, and pagination. The manuscript of any papers intended for future publication and currently in draft form should be treated in the same manner.

- (b) Journal-formatted published papers *may* be included in the thesis if approved by the copyright holder. Where possible, you should alter the page numbers to align with the main document. Where this is not possible, a sheet of A4 may be placed before each published paper, on which is displayed the publication title and the thesis page numbers that it spans. If you plan to insert the PDF of a published paper, it is advised that you ensure the typeface is large enough to be legible and that the margins of the document are sufficiently deep to prevent text being lost in the binding gutter.

(vi) **Content**

The following features should be present in a thesis that incorporates publications:

Introduction chapter
<p>The research chapters, including one or more connected academic papers</p> <ul style="list-style-type: none"> • Commentary text before and after each academic paper that contextualises and integrates the paper into the thesis and includes any supplementary datasets. • A statement of authorship form for each academic paper to guide the examiners about your contribution to the work. • A data access statement for each academic paper.
<p>Overall discussion and conclusions chapter(s)</p> <ul style="list-style-type: none"> • A brief summary of the research findings in the preceding academic papers/chapters and critical analysis of their relation to international state-of-the-art research within the subject area. • An amalgamation of the discrete conclusions of the individual academic papers /chapters that explores the overall significance of the work and its contribution to the field.
<p>Bibliography of the non-published chapters and commentary text (each academic paper will contain its own references section).</p>

(vii) **Copyright of the e-thesis version of an alternative format thesis**

Copyright for published material will be held by the publisher, or authors. You are responsible for obtaining the necessary permission from copyright owners to include the material in the electronic version of your thesis that will be publically available via the University's online research information system, Pure. Where the appropriate copyright permissions cannot be demonstrated, the published materials will be removed from the e-thesis before it is saved in Pure.

Appendix B: Statement of Authorship

(An editable, Word version of this form is available [here](#), on the Quality Assurance Code of Practice statements webpage).

Appendix B: Statement of Authorship

This declaration concerns the article entitled:			
Publication status (tick one)			
Draft manuscript <input type="checkbox"/> Submitted <input type="checkbox"/> In review <input type="checkbox"/> Accepted <input type="checkbox"/> Published <input type="checkbox"/>			
Publication details (reference)			
Copyright status (tick the appropriate statement)			
I hold the copyright for this material <input type="checkbox"/> Copyright is retained by the publisher, but I have been given permission to replicate the material here <input type="checkbox"/>			
Candidate's contribution to the paper (provide details, and also indicate as a percentage)	<p>The candidate contributed to / considerably contributed to / predominantly executed the...</p> <p>Formulation of ideas:</p> <p>Design of methodology:</p> <p>Experimental work:</p> <p>Presentation of data in journal format:</p>		
Statement from Candidate	This paper reports on original research I conducted during the period of my Higher Degree by Research candidature.		
Signed		Date	