



## Appendix 6: Specifications for Doctoral and Research Degree Theses and Portfolios

*For submissions made from 1<sup>st</sup> August 2016 onwards*

### Table of Contents

1	Introduction.....	1
2	Summary of the submission procedure .....	2
3	General presentation of the thesis/portfolio.....	2
4	Detailed specification for opening pages.....	4
	Appendix A: Guidelines for submission of a thesis in the alternative format or a portfolio with papers. .....	7
	Appendix B: Statement of Authorship.....	10

### 1 Introduction

- (i) This document gives guidance about the common and essential aspects of the presentation of theses and portfolios for research 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 to submissions for doctoral degree awards; that is to say DBA, DClinPsy, DHealth, DPRP, EdD, EngD, MD, MS and PhD and also the research degree award of MPhil.
- (ii) A thesis/portfolio must be presented to the standard expected and meet the requirements for the award of that degree (Regulation 16).
- (iii) Regulation 16 sets out the forms of submission permitted for each award. According to the regulations for the degree for which they are 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 or portfolio may be presented in one of two equivalent formats:
  - a) Either a traditional monograph, consisting of chapters – “traditional format” thesis/portfolio. (In this format published papers may be appended to the thesis/portfolio, demonstrating that the work is of publishable quality. However, the papers will not be examined as part of the submission); or

- b) a thesis/portfolio which integrates published and as yet unpublished academic papers as chapters – “alternative format” thesis or “portfolio with papers”.

Additional guidelines for the submission of an alternative format thesis or portfolio with papers are provided in appendix A.

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

## 2 Summary of the submission procedure

### (i) Submission of the thesis/portfolio for examination

You must submit the thesis/portfolio by your registration end date, which can be found on your SAMIS pages. The submission must be in electronic format and uploaded to the [Moodle Doctoral Submission page](#). Students on the DBA in Higher Education Management or the Doctorate in Clinical Psychology will continue to use their own programme-specific submission pages within Moodle. The internal examiner will then review a comparison report to check for plagiarism, after which the thesis will be sent to both examiners by the Doctoral College via a secure link.

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

Following a successful examination, you must upload the final version of the thesis/ portfolio to the University's research information system 'Pure'. Detailed instructions on how to do this are available from the Library website <https://www.bath.ac.uk/guides/deposit-your-thesis-with-the-library/>. You will be given a Pure record identification number to evidence your upload.

You must then complete the University of Bath HD3 (final submission after examination) form citing this Pure ID number and email it to the Doctoral College. The form is available from the Library website <http://www.bath.ac.uk/library/subjects/resources/submitting-etheses.html>.

A degree may only be awarded by the Board of Studies (Doctoral) after it has received both the HD3 form and the examiners report recommending that an award should be made.

### (i) File format

PDF is the preferred format. Library staff will convert any items submitted in other formats to PDF.

## 3 General presentation of the thesis/portfolio

### (i) Format and layout

The thesis/portfolio layout should be A4 size, the margins on the page should not be less than 15mm.

### (ii) Typeface and spacing

The main text of the thesis/portfolio should ordinarily be black and 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 New

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. Figure legends should be of the same size font as the main document.

Journal-formatted published papers *may* be included within an alternative format thesis or portfolio with papers submission if approved by the copyright holder, however it is advised that you ensure the typeface is large enough to be easily legible by your examiners. The authors accepted manuscript of any papers under review, or any papers still in draft form should be stylistically integrated into the thesis/portfolio document.

#### Coloured background

Coloured backgrounds 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 background and text more accessible.

#### **(iii) Previously published papers**

Papers already published in reputable journals may be appended to a traditional monograph thesis or portfolio provided you have the publisher's permission to make these available online in the University's repository - which is publicly accessible. The Library can advise on this. See also appendix A for detailed guidelines on the inclusion of papers in an alternative format thesis or a portfolio with papers.

#### **(iv) Numbering of the pages**

All papers should be numbered, including the preliminary pages and any appendices. A single sequence of arabic numerals should be used.

#### **(v) Submission of alternative media**

Ordinarily, you should submit your work in electronic form. However, where appropriate to the academic work being conducted, additional media may be submitted. You should note that these submissions should normally be treated as supplementary to the work presented in the thesis/portfolio for examination. Seek advice from the Doctoral College about the archival nature of the proposed supplementary material.

#### **(vi) Accessible formats**

Candidates with certain disabilities and/or specific learning difficulties may wish to submit a thesis/portfolio in a format other than those set out in this document. In such cases candidates must discuss this with their supervisors 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.

#### **(vii) 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>

#### **(viii) Wordcount**

The University does not limit doctoral thesis or portfolio submissions in terms of document length or word count. All local Faculty/Department/School [guidance](#) on wordcounts has been collated within the Doctoral College webpages.

## 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 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 research degree**

Kim Chris Smith

A thesis submitted for the degree of Doctor of Philosophy

University of Bath

Department of Education

June 2024

### (ii) Copyright page

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;

A template for each section is shown below, these should be completed as appropriate and inserted in the page 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. 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, sensitive or commercial information (e.g. information which is the subject of a patent application) is included in a thesis/portfolio, a restriction on all or part of the document may be necessary for a short time after submission. You should consult with your supervisor(s) about any proposed restriction or embargo on your work.

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 repository, Pure. At this point you may request a 12-month embargo on your thesis. This may be particularly useful if, for example, you have publications pending. This is done via the HD3 form.

If access is to be restricted for longer than 12-months, 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 will usually not be extended beyond 24 months for reasons of protecting future publications, or beyond 60 months for other reasons of data sensitivity (see QA7). 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](mailto: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.

### (iii) Declarations page

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

Regulation 16 requires 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 inserted into the thesis/portfolio following the copyright page.

#### **Declaration of any previous submission of the work**

The material presented here for examination for the award of a research 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).*

**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).

**(iv) 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. of figures) (if applicable)
- **Acknowledgments** (optional) It is customary to acknowledge all those involved in financing, supporting, and mentoring you and your work during the period of study.
- **Summary or abstract** (mandatory). The thesis/portfolio must include a summary (abstract) of the work.
- **List of abbreviations** (if applicable)

## Appendix A: Guidelines for submission of a thesis in the alternative format or a portfolio with papers.

### 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/portfolio 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 (PhD, DBA, EdD, DHealth, DPRP, MPhil) or a portfolio with papers (DClinPsy) is permitted, 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 work. This will ensure that appropriate advice is given and that you are adequately supported in the writing of your thesis.
- (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) and 16.17(k) (DPRP)). A portfolio with papers must be the result of work done wholly while registered as a candidate for the Degree of Doctor of Clinical Psychology (Regulation 16.16 (j)).
- (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. 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.
- (b) There is no limit to the number of academic papers that may be included in a portfolio with papers. If more than one academic paper is included only the literature review and main research project have to be related in terms of subject matter.
- (c) Including a commentary before and after each academic paper will fully contextualise and integrate the paper into the thesis/portfolio, in effect forming a chapter. The commentary text is of key importance, as it not only draws together all elements of the thesis/portfolio 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/portfolio, 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/portfolio within the commentary text. Any research findings not written into an academic paper may be incorporated into the thesis/portfolio within the commentary text or written as a conventional results chapter.
- (f) The alternative thesis and portfolio with papers formats are 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](http://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/portfolio. 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). 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 submitted for examination, 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/portfolio

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



Publishers may request that open release of the submission be deferred until after the paper's publication in the journal. You can request the Board of Studies to approve a restriction on your work using the Restriction of Access to a Thesis/Portfolio 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/portfolio, 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 doctorate, and reference that the thesis/portfolio will be publicly available in the Library repository.

(v) **Formatting**

- (a) The authors accepted manuscript of each publication should be stylistically integrated into the thesis/portfolio, 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/portfolio 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 blank page may be placed before each published paper, on which is displayed the publication title and the thesis/portfolio page numbers that it spans. If you plan to insert the PDF of a published paper into your document, it is advised that you ensure the typeface is large enough to be legible, and that figure legends are still readable.

(vi) **Content**

Requirements for the content of a DClinPsy portfolio with papers will be provided in the programme specifications. Typical features that may be present in an alternative format thesis are as follows:

<b>Introduction chapter</b>
<b>The research chapters, including one or more connected academic papers</b> <ul style="list-style-type: none"> <li>• Commentary text before and after each academic paper that contextualises and integrates the paper into the thesis and includes any supplementary datasets.</li> <li>• A statement of authorship form for each academic paper to guide the examiners about your contribution to the work.</li> <li>• A data access statement for each academic paper.</li> </ul>
<b>Overall discussion and conclusions chapter(s)</b> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>
<b>Bibliography of the non-published chapters and commentary text</b> (each academic paper will contain its own references section).

(vii) **Copyright of the thesis/portfolio that includes papers.**

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 your thesis/portfolio that will be publicly 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 thesis/portfolio before it is saved in Pure.

**Appendix B: Statement of Authorship**

(An editable, Word version of this form is available on the [Quality Assurance Code of Practice QA7 webpage](#), for help with copyright and permissions contact [openaccess@bath.ac.uk](mailto:openaccess@bath.ac.uk)).

<b>This declaration concerns the article entitled:</b>			
<b>Publication status (tick one)</b>			
Draft manuscript	<input type="checkbox"/>	Submitted	<input type="checkbox"/>
In review	<input type="checkbox"/>	Accepted	<input type="checkbox"/>
Published	<input type="checkbox"/>		
<b>Publication details (reference)</b>			
<b>Copyright status (tick the appropriate statement)</b>			
The material has been published with a CC-BY license		<input type="checkbox"/>	The publisher has granted permission to replicate the material included here
<b>Candidate's contribution to the paper (provide details, and also indicate as a percentage)</b>		<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>	
<b>Statement from Candidate</b>	This paper reports on original research I conducted during the period of my Doctoral Degree candidature.		
<b>Signed (typed signature)</b>			<b>Date</b> 