

CODE OF PRACTICE ON POSTGRADUATE RESEARCH DEGREES: APPENDIX 8

PROCEDURE FOR SUBMISSION OF A RESEARCH DEGREE THESIS

1. Introduction

- 1.1 The Liverpool School of Tropical Medicine (LSTM) is committed to providing a high quality educational experience for all students, with appropriate academic support, administrative structures and good welfare services and facilities. This procedure is Appendix 8 of an inter-related framework of procedures under the *Code of Practice on Postgraduate Research Degrees*.
- 1.1. This procedure covers the preparation and submission of a research degree thesis for the purpose of examination.

2. Scope

- 2.1. This procedure applies to all current PGR students registered with LSTM, whether based on-site, off-site or split-site, and studying full-time or part-time.
- 2.2. The procedure covers examination of a thesis leading to one of the following awards:
- Master of Philosophy (MPhil)
 - Doctor of Philosophy (PhD)
 - Doctor of Medicine (MD)

3. Submission and Registration Periods

- 3.1. The normal minimum and maximum periods permitted for submission of a research degree thesis are stipulated in the *Regulations for Postgraduate Research Degrees*. Candidates should be made aware by their Primary Supervisor that if, exceptionally, they are permitted to submit their thesis early they will still be required by LSTM to pay fees for the normal minimum period of registration.
- 3.2. The normal minimum and maximum periods permitted for registration for a research degree are stipulated in the *Regulations for Postgraduate Research Degrees*. If, in exceptional circumstances, an extension to the maximum period of registration is required, the student must make a case for approval to the Director of Postgraduate Research (DPR) in line with the *Procedure for Requesting an Extension, Withdrawal or Suspension of Studies for Postgraduate Research Degree Students*.

4. Format of the thesis

- 4.1. The maximum word count is specified in the *Regulations for Postgraduate Research Degree* and should not normally be exceeded. The maximum word count includes footnotes and appendices but not the bibliography. If, in exceptional circumstances, a candidate wishes to exceed the relevant maximum word count, they should contact their Primary Supervisor, who will make application for approval by the DPR. Criteria for approval of an application to exceed the word count include extensive primary material; translation of primary material; or extensive data.

- 4.2. The thesis must be written in English, except for quoted material, which may be in the original language.
- 4.3. A common font and style should be used throughout the thesis, with clear text, illustrations and pagination. The main body of the text should be in black ink on white paper. Pages should be numbered consecutively and the position of page numbers (candidate's choice or as advised by the supervisor) should be consistent throughout.
- 4.4. The following format should be observed on the title page:

(Centred) Title of thesis

'Thesis submitted in accordance with the requirements of the Liverpool School of Tropical Medicine for the degree of Doctor in Philosophy (or other degree as appropriate) by *full forenames and surname.*'

(centred) Date (month and year)

- 4.5. The table of contents must include chapter headings and page numbers. All separate sections of the thesis, such as bibliography, lists of abbreviations, supporting papers etc. must be identified on the contents page.
- 4.6. The thesis must contain an Abstract indicating the aims of the investigation and the results achieved. It should be no longer than one side of an A4 sheet using single-spaced font (normally about 450 words) and should include a heading indicating the author and title of the thesis.
- 4.7. References to published work should be provided in a consistent format that is currently accepted in the field covered by the thesis. If in doubt, candidates should consult their supervisors about the most appropriate approach.
- 4.8. Diagrams and illustrations should be placed as near to the relevant text as possible. If it is necessary to place illustrations in a separate volume, the binding must match that of the text. Images must be of good quality and adequate size. Where material is fixed in the thesis it must be securely mounted in each copy. Essential material that cannot be easily included within the bound thesis must be placed securely in a pocket attached to the inside back cover of each copy.
- 4.9. Where a collection of original creative material is also submitted for examination, the archival record should include photographic or digital evidence that encompasses the material submitted and any artefacts or documentation integral to the creation of the work. A short inventory with brief descriptions should also be included.
- 4.10. If the candidate is submitting a thesis as a series of published papers embodying the results of their research, the following should be observed:
- 4.11. The papers must be integrated into the thesis in a coherent and structured manner, with formatting in accordance with this procedure.
- 4.12. There must be a conventional 'Introduction' chapter that explains and justifies the background and rationale for the approach taken.
- 4.13. Each paper should be called a chapter and have an introductory section that explains how it links to preceding and following chapters.

- 4.14. The thesis must contain a 'Conclusion' chapter that integrates the different strands presented in the results chapters.
- 4.15. It is expected that normally the candidate will be the primary author of the majority of the papers submitted. Where joint authorship does occur, a statement must be provided, in the introduction, of the contribution made by the candidate together with the status of the other authors.

5. Production and binding of the thesis

- 5.1. Candidates should check the text carefully and it is strongly advised to make full use of error-checking facilities.
- 5.2. A4 white paper of at least 80g/m² weight must be used for both originals and photocopies. Paper may be printed on both sides or on one side.
- 5.3. On the binding edge the margin must be 40mm. Other margins must be 25mm minimum.
- 5.4. 1½ line spacing is advised, but at least double line spacing should be used for text that contains many subscripts and superscripts. Quotations may be indented.
- 5.5. Printed copies of the thesis submitted for examination must be soft-bound and the binding of all volumes must be identical. The thesis should be presented in such a way that the pages cannot be readily removed. Accordingly, ring binders and spiral binding are not permitted.
- 5.6. The candidate's surname, initials, the date (month and year) and the degree must be displayed on the outside front cover.

6. Academic integrity

- 6.1. The *Procedure on Academic Integrity for Postgraduate Research Degrees* sets out LSTM's approach to promoting academic integrity and the courses of action that will be pursued when a breach of academic integrity is suspected.

7. Submission of the thesis

- 7.1. Notice of intention to submit a thesis must be given to the PGR Administrative Team at least two months before the date of submission by completion of the 'Intention to Submit' form.
- 7.2. The decision of a student to submit a thesis should be made in consultation with the student's supervisor(s) but the responsibility for the final form of the thesis rests with the student alone.
- 7.3. Candidates must submit to the PGR Administrative Team two soft-bound printed copies and a single electronic copy of their thesis. In the case of collaborative programmes, candidates must submit the appropriate number of copies of their thesis in accordance with the relevant institutional partnership agreement.
- 7.4. The work in the thesis submitted by a student must be their own work and the submission of a thesis for examination will be regarded as a declaration of that fact. Students may submit the results of work done in conjunction with their supervisor and/or with fellow research workers provided that their own contribution in the investigation is clearly stated. The supervisor will be required to provide written confirmation of the accuracy of this statement.

- 7.5. The student will be examined on the material that has been submitted and the context within which the research is conducted. The student may not submit further material after initial submission of the thesis.

8. Copyright

- 8.1. The copyright in a PGR thesis will belong to the candidate, unless ownership of copyright is transferred. However the candidate's thesis may be embargoed if required by the terms of third-party funding terms or in cases where LSTM is pursuing evaluation, exploitation or protection of intellectual property.
- 8.2. The candidate shall be permitted to present and to publish the results of the project, provided that LSTM shall have advance notice of any disclosure and will enjoy discretion to delay proposed publication or presentation if, in its reasonable opinion, such delay is necessary to secure protection of intellectual property rights.
- 8.3. A candidate registered under an agreement with a partner for joint supervision of a PGR project is subject to UK copyright law and those laws pertaining to the partner institution.

9. Intellectual Property

- 9.1. The candidate will be subject to LSTM's Intellectual Property Policy, which reserves ownership of new intellectual property arising from the candidate's research to LSTM.
- 9.2. LSTM's right of ownership may be subordinated by third-party agreements with funders or collaborators and as such the intellectual property ownership and exploitation position will vary on a case by case basis.
- 9.3. Intellectual property ownership and exploitation rights arising from jointly supervised postgraduate research will be agreed on a case by case basis.

10. Confidentiality of material

- 10.1. The examiners will treat the thesis as privileged and confidential information. Where a candidate or their sponsor considers that elements of the thesis are particularly confidential, the candidate should inform the PGR Administrative Team at the time of submitting the thesis in order for the examiners to be informed of the particularly sensitive nature of the material.
- 10.2. Following a successful defence at the *viva voce* examination, where a candidate or their sponsor considers that elements of the thesis are confidential they may request restricted access by third parties to the thesis deposited in the LSTM Library.

11. Requirements for minor modifications or re-submission following first examination

- 11.1. The possible outcomes of the *viva voce* examination are defined in the *Regulations for Postgraduate Research Degrees*.
- 11.2. Details of required minor modifications or requirements for full re-submission will be provided to the student by the examiners, in accordance with the *Procedure for Examination of a Research Degree Thesis*.
- 11.3. Normally candidates are expected to submit their minor modifications to the designated examiner within a period of three months from the date of the formal notification of the outcome of their *viva voce* examination.
- 11.4. Normally candidates are expected to provide any re-submission to the PGR Administrative Team one calendar year from the date of the formal notification of the

outcome of their *viva voce* examination. A candidate re-submitting their thesis is subject to the normal PGR progress procedures.

- 11.5. The PGR Administrative Team will monitor completion of minor modifications and re-submissions and will notify the DPR of non-compliance with deadlines.

12. Submission of the thesis to the LSTM Library repository

- 12.1. Within four weeks of being formally notified of the successful outcome of the examination of the thesis, candidates must submit an electronic copy to the LSTM Library repository. Candidates should note that they will not be permitted to graduate until they have deposited their thesis with the Library.