

Please check with Academic Registry before submitting a thesis as the following Regulations may be subject to change from time to time.

The following is a statement of the provisions governing the submission and format of a thesis. These provisions apply to candidates for the degree of Master - by supervised research alone, or (if required) by supervised research together with a course of instruction - and to candidates for the degree of Doctor of Philosophy or Engineering Doctorate. They may serve as guidance for candidates for the Degrees of Doctor of Letters, Doctor of Science, and Doctor of Engineering submitting a thesis.

The Regulations of the University, available on-line at the Academic Registry Website (<http://www.hw.ac.uk/ordinances/regulations.pdf>), should be consulted for additional details on sections 1 to 3 below.

1. Appointment of Examiners and Approval of Thesis Title

In accordance with the Regulations of the University (paragraph 7.1 of Regulation 6, and paragraph 6.1 of Regulation 49) the Senate appoints External and Internal Examiners, who submit reports to the Senate and make recommendations concerning the award of the degree. Nominations are made to the Postgraduate Studies Committee and, following approval, are reported to the Senate.

In terms of paragraph 9.3 of Regulation 6 for the Degree of Doctor of Philosophy and of paragraph 7.4.10 of Regulation 49 for Degrees of Master of Philosophy, the final title of a candidate's thesis shall be submitted for approval by the Postgraduate Studies Committee.

The form [Submission of Thesis Title and Recommendation for Appointment of Examiners](#) form should be received by the Clerk of the Postgraduate Studies Committee, **no later than one month before the submission of the thesis**. For all external examiners a brief CV should be attached indicating their qualifications and experience to examine the subject and degree. Submission of this form, which is signed by the supervisor and the Director of Research (or their nominees), is normally instigated by the candidate's supervisor.

2. Submission of Thesis Prior to Examination (temporary bound)

At least four weeks prior to any oral examination that may have been arranged, and **after the appointment of the examiners have been approved**, the following should be submitted to the Student Service Centre:

- (i) *At least three bound copies of the Thesis (conforming to the approved format and bound using an adhesive method of binding (not spiral bound or any other methods where the pages are not permanently fixed). For further information please refer to paragraphs 5 and 6 below).*
- (ii) [Research Thesis Submission](#) (to be bound into each copy of the thesis)
- (iii) [Submission of Thesis Declaration form by Supervisor](#) (to be completed by the Primary Supervisor only)

It is recommended that at this stage the thesis be presented in a temporary binding, conforming to the standards set out in 6.2 below. However, candidates should be aware that following the Examiners' approval, three presentation copies, conforming to the format of 6.1 below, must be provided, even if the examiners do not specify any amendments to a thesis submitted in temporary binding.

Please note that the Student Service Centre will be unable to accept your thesis if the adhesive method of binding has not been used.

The thesis shall be the candidate's own account of his or her research and shall be accompanied by a declaration on the [Research Thesis Submission](#) form to this effect, signed by the candidate.

Please note that the Abstract, which is required for library purposes, must be **printed onto** the [Abstract of Thesis form](#) and not merely attached to it. See 5.5.2 below for details.

If the thesis has been placed on restricted access in accordance with paragraph 9.4 of Regulation 6 for the Degree of Doctor of Philosophy and paragraph 7.4.11 of Regulation 49 for the Degree of Master of Philosophy, then the [Request for Limited Access to Thesis form](#) must be submitted. Following the submission of this form, a [Confidentiality Statement](#) will be forwarded to the relevant Examiner (if appropriate). **Please note that where limited access requests are received from candidates with instructions to issue the confidentiality agreement to the examiners, theses will NOT be forwarded to examiners until the requested confidentiality statements have been returned to the Academic Registry.**

All forms are available from the Student Service Centre or on-line by clicking the appropriate link or accessing the Academic Registry Website. (<http://www.hw.ac.uk/registry/examinations/thesis.htm>)

3. Submission of Presentation (final bound) Thesis

On successful completion of the examination it is the student's responsibility to ensure that the correct binding format is used for the Presentation Theses (see 6.1 below). Particular care should be used in stipulating the size of print and the spine lettering. **Please note that if the binding requirements are not accurately carried out, then the thesis will be returned to be re-bound and the candidate will not be eligible to graduate until the work has been completed.**

Under the terms of paragraph 9.2 of Regulation-6 (Degree of Doctor of Philosophy) and paragraph 7.4.7 of Regulation-49 (Higher Degrees of Master (Research)), a candidate shall normally be required to submit two copies of the presentation (final bound) thesis and an electronic copy of the thesis (CD-ROM), all of which become the property of the University.

Electronic copies of the thesis should be submitted within a suitable jewel case or sleeve, along with a completed e-thesis submission form (which students may use as a sleeve for the CD-ROM containing the electronic thesis), which is available to download at <http://www.hw.ac.uk/registry/examinations/thesis.htm>.

Both the presentation (final bound) and electronic versions of the thesis, once prepared in accordance with the correct format as set out herein, should be shown to the Internal Examiner and, thereafter, submitted to the Student Service Centre **along with** the [Internal Examiner's Declaration](#) form.

The theses and declaration form should reach the Student Service Centre as soon as possible after the examination and **at least four weeks before the appropriate congregation for the conferment of degrees.**

4. Extra Copies of Thesis

A candidate who requires extra copies of the thesis for any purpose other than that specified above must prepare these in addition to those copies required by the University. In such circumstances, the candidate is advised to wait until after the examination is completed and the final version of the content is approved.

5. Format of the Thesis

British Standards Institute recommendations

The Postgraduate Studies Committee of the Senate has agreed that with certain exceptions a thesis presented for a higher degree of the University shall conform whenever appropriate to the British Standards Institution's recommendations for 'Presentation of Theses' (BS4821: 1990).

The main exceptions are contained in paragraphs 5.3 and 6 below; those provisions of these paragraphs that must be adhered to in all cases are noted. The provisions of paragraphs 5.4 to 5.9 below, some of which differ from the BSI recommendations, should be observed whenever appropriate but may be varied on the advice of the candidate's supervisor. Some additional minor points are covered in the British Standards document.

5.1 Language

The Thesis must be written English unless the Postgraduate Studies Committee has given special permission for another language to be used.

5.2 Length of Thesis

For the Degree of Doctor of Philosophy the thesis should not normally be longer than 80,000 words or be longer than 400 pages when bound with its appendices and references. For Degrees of Masters the length should not normally exceed 40,000 words or 200 pages. **If there are sound academic grounds and the request is made sufficiently early**, then permission for submission of a longer thesis may be granted by the Postgraduate Studies Committee. For the Degree of Doctor of Philosophy by Published Research, a critical review of the published research which shall be in the range of 10,000 to 25,000 words must be submitted.

5.3 Paper Size and Typographical Detail

5.3.1 *Methods of Production*

Theses must be presented in a permanent and legible form in typescript. Typing should be of even quality, with clear black characters. Drawings should normally be black ink (see 5.7.4 below). Copies produced by xerographic or comparably permanent processes are acceptable.

5.3.2 *Paper*

International A4 size paper must be used. Paper must be of good quality and of sufficient opacity for normal reading (of weight 70 gm-2 to 100 gm-2). One side only of the paper must be used (but see also 5.8 and 6.2 below).

5.3.3 *Layout*

Margins at the binding (left-hand) edge must be 40 mm (1.5") and other margins 20 mm (0.75"). The page format should be single column with one and a half spacing used between the lines. Sentences should be separated by two spaces. All text pages should be justified.

5.3.4 *Font and Font Size*

The recommended font is Times New Roman and the recommended text font-size is 12-point.

5.4 Pagination

5.4.1 *Page Numbering*

Pages must be numbered consecutively through the thesis, starting at the first page of the Introduction (see 5.6 below), including all pages whether textual or otherwise, and finishing at the final page of the index, if any. For multi-volume theses a single sequence of numbering must be used for all pages containing chapters, appendices etc.

5.4.2 *Position of Page Numbers*

Page numbers shall be in Arabic numerals and shall be located centrally at the bottom of the page, approximately 10 mm (0.4") above the edge. Preliminary pages, starting at the first Contents Page, may be numbered using lower-case Roman numerals, if desired.

5.5 Preliminaries

5.5.1 *Title Page*

The Title page of every volume must give the following information in the order listed:

- (i) The full title of the thesis and the sub-title if any.
- (ii) The total number of volumes if more than one and the number of the particular volume.
- (iii) The full name of the author followed, if desired, by any previous qualifications and distinctions.

- (iv) The qualification for which the thesis is submitted.
- (v) The name of the institution to which the thesis is submitted.
- (vi) The Department in which the research was conducted, if appropriate.
- (vii) The month and year of submission.
- (viii) The following copyright statement:

"The copyright in this thesis is owned by the author. Any quotation from the thesis or use of any of the information contained in it must acknowledge this thesis as the source of the quotation or information."

5.5.2 Abstract

In accordance with paragraph 9.2 of Regulation-6 and paragraph 7.4.7 of Regulation-49, the thesis must contain an abstract, preferably not exceeding 200 words, bound in to precede the thesis. The abstract should appear on its own, on a single page. **Please note that the Abstract of Thesis Form should not be used for this purpose.** The format should be the same as that of the main text.

The abstract should provide a synopsis of the thesis and shall state clearly the nature and scope of the research undertaken and of the contribution made to the knowledge of the subject treated. There should be a brief statement of the method of investigation where appropriate, an outline of the major divisions or principal arguments of the work and a summary of any conclusions reached. The abstract must follow the Title Page.

For Library purposes, one completed copy of the [Abstract of Thesis form](#) should accompany the submitted theses (see section 2 above)

5.5.3 Dedication

If a dedication is included then it should be immediately after the Abstract page.

5.5.4 Acknowledgements

Any acknowledgement should be on the page following the Dedication page, or the Abstract page if there is no dedication.

5.5.5 Declaration statement – [Research Thesis Submission Form](#)

This form should be placed after the Acknowledgements and bound into every copy of the thesis. **Please note that the Student Service Centre will be unable to accept your thesis if the form is not bound into each submitted copy.,**

5.5.6 Table of Contents

The table of contents should follow immediately either the Acknowledgements page (or Declaration page, if present). It must list in sequence, with page numbers, all relevant subdivisions of the thesis, including: the titles of chapters, sections and subsections, as appropriate; any appendices; the list of references; the bibliography (if any); the index (if any); and any other functional parts of the whole thesis. If a thesis comprises more than one volume, then the Title page, Abstract and Table of Contents of the whole thesis must appear in each volume.

5.5.7 Lists of Tables and Figures, Glossary, List of Publications by the Candidate

It is optional to provide these lists. If provided, then they should start on the page following the table of contents and be in the order Tables, Figures, Glossary (list of abbreviations), Publications. Items in lists of Tables and Figures should be in the order in which they occur in the text.

5.6 Text

Example thesis pages, demonstrating the following format and style recommendations are available from the Academic Registry website:

<http://www.hw.ac.uk/registry/resources/examplethesispages.doc> .

5.6.1 Introduction

Chapter 1 of the thesis must be an Introduction, so headed, defining the relation of the thesis to other work in the same field and referring appropriately to any findings, propositions or new discoveries contained in the thesis and to any important points about sources or treatment.

5.6.2 Chapters and Sections

Theses should be divided as appropriate into chapters, sections and subsections. The system of headings must be consistent and should provide a clear indication of changes in content, emphasis and other features that occur at each stage of the work.

5.6.3 Headings

It is recommended that all headings be emboldened. The recommended style is: 14-point with capitalised initial letters for chapter headings; 12-point with capitalised initial letters for section headings; 12-point italicised for subsection-headings. All headings should be on separate lines from the text. Each chapter must begin on a new page and the heading should be preceded by the word Chapter and the appropriate number.

5.6.4 Chapter, Section and Subsection Numbering

Arabic numerals should be used in the format 1, 2 etc (for chapters), 1.1 etc for sections and 1.1.1 etc for subsections. There should be no further subdivision.

5.6.5 Note Numbering

References cited in the text should be identified by numbers, preferably typed on the line, in square brackets, immediately following the relevant word or phrase in the text (see 5.9.3). For footnote identification, superscripts are recommended. Identifications of references, footnotes and any endnotes (with comments at the end of a chapter rather than the foot of a page) must be distinguishable. For this reason it is recommended that references are **not** identified by superscripts.

5.6.6 Headers and Footers

If headers are used then the recommended style is: *Chapter 1: Introduction*, in 10-point italics with no emboldening. The full chapter title should be used wherever possible and the header left-aligned. There should be no header on the first page of each chapter. Footers must be used only for pagination (see 5.4.2 above).

5.7 Tables, Figures and Equations

5.7.1 Tables and Figures

Tables, figures etc. shall be numbered either consecutively throughout the thesis – Table 1, Figure 1 etc., or within individual chapters Chapter – Table 1.1, but not within sections or subsections. Within the text tables should be referred to as table 1 etc.

5.7.2 Captions

The numbers (of the above form) and captions should be at the bottom of the illustrations. The top of an illustration that is bound sideways must be to the left of the page (the binding side).

5.7.3 Equations

Equations placed on separate lines from the text should be numbered whether or not they are referred to in the text. Numbering should appear in round brackets at the right hand side of the page and be ordered consecutively either throughout the thesis as (1) etc, or in each chapter (1.1) etc. Equations should be referred to in the text as equation (1) etc.

5.7.4 Use of Colour

Colour may be used in diagrams and figures. However, it is recommended that such use be kept to a minimum, being reserved for situations where it is essential for clarity. The use of colour must be the same in all presentation copies of the thesis.

5.8 Maps, Illustrations, Computer Printouts, Published Papers

5.8.1 Binding

Whenever practicable diagrams, maps, illustrations, computer printouts, published papers and tables should have a binding margin of at least 40 mm (1.5") and should, if possible, be bound into the thesis near the appropriate text.

5.8.2 Photographic Prints

Photographic prints should be on single weight paper or permanently mounted on cartridge paper for binding and should be securely fixed in the thesis.

5.8.3 Other Illustrative Material

Other material that cannot conveniently be bound into the text such as, maps, slides, computer discs, sound or video-tape, should be packaged in such a way that it can be bound with the thesis. If the amount of such material is substantial then it should be gathered into a supplementary volume and packaged in a rigid container similar in format to the bound thesis. Computer printout should be burst before binding.

5.8.4 Packaging of Unbound Material

If material that cannot conveniently be submitted in bound form constitutes the whole of a thesis then it should be packaged and labelled and titled as required by 6.1.2.

5.8.5 Marking Unbound Material

Each item of unbound material, and its packaging must be marked with the author's name, initials and qualification for which the work is submitted in such a way that it can readily be linked with the thesis; it should contain appropriate instructions for use.

5.8.6 Guards

Guards for plates, diagrams and other inserted material should be provided where necessary.

5.9 End Matter

5.9.1 Appendices.

Appendices, labelled A, B etc., should be treated as additional chapters and should normally follow the main text. Appendices may consist of supporting 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 style of appendices must be consistent with the style of the main text. Long appendices may be divided into sections, labelled as Appendix A.1 etc., with corresponding subsection numbering, which must be entered in the table of contents. Alternatively, short appendices may be attached to individual chapters, as an extra section with a heading of style 3.7 Appendix.

5.9.2 Published Papers

If publications of the author are to be bound into the thesis then they should appear after the Appendices and before the list of references, as if they were additional Appendices, and so-cited in the Contents list.

5.9.3 List of References

Lists of references, arranged in the order in which the references are identified in the thesis (see 5.6.5) may appear either at the end of the thesis or at the end of each chapter. In the former case the heading **References** should be used, with no associated number. In the latter case reference numbering should be of the style [3.5], for the fifth reference in chapter 3, and the reference list should appear as a numbered section.

Each listed reference should enable the reader to identify the work cited and to locate the specific passage referred to. In the case of journal publications, titles of papers should be included and both initial and final page numbers. An example style is:

[72] D.G. Jones, *Title of paper*, Title of Journal, **3**, 64-75 (1998)

The use of the Harvard system in which references are ordered by surname of the first author is acceptable if this is the preferred style in the discipline of the thesis. In this case a single list at the end of the thesis is appropriate, and use of the style Jones (1998) in the text, with (1998a) etc used to avoid ambiguity. An example style in the reference listing is:

Jones D.G., 1998, *Title of paper*, Title of Journal, **3**, 64-75

5.9.4 Bibliography

If a bibliography is supplied it should be arranged in a logical order, for example alphabetically by authors in broad subject classes.

5.9.5 Index

There is no requirement to provide an index.

5.10 Additional Material

In addition to the bound copies of the thesis, students may submit an electronic copy of additional materials in support of, but not integral to, the examination of the thesis. Such materials might be survey data, natural language corpora, experimental data, electronic prototypes, source code, visualisations or additional multimedia data.

Such submission should be on CD/DVD, readable on the Microsoft Operating System, labelled with the title of the thesis, student name, School/Institute and University, and date of submission. Accepted formats for data to be included in additional materials can be obtained for the library and will be updated on a regular basis. Documents or text included in additional materials should be Postscript or Portable Document Format (.pdf).

The additional material will be passed to the examiners, but they will not be obliged to use it in the examining process

An electronic copy of the thesis may be included, but it should be noted that this submission is additional to, and does not replace, the submission of paper-based, bound copies of the thesis.

6. Binding

6.1 Presentation (Final Bound) Binding

6.1.1 Cover

The thesis shall be bound within boards in black buckram. The binding shall be of a fixed kind in which leaves are permanently secured. The boards shall have sufficient rigidity to support the weight of the work when standing upon a shelf.

6.1.2 Spine Title

The spine of the work shall be lettered in gold in at least 24 pt (8 mm) type to show:-

- (i) The title of the degree (MSc, PhD, etc) on the head of the spine.
- (ii) The candidate's name (initials followed by surname) reading from the bottom to the top of the spine.
- (iii) The year of submission at the foot of the spine.
- (iv) The number of each volume, eg. Vol 1, across the spine above the year of submission where the work consists of more than one volume.

[When on a library shelf, the degree title should read horizontally at the top of the spine, the Volume number (if appropriate) and the year of submission should read horizontally at the bottom of the spine and the name should read vertically from the bottom of the spine to the top and be placed centrally on the spine.]

6.1.3 Front Cover

Although not a requirement, if the title of the thesis and/or the candidate's name appears on the front cover, the lettering must be gold in at least 24-point (8 mm) type, similar to that on the spine.

6.2 Temporary Binding

The regulations specify that in this binding the pages ought to be held together by adhesive on the spine and that the pages ought not to have any stitching or holes punched in them. Students must use the adhesive method of binding. In Temporary Binding form there is no requirement for lettering on the cover. Doubled-sided printing may be used for theses with temporary binding, provided that the paper is sufficiently opaque to prevent show-through.

Please note that the Student Service Centre will be unable to accept your thesis if the adhesive method of binding has not been used.