

## Guidelines on Submission and Format of Thesis

The following guidelines govern the submission and format of a Postgraduate Research Student thesis including those for the Degrees of Doctor of Letters, Doctor of Science, and Doctor of Engineering.

The Academic Regulations are available at: <https://www.hw.ac.uk/documents/Regulations-2022-23.pdf>  
These provide additional information concerning the sections below.

### 1. Appointment of Examiners and Approval of Thesis Title

Nominations for External and Internal Examiners are approved by the Research Degrees Committee, on behalf of Senate, in accordance with the Academic Regulations.

The Submission of Thesis Title and Recommendation for Appointment of Examiner process should be completed, **no later than one month before the submission of the thesis**. As part of this process, all external examiners will be asked to indicate their qualifications and experience as well as confirming that there would be no perceived conflict of interest with their appointment. Submission of this request, which requires approval by the School's Director of Research (or their nominees) before being sent for approval by the Chair of the Research Degrees Committee, is instigated by the candidate's supervisor.

### 2. Submission of Thesis Prior to Examination

**At least four weeks prior to any viva** that may have been arranged, and **after the appointment of the examiners have been approved**, the following should be submitted to the [Thesis Submission page](#):

- (i) An electronic copy of the Thesis (PDF only, conforming to the approved format). For further information please refer to paragraphs below).
- (ii) [Research Thesis Submission form](#)
- (iii) [Inclusion of Published Works form](#) (Only include if your Thesis contains published works, if so insert into your thesis)
- (iv) [Submission of Thesis Declaration form by Supervisor](#) (to be completed by the Primary Supervisor only)

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, signed by the candidate.

If the thesis has been placed on restricted access in accordance with the Academic Regulations, then this process should have been completed as part of the examiner appointment process. However if not 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 Dean's Administrator ([deansadministrator@hw.ac.uk](mailto:deansadministrator@hw.ac.uk)).

### 3. Submission of Final Thesis

On successful completion of the examination, the candidate will submit their final version of their thesis electronically through the [Thesis Submission page](#) along with:

- '[Internal Examiners Declaration Form](#)'. Must be completed and accompany the Thesis in PDF format. This form will have been completed and sent directly to you by your Internal Examiner.
- '[Research Thesis Submission Form](#)'. Must be completed and uploaded along with your Thesis.

Remember to update the form to 'Final' and the date to reflect the most recent submission.

- ['Inclusion of Published Works Form.'](#) Only include if your Thesis contains published works. If required please insert into your Thesis after the acknowledgments page and prior to the contents page.
- The approved Copyright Statement. Must be included at the bottom of the title page.
- Correct month and year on title page.

This electronic copy of the thesis will become the property of the University.

#### **4. Hard copies of Thesis**

A candidate who requires hard copies of the thesis for any purpose should arrange directly for these to be printed.

#### **5. Format of the Thesis**

##### **5.1 Language**

The Thesis must be written English unless the Research Degrees 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 shall not normally exceed 80,000 words and shall not normally exceed 400 pages in length including Appendices, with a limit of no more than 100,000 words. In exceptional circumstances, the Research Degrees Committee will consider requests for thesis exceeding 100,000 on a case by case basis. The number of pages of a thesis exceeding 80,000 words in length shall be increased on a pro rata basis in accordance with the word limit. 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 below).

###### **5.3.2 *Paper***

International A4 size format must be used.

###### **5.3.3 *Layout***

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 below), including all pages whether textual or otherwise, and finishing at the final page of the index. 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 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 School in which the research was conducted.
- (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 the Academic Regulations the thesis must contain an abstract preferably not exceeding 200 words, and should precede the thesis. The abstract should appear on its own, on a single page. 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.

#### **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 Inclusion of Published works form**

Where required, this form should be placed after the Acknowledgements and included within your copy of the thesis.

#### **5.5.6 Table of Contents**

The table of contents should follow immediately either the Acknowledgements page (or Inclusion of Published Works 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: <https://www.hw.ac.uk/students/studies/examinations/thesis.htm>

### 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 below). For foot note identification, superscripts are recommended. Identifications of references, foot notes 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 where ever 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 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.

#### **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.

### **5.8 Maps, Illustrations, Computer Printouts, Published Papers**

#### **5.8.1 Diagrams, Maps etc**

Whenever practicable diagrams, maps, illustrations, computer printouts, published papers and tables should, if possible, be included within the thesis near the appropriate text.

### **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 included within 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 (2018)

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 (2018) in the text, with (1998a) etc used to avoid ambiguity. An example style in the reference listing is:

Jones D.G., 2018, 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 electronic copy of the thesis for examination, 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.

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

## **6. Thesis Being Submitted Including One or More Publication**

This is guidance for students who are completing a standard PGR programme but would like the option of including papers as part of their thesis. This is different from students who are enrolled specifically to submit a Thesis by Publication, there are different guidelines to follow for these students.

The thesis shall form a substantial contribution to the knowledge of the subject and afford evidence of originality, shown either by the discovery of new facts or by the exercise of independent critical power. The candidate may **in part or in whole** use evidence of published outputs within the body of the thesis; in such a case the following conditions apply:

- Published research used within the thesis shall be peer reviewed and either published or accepted for publication in the public domain. It should present the results of original research and scholarship.
- Where evidence of publications is used, these must be either published or accepted for publication usually within 3 and a half years (full time equivalent) from the commencement of the postgraduate Student's research programme. Where a paper is accepted for publication then evidence of this must be provided.
- In addition to the body of published work a candidate shall submit a critical review of the published research which shall be in the range of 2000-5000 words per publication. The critical review for each publication shall:
  - include a summary of the aims, objectives, methodology, results and conclusions of the submitted work;
  - indicate how the publication forms a coherent part of the submitted body of work as a whole;
  - demonstrate the candidate's significant contribution to the expansion of knowledge of the subject and afford evidence of originality, shown either by the discovery of new facts or by the exercise of independent critical power.
- The critical review shall be the candidate's own account of their contribution to the research and shall be accompanied by a declaration to this effect signed by the candidate. Where the work was done in conjunction with other persons, the candidate must clearly demonstrate in their critical review where they have made a substantial contribution to the published work and sign a separate statement indicating the contribution of each author.

- The thesis must also contain a final coherent critical review, discussion and conclusion relating to the overall work combining and linking together the contributions of published and, if appropriate, unpublished work.
- The published work included in the thesis and the thesis itself shall be written and published in English except that in language subjects it may, at the discretion of the Senate, be in the language concerned. The literary presentation shall be satisfactory,
- Where necessary, the candidate must ensure that permissions for the use of prior published work within the thesis is obtained.
- There is no limit to the number of papers that can be used, as long as these papers illustrate the substantial, original contribution that you have made. As a result, the length of a thesis written in this way can vary, but please note that a standard PhD thesis would not normally exceed 80,000 words.