



THE UNIVERSITY  
OF THE  
WEST INDIES

# THESIS GUIDE



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THE UNIVERSITY OF THE WEST INDIES

BOARD FOR  
GRADUATE STUDIES AND RESEARCH

# THESIS GUIDE

A GUIDE FOR THE PREPARATION OF  
THESES, RESEARCH PAPERS/PROJECTS AND  
CASEBOOKS

It is the responsibility of the candidate to know the *University Regulations for Graduate Diplomas and Degrees (2014)* and Faculty Regulations.

*WITH EFFECT FROM September 2015*

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# 1. INTRODUCTION

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This Guide is intended as a supplement to the *University Regulations for Graduate Diplomas and Degrees (2014)*. Candidates should also consult their departments for specific Faculty requirements.

Candidates are advised to acquaint themselves with the recommendations of this Guide in the early stages of preparation, even though some of the recommendations apply only to the final stages. The Guide is also provided for the information of supervisors whose responsibilities include ensuring that candidates follow its recommendations.

A thesis which does not follow the approved format will not be accepted and the degree will not be conferred until an acceptable standard has been met.

## **NOTE:**

This *Thesis Guide*, with due alteration to details as approved by the Board for Graduate Studies and Research, shall apply to research papers.

The term 'research paper' also refers to research projects, casebooks and clinical research projects.

## 2. GENERAL INFORMATION

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### 2.1 THESIS PREPARATION

The thesis must be written in English, but the Board for Graduate Studies and Research may, in special circumstances, on application from candidates in the foreign languages department of the Campus (however titled), and on the favourable recommendation of the Faculty Sub-Committee for Graduate Studies and Research, give permission for theses to be written in a language other than English. Candidates must be consistent throughout the thesis in use of the English spelling style adopted, e.g., UK, US.

The greater portion of the work submitted for examination must have been done subsequent to the initial registration of the student as a candidate for the degree.

The thesis must form a distinct 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 thinking. It must be of satisfactory literary standard and must be suitable for publication as a thesis of The University of the West Indies.

The thesis must consist of the candidate's account of his/her own research. It may describe work done in conjunction with his/her supervisor provided that the candidate clearly states his/her personal share in the investigation and that his/her statement is certified by the supervisor.

A paper written or published in the joint names of two or more persons, one of whom is the candidate, may be included as a part of a thesis provided that the role that the candidate played in the work described in the paper, and the contribution of the other authors are clearly explained. No thesis shall consist wholly of previously published work.

The candidate may indicate in a preface how far the thesis embodies the result of his/her own research or observation, and in what respect his/her investigations appear to advance the study of his/her subject. (See also **UWI's Policy and Procedure on Research Ethics**).



A candidate will not be permitted to submit a thesis consisting wholly of work for which a degree has been conferred on him/her in this or any other University; but a candidate shall not be precluded from incorporating work which he/she has already submitted for a degree in this or any other University in a thesis covering a wider field, provided that he/she shall indicate in the preface to his/her thesis any work done which has been so incorporated.

Theses contribute to the body of scholarly works, are useful to other researchers, and the general population, and so the formatting and aesthetics of this document are important in communicating its significance. The candidate should therefore ensure that the information contained in his/her work is free from plagiarism (see UWI's Policy on Graduate Student Plagiarism), devoid of typographical and grammatical errors, and consistent with the formatting specified in this Guide. It must also be durable for posterity, therefore, the quality of paper and ink used must be of good quality.

Close attention should be paid by the candidate to the following criteria:

- a) the text and all illustrative material should be clear and error free;
- b) margins on each page should be as specified in this Guide.

In preparing theses, candidates are strongly advised against using another candidate's thesis as a model. Note that the respective Style Manuals which address referencing styles are updated periodically and candidates must meet current specifications. **Appendix I** refers.

In instances where the relevant Style Manual differs from the instructions provided in this Guide, the Guide takes precedence.

It is the candidate's responsibility to prepare and assemble all materials for the thesis, and to have the pages of the thesis in correct order.

## **2.2 TECHNICAL ADVICE**

The Librarians of the Campus Libraries are available for advice on the technical requirements of the thesis (layout, arrangement of works, etc.) at any stage in the production of the thesis. They can also assist in locating the requisite scholarly information and will advise on the appropriate Style Manual and how to credit sources to avoid plagiarism.

Guidance is also provided on the use of electronic reference management software (e.g., EndNote). Librarians are available for one-on-one or group project consultations, as well as large/small group workshops. These can be arranged through the relevant Campus Library or via the respective course coordinators.

### **2.3 PAPER**

The thesis must be printed on one side only of good quality white bond paper (usually of 75 g/m<sup>2</sup> or 20 lb weight) of standard letter-size (216 × 279 millimetres/8.5 × 11 inches) or international A4 size (210 × 297 millimetres /8.3 × 11.7 inches). The same grade of paper must be used throughout the thesis.

### **2.4 PRODUCTION SPECIFICATIONS**

Theses must be produced using a computer and printed with a high quality printer (at least 300 dpi).

An easy to read standard serif font of 11 or 12 point should be used consistently throughout the thesis. Font colour must be black throughout the document, except for figures/tables where colour is used for differentiation or clarity.

A reduced font may be used in footnotes or other material outside of the main text. However, the font size used should not be smaller than 9 point and must be legible. Font size must not be reduced, however, for entries in the Table of Contents.

All major headings such as Abstract, Acknowledgements, Table of Contents, List of Figures, etc., should all be in bold, centred capital letters. Subheadings should be in sentence case or title case (i.e., the first letter of major words capitalised, except for articles, prepositions and conjunctions). The format of each level of heading should be consistent throughout the thesis. No running headers or footers should be included.

### **2.5 CORRECTION OF ERRORS**

The thesis must be free of typographical errors. Corrections made in ink or with correction fluid are not acceptable. Deletions must not be made by crossing out or striking out letters or words. The typed line must be

continuous; therefore, additional words or phrases must **not** be typed between lines or inserted by hand.

Pages which are obviously inserted pages are not acceptable. The surrounding pages should be re-printed to incorporate the additional material.

## **2.6 ILLUSTRATIVE MATERIAL**

Photographs or any other illustrative material should, where possible, be electronically incorporated into the thesis.

In instances where such illustrative material **cannot** be electronically incorporated into the thesis, the illustration should be printed or placed on a single weight photographic paper or be dry-mounted and accurately fixed on the same type of paper used to produce the thesis. The material should then be affixed using a pressure applied adhesive (such as mounted squares). Items should **not** be mounted with staples, cellophane tape, rubber cement, glue, or photo covers as deterioration of the paper may result.

## **2.7 OVERSIZED MATERIAL**

Oversized material such as graphics, maps, charts, etc., necessary to the exposition of the thesis can often be reduced in size photographically to fit the standard thesis page, or appear as a foldout.

A foldout is a page where the left side is bound into the thesis but the right side can be unfolded in one or more panels, extending, when read, beyond the right side of other thesis pages. The foldout should be carefully folded so that no folds fall outside the thesis margins and the page number is visible. The page numbers of the foldouts should be placed to align with the page numbers of the other pages of the thesis.

Alternatively: (a) such materials should accompany the bound copy of the thesis in a pocket affixed to the inside back cover or (b) these attachments may be submitted on electronic media such as a read-only compact disc (CD) or digital video disc (DVD). Materials and attachments are to be paged as advised. *Section 3.3 b* refers.

## 2.8 LENGTH OF THESIS

A thesis submitted for examination shall be clearly and concisely written and be within the length approved by the Board for Graduate Studies and Research for the Faculty in which the candidate is registered. The candidate must indicate the approximate number of words contained in the thesis on the accompanying *Certificate of Completion form (SGSR-12)*. A candidate wishing to exceed the prescribed limit must apply for permission to the Campus Committee for Graduate Studies and Research through his/her supervisor. This request must be supported by an explanation of the need for an extension to the word limit and a statement from the student's supervisor.

The approved maximum lengths of theses/research papers are as follows:

### FACULTY OF ENGINEERING

|                   |                            |   |
|-------------------|----------------------------|---|
| <b>PG Diploma</b> | Not to exceed 15,000 words | <b>excluding references, appendices, tables and figures</b> |
| <b>MSc</b>        | not to exceed 20,000 words |   |
| <b>MPhil</b>      | not to exceed 50,000 words |   |
| <b>PhD</b>        | not to exceed 80,000 words |   |

### FACULTY OF FOOD AND AGRICULTURE

|              |                            |   |
|--------------|----------------------------|---|
| <b>MSc</b>   | not to exceed 20,000 words | <b>excluding references, appendices, tables and figures</b> |
| <b>MPhil</b> | not to exceed 50,000 words |   |
| <b>PhD</b>   | not to exceed 80,000 words |   |

### FACULTY OF HUMANITIES AND EDUCATION

#### *Humanities*

|              |                            |   |
|--------------|----------------------------|---|
| <b>MA</b>    | not to exceed 20,000 words | <b>excluding footnotes, endnotes and appendices</b> |
| <b>MPhil</b> | not to exceed 50,000 words |   |
| <b>PhD</b>   | not to exceed 80,000 words |   |

#### *Education*

|              |                            |   |
|--------------|----------------------------|---|
| <b>MEd</b>   | not to exceed 18,000 words | <b>excluding footnotes, endnotes and appendices</b> |
| <b>MPhil</b> | not to exceed 50,000 words |   |
| <b>PhD</b>   | not to exceed 80,000 words |   |

## *FACULTY OF LAW*

|              |                            |   |
|--------------|----------------------------|---|
| <b>LLM</b>   | not to exceed 12,000 words | <b>excluding bibliography, footnotes, endnotes and appendices</b> |
| <b>MPhil</b> | not to exceed 50,000 words |   |
| <b>PhD</b>   | not to exceed 80,000 words |   |

## *FACULTY OF MEDICAL SCIENCES*

|                                      |   |   |
|--------------------------------------|---|---|
| <b>DM Clinical Research Projects</b> | not to exceed 20,000 words<br>not less than 8,000 words | <b>excluding references, appendices, tables and figures</b> |
| <b>MPhil</b>                         | not to exceed 50,000 words                              |   |
| <b>PhD</b>                           | not to exceed 80,000 words                              |   |

## *FACULTY OF SCIENCE AND TECHNOLOGY*

|              |                            |   |
|--------------|----------------------------|---|
| <b>MSc</b>   | not to exceed 15,000 words | <b>excluding references, appendices, tables and figures</b> |
| <b>MPhil</b> | not to exceed 50,000 words |   |
| <b>PhD</b>   | not to exceed 80,000 words |   |

## *FACULTY OF SOCIAL SCIENCES*

|              |                            |   |
|--------------|----------------------------|---|
| <b>MSc</b>   | not to exceed 20,000 words | <b>excluding appendices and footnotes</b> |
| <b>MPhil</b> | not to exceed 50,000 words |   |
| <b>PhD</b>   | not to exceed 80,000 words |   |

**Note that for all Faculties, appendices should not exceed 20% of the thesis.**

## *ALL FACULTIES – PROFESSIONAL DOCTORATE THESES*

Candidates reading for Professional Doctorates must be guided by the relevant programme regulations in preparing their theses.

## 3. ARRANGEMENT OF WORKS – TRADITIONAL THESES

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The sequence for the arrangement of the thesis is:

### 3.1. PRELIMINARY PAGES

- a. Title Page
- b. Thesis/Dissertation/Research/Project Deposit Licence Agreement
- c. Abstract
- d. Acknowledgements (if any)
- e. Dedication (if any)
- f. Table of Contents including Appendices
- g. Table of Cases (if any)
- h. Table of Statutes (if any)
- i. Table of Constitutional Instruments (if any)
- j. List of Figures followed by List of Tables, List of Illustrations, etc. (with pagination)
- k. Glossary
- l. List of Abbreviations/Acronyms including meanings (if any)
- m. PREFACE (if any)

### 3.2. TEXT OF THESIS

### 3.3. END PAGES

- a. Bibliography/References/Works Cited/Works Consulted
- b. Appendices (if any)

Notes and formatting related to each of these items follow.

### 3.1 PRELIMINARY PAGES

The list of preliminary pages above is not exhaustive and other items required by the Board for Graduate Studies and Research may be added from time to time. Each heading should appear on a new page.

Formatting preliminary pages:

#### i. Pagination

The Title Page and Declaration Form are not to be counted in the pagination of the preliminary pages. Page numbering, in lower case Roman numerals, begins from the Abstract.

Do not number pages with “a” or “b”; embellish page numbers with dashes, hyphens, etc.; type the word “page” before the number; or use running headers.

All page numbers must be consistently placed in the exact location at the top right corner of the page. An approximation of 19 millimetres (3/4 inch) down and 19 millimetres (3/4 inch) inwards is adequate. Alternatively, the word processing default setting is sufficient. The font used for pagination must be consistent with that of the text.

#### ii. Margins

All preliminary pages should have a left margin of 50 millimetres (2 inches) to allow for loss during binding. Top, bottom and right margins should be 25 millimetres (1 inch).

#### iii. Spacing

Preliminary pages should be single spaced except the Preface (if any) and the Table of Contents, both of which should have one-and-a-half line spacing.

#### a. Title Page

The Title Page shall bear the officially approved title of the work, the name of the University, the degree for which the thesis is submitted, the full name of the candidate as officially registered and the year when the work was submitted for examination. **Appendices II and III refer. Note that in the final submission for the bound copy/e-copy, the year would be that of the conferral of the degree.**

Special attention is to be paid to:

- i. **Title:** The title should be placed in bold, capital letters, single spaced and centred at the top of the page. No punctuation should be placed at the end of the title. Words should be substituted in place of symbols, formulae, subscripts, superscripts, Greek or other letters and non-alphabetical symbols used in the thesis.
- ii. **Author's Name:** No academic degrees, official titles, or student identification number should be appended to the author's name.
- iii. **Department Information:** This section is completed in accordance with the University Regulations with the name of the Campus at which the candidate is registered clearly stated.

**b. Thesis/Dissertation/Research/Project Deposit Licence Agreement**

This form is to be completed and added to the final version of the thesis at the end of the process.

**c. Abstract**

The heading "ABSTRACT" is to be placed in bold, capital letters at the top of the page. This is to be centred and in the same font size as that used throughout the thesis.

The title of the work (exactly as on the Title Page) follows one or more lines below. The candidate's name (exactly as on the Title Page) is placed a few lines below the title (see **Appendix IV**). The title of the work and the candidate's name should be typed in title case (the first letter of major words capitalised, except for articles, prepositions and conjunctions, etc.).

The Abstract of the work follows. This is not to include internal headings, in-text citations, diagrams, or other illustrations and must be no more than **300** words.

A separate line starting with "Keywords" should be placed after the Abstract. To facilitate retrieval of information, candidates should select appropriate keywords which best describe the subject of the thesis. Candidates are advised that keywords



should not be too general or too specific to hinder the retrieval process. The word “Keywords” should be followed by a colon (:) with each keyword being followed by a semicolon (;). Only alternative versions of the candidate’s name (e.g., Shamin Renwick) should be included in the keywords, e.g., Shamin Ali-Renwick, Shamin Ali. The last keyword should be followed by a full stop. **Appendix IV** refers.

**d. Acknowledgements (if any)**

The Acknowledgements page is a single-page record of the candidate’s indebtedness to institutions and/or persons who have assisted in his/her research. The candidate must be specific in identifying sources of funding and must include acknowledgements of permission to use copyrighted material which appears in the thesis. Note that the inclusion of an Acknowledgements page does not preclude source notes showing relevant citations elsewhere.

**e. Dedication (if any)**

A Dedication (page) is permissible.

**f. Table of Contents**

The Table of Contents is a topic outline of the thesis used to guide users to the contents of the thesis. It should include first level headings or second and third level headings where necessary. There is no index in a thesis; therefore, the Table of Contents should be fairly detailed in order to be useful.

The Table of Contents should include the Abstract, Acknowledgements, List of Figures, List of Tables, etc. The words “Table of Contents” should not be repeated in the listing.

**g. Table of Cases (if any)**

**h. Table of Statutes (if any)**

**i. Table of Constitutional Instruments (if any)**

**j. List of Figures/Tables/Illustrations, etc.**

Figures and Tables should be listed by number, title and page number in the thesis. Tables should be numbered separately from Figures (Table 1, Table 2, etc.). Double numeration by chapter can be used, e.g. Table 1.1, 1.2... 2.1, 2.2, etc.

The titles of Tables and Figures should correspond exactly to the titles which appear in the text. Citations should not form part of the title.

Unless otherwise stated in the relevant Style Manual, Arabic numbers should be used in two separate sequences for the identification of the Figures and Tables.

**k. *Glossary (if any)***

The Glossary is an alphabetical list of important terms in the text, with explanations and definitions.

**l. *List of Abbreviations/Acronyms (if any)***

Candidates are advised that there is a distinction between abbreviations and acronyms, which should be applied accordingly.

**m. *Preface (if any)***

An option is provided for candidates to include a personal statement about the purpose and scope of the thesis. This inclusion does not preclude the "Introduction". The tone of the Preface must be academic and at an appropriate scholarly level.

## **3.2 TEXT OF THESIS**

**a. *Format***

Each chapter of the thesis must begin on a new page. This includes the Bibliography / References / Works Cited / Works Consulted, etc. as well.

Display pages (pages showing only the chapter number and title at the beginning of the chapter) are not needed, save in the instance of a manuscript-based thesis.

*Widows and Orphans* (short single lines of a paragraph or a heading carried over to the top or bottom of a page, respectively) should be avoided.

**b. *Spacing***

One-and-a-half line spacing must be used. Candidates should be guided by the relevant Style Manual with respect to spacing in quotations; subsections of the Table of Contents; items longer than one line in the List of Tables, Figures, Abbreviations, etc.; chapter titles and subheadings; footnotes; bibliographic items; and appendix items.

With respect to line spacing in Tables, Figures, etc., the candidate has some flexibility but must be guided primarily by the reader's expectation of clear and legible representation.

**c. *Margins***

The top, bottom and right margins should not be less than 25 millimetres (1 inch) in width, and the left margin should be 50 millimetres (2 inches) in width to allow for loss in binding.

**d. *Equations and Formulae***

Equations and formulae must be printed and no handwritten insertions are to be made at final submission. A menu of symbols is available in word processing applications and a sample page can be submitted to the Library for approval, if desired.

**e. *Alignment***

Candidates should use left or fully justified alignment in the preparation of their theses and must maintain consistency in this application.

**f. *Pagination***

The pages of the text must be numbered in a new sequence of Arabic numerals beginning at page 1 and incorporating the Appendices. The numbering must be consecutive throughout the thesis.

Do not number pages with "a" or "b"; embellish page numbers with dashes, hyphens, etc.; type the word "page" before the number or use running headers.

All page numbers must be consistently placed in the exact location at the top right corner of the page. An approximation of 19 millimetres (3/4 inch) down and 19 millimetres (3/4 inch) inwards is adequate. Alternatively, the word processing default setting is sufficient.

Where the orientation of a page has changed, from portrait to landscape, the location of the page number remains the same as if the page were to be read vertically.

**g. *Quotations***

Unless otherwise stated in the recommended Style Manual appropriate to the discipline, quotations of more than two lines should be set off from the text in single spacing and indented at least five spaces from the left margin.

**h. *Footnotes and Endnotes***

Unless otherwise stated in the recommended Style Manual appropriate to the discipline, both footnotes and endnotes are acceptable.

The Style Manual advises on the preparation and arrangement of footnotes and endnotes, the form and style of which must be maintained throughout the thesis.

**i. *Figures, Tables, Illustrations, etc.***

A Figure or a Table should appear in the text closely following the point where it is first discussed, usually no further than the page following.

Unless otherwise stated in the recommended Style Manual appropriate to the discipline, the titles for Tables should be placed at the top of the table aligned to the left. A colon or full stop may be used to separate the word "Table" from its title. This must be followed consistently throughout the thesis.

The titles for Figures and Illustrations should be placed below and aligned to the left. A colon or full stop may be used to separate

the word “Figure”/“Illustration” from its title and must be used consistently throughout the thesis.

If Tables, Figures, etc., are not original then the source must be given. See relevant Style Manual for guidance (see **Appendix 1**). Full stops should not be placed after headings/titles or the statement indicating the source.

### **3.3 END PAGES**

#### **a. Bibliography/References/Works Cited/Works Consulted**

The headings for this segment should follow the titles given in the Style Manual selected.

A fundamental rule of good scholarship is that the basic research is reliable, accurate, and that credit is given to all sources used in the preparation of the work. Sufficient information must be included in each citation to allow a reader to locate the sources used.

All references, whether they are listed in footnotes, endnotes or bibliographies, must conform to certain stylistic requirements. Although the sciences and humanities differ in matters of form, the fundamental principles that govern referencing procedures are the same.

A list of the style manuals recommended by each Faculty/Department is given in **Appendix I**.

All reference lists are placed at the end of the thesis before the appendices, except in the case of manuscript-based theses where they are placed after each chapter. Note that when a manuscript-based thesis is presented, the style used for the reference lists must be consistent throughout the thesis.

The reference list is done in alphabetic sequence except for numerical styles.

#### **b. Appendices**

Appendices contain research material which is pertinent to the thesis, but which is not essential to an understanding of the work

done by the candidate. Appendices should not exceed 20% of the thesis.

Pagination for the Appendices should continue the sequence of Arabic numerals used for the text of the thesis. If appendices transcribe pages from other documents, this must be so indicated, by means of a footnote on the first page of the relevant appendix, where full bibliographic descriptions of the original sources should be given.

When two or more appendices are required, they should be designated Appendix A, Appendix B, etc. Tables and Figures in appendices should be numbered Table A.1, A.2... B.1, B.2 or Figure A.1, A.2... B.1, B.2, etc. in accordance with the related Appendix.

A separate sequence of numbering in lower case Roman numerals should be given to loose material such as plates, maps, diagrams, tables and electronic media that will be placed in the end pockets of bound volumes, or which will be bound separately from the typed script. All loose material should bear the candidate's surname, initials, degree and year of submission, e.g., Doe, J. S., PhD, 2015. These should be reflected in the Table of Contents.

If a large amount of supporting data is to be submitted along with, or as part of the thesis, the relevant Campus Library should be alerted early in the process to develop the necessary data management plan.

## 4. ARRANGEMENT OF WORKS – MANUSCRIPT-BASED THESES

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A candidate may submit a manuscript-based thesis as an alternative to the traditional thesis format.

A manuscript-based thesis consists of a collection of papers integrated into a cohesive unit such that the thesis remains a report of a single programme of research. The papers need not have been submitted to any journal; they can include conference presentations, which have been published, accepted, submitted or prepared for publication. To facilitate this, the thesis must include brief connecting texts before and after each manuscript/chapter, demonstrating the linkage between manuscripts. This connecting text should be part of the last paragraph of a chapter and introduction to the next chapter.

The manuscripts, and hence the thesis as a whole, must conform to this Guide with respect to line spacing, margins, font size, tables, figures, etc., and the manuscripts must be bound together in the traditional manner to form one physical thesis.

The preliminary pages and formatting guides are the same as for a traditional thesis.

The manuscript-based thesis must include the following:

- Preliminary Pages (*Section 3.1* refers). [The Abstract here should be a general abstract covering the entire thesis.]
- A general Introduction which places the research in the appropriate literature context, provides the rationale and objectives of the research, and thereby demonstrates the linkages among manuscripts/chapters. References must be included at the end of the Introduction.
- The individual manuscripts/chapters (each with its own Abstract, Keywords, Introduction, Methods, Results, Discussion, References).

- An overall Synthesis and Summary (including References).
- An overall list of references (Bibliography / References / Works Cited / Works Consulted)
- Appendices.

The thesis must also have a Display Page (showing the chapter number and title, in bold, capitals letters centred at the top of the page) at the beginning of each chapter. This is to be paginated and included in the Table of Contents. On the Display Page the candidate should include notes about previous or forthcoming publications of the particular chapter.

The headings for the references at the end of chapters should be formatted as subheadings and the heading for the overall list of References should be treated as a major heading starting on a new page.

When co-authored manuscripts are included in a thesis, the candidate must be the primary author, i.e., the author who has made the most substantial contribution to the work in the manuscript. The candidate must make an explicit statement in the thesis about the role he/she played in the work described in each manuscript, and the contribution of the other authors. This statement should appear in a single section entitled "Contributions of Authors" as a sub-section in the Preface to the thesis. The supervisor(s) must confirm the accuracy of this statement at the PhD oral defence, or by a written statement at the time of submission in the case of a Master's thesis.

When published copyrighted material is presented in a thesis, the candidate must obtain signed waivers from the publishers and submit these to the Office of Graduate Studies and Research at the time of thesis submission. The candidate must also submit signed waivers from any co-authors of unpublished manuscripts.



## 5. PROCEDURES FOR SUBMISSION

---

At least three (3) months before the thesis is ready for submission for examination, the candidate is required to formally apply for entry to the examination on a specified form and to pay the required examination fee.

The formal submission of the thesis for examination is made by the candidate to the Office of Graduate Studies and Research. The submitted document must be accompanied by the *Certificate of Completion Form* from the candidate's supervisor indicating that the thesis is presented in a technically acceptable form.

Candidates are expected to refer to and be guided by the University Regulations on Plagiarism. Regulation 1.83 in the *University Regulations for Graduate Diplomas and Degrees (2014)* refers.

Four (4) soft bound copies of the thesis along with one electronic copy on a CD/DVD (in edit-enabled format/Microsoft Word format and certified by the supervisor), are to be submitted for examination.

The candidate, the supervisor, department and faculty have a shared responsibility to ensure that the quality of the thesis is acceptable. As theses are contributions to knowledge and are open to public scrutiny, sound academic standards must be adhered to in their preparation and presentation.

If in the opinion of the supervisor, the thesis is not ready for submission, he/she shall advise the candidate accordingly. In such cases the supervisor shall advise the Campus Registrar in writing that the thesis has been submitted against his/her advice and that he/she has advised the candidate accordingly.

The sequence of events in the routing of a thesis is given in *Appendix V*.

*All forms referred to herein are found on the website of the Office of Graduate Studies and Research of the relevant Campus.*

## 6. PUBLICATION OF THESIS

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### 6.1 RESTRICTION

The University has determined that there should be no restriction on the availability of a thesis to those who may wish to consult it.

However, in exceptional cases, the author of the thesis, in consultation with the supervisor(s) of the thesis and with the approval of the Senate, shall have the sole right to determine distribution of copies of his/her work for three years from the date of acceptance of the thesis. The author may also ask the Senate to withhold the thesis and abstract from access while a patent is sought, or for other good cause.

Candidates should refer to Regulation 1.39 of the *University Regulations for Graduate Diplomas and Degrees (2014)* for further guidance.

### 6.2 BINDING OF THESIS

When the award of the degree has been approved by the Board for Graduate Studies and Research, the candidate is required to submit to the Office of Graduate Studies and Research, for deposit in the Campus Library, one **unbound** final post-examination corrected copy of the thesis presented in a form acceptable in all particulars and which conforms to the Regulations. The candidate must also submit a signed Declaration Form with the unbound thesis.

The candidate is also required to submit one certified digital final post-examination corrected copy of the thesis in Portable Document Format (PDF) in one file. The file name must include the candidate's name, UWI student identification number, type of thesis and subject area, e.g. HIGGINS, HENRY 8000000000 PhD Thesis Geography. The CD/DVD must be clearly labelled enclosed in a labelled jewel case. Candidates must indicate whether the thesis includes third party information for which they have copyright clearance. The electronic copy should not include a signed declaration form.

It is the responsibility of the (Senior) Assistant Registrar, Graduate Studies and Research, to submit the unbound thesis, the signed declaration form and a certified digital copy of the thesis to the Campus

Library. The responsibility for binding the thesis rests with the Campus Library.

The format for the labelling of the CD/DVD provided by the candidate is given in ***Appendix VI***.

***September 2015***

# 7. APPENDICES

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## APPENDIX I: Recommended Style Manuals

Note:

1. *The prior approval of the Campus Committee for Graduate Studies and Research is required for the use of any other Style Manual.*
2. *Unless otherwise specifically stated the latest available edition of the relevant Style Manual must be used.*

| FACULTY                  | RECOMMENDED STYLE MANUAL(S)   |
|--------------------------|---|
| Engineering              | The Chicago Manual of Style. Chicago: University of Chicago Press. (Author-Date Format)   |
| Food and Agriculture     | The Chicago Manual of Style. Chicago: University of Chicago Press. (Author-Date Format)   |
| Humanities and Education | <b>Humanities</b><br>(a) MLA Handbook for Writers of Research Papers. New York: Modern Language Association.<br>(b) A Manual for Writers of Term Papers, Theses, and Dissertations, Kate L. Turabian. Chicago: University of Chicago Press.<br>(c) Publication Manual of the American Psychological Association. Washington, DC: APA.<br>(d) The Chicago Manual of Style. Chicago: University of Chicago Press. (Notes-Bibliography Format)<br><br><b>Education</b><br>Publication Manual of the American Psychological Association. Washington, DC: APA. |

| FACULTY                       | RECOMMENDED STYLE MANUAL(S)  |
|-------------------------------|--|
| <b>Law</b>                    | <ul style="list-style-type: none"> <li>(a) The Chicago Manual of Style. Chicago: University of Chicago Press. (Author-Date Format)</li> <li>(b) The Bluebook: A Uniform System of Citation, Cambridge, MA: Harvard Law Review Association.</li> <li>(c) OSCOLA: Oxford University Standard for Citation of Legal Authorities. Oxford: Faculty of Law, University of Oxford.</li> </ul>   |
| <b>Medical Sciences</b>       | <ul style="list-style-type: none"> <li>(a) Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals International Committee of Medical Journal Editors.</li> <li>(b) Publication Manual of the American Psychological Association. Washington, DC: APA.</li> <li>(c) The New Oxford Dictionary for Scientific Writers and Editors. Oxford: Oxford University Press.</li> </ul>            |
| <b>Science and Technology</b> | <ul style="list-style-type: none"> <li>(a) The Chicago Manual of Style. Chicago: University of Chicago Press. (Author-Date Format)</li> <li>(b) The ACS Style Guide: Effective Communication of Scientific Information. Washington, DC: American Chemical Society.</li> <li>(c) AIP Style Manual for Physicists. New York: American Institute of Physics.</li> <li>(d) Royal Chemistry Society (RCS) Journal Style of Citation.</li> </ul> |
| <b>Social Sciences</b>        | <p>The Chicago Manual of Style. Chicago: University of Chicago Press. (Author-Date Format)</p>   |

**APPENDIX II: (i) Format of Title Page for MPhil & PhD Theses**

**TITLE OF THESIS<sup>1</sup>**

*(at Top of Page, All Capitals & in Bold)*

*(In Centre of Page)*

A Thesis  
Submitted in Fulfilment of the Requirements for the Degree of  
(Specify Name of Degree, e.g.,  
Doctor of Philosophy in Agriculture)

of  
The University of the West Indies

*(At Bottom of Page)*

by  
Author's Name in Full<sup>2</sup>  
Year of Submission<sup>3</sup>

Department of  
Faculty of  
Campus

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<sup>1</sup> As approved by the Board for Graduate Studies and Research

<sup>2</sup> Exactly as it is on file at the Office of Graduate Studies and Research

<sup>3</sup> This is to be updated to the Year of Conferral on final submission of the thesis.

**APPENDIX II: (ii) Specimen Title Page for MPhil & PhD Theses**

**A NEW PRECIPITATION-RUNOFF MODEL FOR THE CARONI RIVER  
BASIN, TRINIDAD, WEST INDIES**

A Thesis  
Submitted in Fulfilment of the Requirement for the Degree of  
Doctor of Philosophy in Geography

of  
The University of the West Indies

by  
Henry Higgins  
2015

Department of Geography  
Faculty of Food and Agriculture  
St Augustine Campus

**APPENDIX III: (i) Format of Title Page for Taught Masters  
Research Papers/Projects/Casebooks, etc.**

TITLE OF RESEARCH PAPER/PROJECT REPORT, etc.<sup>4</sup>

*(At Top of Page, All Capitals & in Bold)*

*(In Centre of Page)*

A Research Paper/Project Report, etc.

Submitted in Partial Fulfilment of the Requirements for the Degree of  
(Specify Name of Degree, e.g. Master of Science in Economics)

of  
The University of the West Indies

*(At Bottom of Page)*

Author's Name in Full<sup>5</sup>  
Year of Submission<sup>6</sup>

Department of  
Faculty of  
Campus

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<sup>4</sup> As approved by the Board for Graduate Studies and Research

<sup>5</sup> Exactly as it is on file at the Office of Graduate Studies and Research

<sup>6</sup> This is to be updated to the Year of Conferral on final submission of the research paper.



**APPENDIX III: (ii) Specimen Title Page for Taught Masters  
Research Papers/Projects/Casebooks, etc.**

**PREDICTING HURRICANE STORM SURGE FOR TRINIDAD AND  
TOBAGO, WEST INDIES**

A Thesis

Submitted in Partial Fulfilment of the Requirement for the Degree of  
Master of Science in Coastal Zone Engineering and Management

of

The University of the West Indies

Elizabeth Doolittle  
2015

Department of Civil and Environmental Engineering  
Faculty of Engineering  
St Augustine Campus

## APPENDIX IV: Format for Abstract

### ABSTRACT

A New Precipitation-Runoff Model for the Caroni River Basin, Trinidad, West Indies

Henry Higgins

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Keywords: keyword 1; keyword 2; keyword 3; keyword 4; keyword 5; keyword 6; keyword 7; keyword 8; keyword 9; keyword 10.

## APPENDIX V: Thesis Routing

|  |  |
|--|--|
| CANDIDATE<br>↓                             | The requisite number of soft bound copies of the research paper/thesis and the certified electronic copy submitted to the Office of Graduate Studies and Research (OGSR) by candidate along with Certificate of Completion.  |
| OGSR<br>↓                                  | The thesis is forwarded by the Office of Graduate Studies and Research to:<br><ol style="list-style-type: none"><li>i. Approved Internal and External Examiners with request for submission of report within two (2) months from the date of receipt of thesis/one (1) month from the date of receipt of research paper.</li><li>ii. The Campus Librarian with a request for submission of comments on format etc. within one month.</li></ol> |
| EXAMINERS<br>&<br>CAMPUS<br>LIBRARIAN<br>↓ | Each Examiner submits to the Registrar under confidential cover a written report on the thesis and awaits oral examination (PhD) or, in the case of MPhil, awaits the decision of the Campus Committee for Graduate Studies and Research.<br><br>Campus Librarian submits comments on format etc. with his/her copy of thesis to the Office of Graduate Studies and Research.  |
| OGSR<br>↓                                  | After Oral Examination (PhD)/recommendation of the Campus Committee for Graduate Studies and Research (MPhil), soft bound thesis returned to candidate for minor or major corrections as specified.  |
| CANDIDATE<br>↓                             | Candidate makes corrections proposed by Examiners (PhD) and adjustments proposed by the Librarian and has them certified by Supervisor and Librarian, respectively, and then takes three (3) unbound copies of the thesis with Supervisor's certification of the completed corrections and Librarian's Certificate of Acceptance to the Registrar's Office.  |
| OGSR<br>↓                                  | Registrar sends to the Campus Library the unbound thesis to be bound according to regulations, and the certified digital copy of the thesis.   |
| CAMPUS<br>LIBRARIES                        | Campus Librarian places the bound copy in the Library and uploads the digital copy to UWI's institutional repository.  |

## ***APPENDIX VI: Format and Specimen for Compact Disc (CD) or DVD***

The labelling of the CD or DVD should have the following information:

**Title:**

**Name of Student:**

**Degree:**

**Faculty:**

**Year:**

|                         |  |
|-------------------------|--|
| <b>Title:</b>           | <b>Economic Planning in Universities</b> |
| <b>Name of Student:</b> | <b>James J. Jones</b>                    |
| <b>Degree:</b>          | <b>Doctor of Philosophy in Economics</b> |
| <b>Faculty:</b>         | <b>Social Sciences</b>                   |
| <b>Year:</b>            | <b>1978</b>                              |

Line spacing should be one-and-a-half.

## ***APPENDIX VII: List of Relevant Regulations, Policies and Forms***

### **REGULATIONS**

- UWI Regulations for Graduate Diplomas and Degrees (2014)

### **POLICIES**

- UWI Policy and Procedures on Research Ethics (2011)
- UWI Policy on Graduate Student Plagiarism
- UWI Policy on Intellectual Property
- UWI Guidelines for the Preparation of Manuscript-Based Theses

### **FORMS**

- Application for Examination of Thesis (SGSR-09)
- Application for Examination of Research Paper/Project (SGSR-10)
- Certificate of Completion of Thesis/Research Paper/Project Report/Casebook/Clinical Research Project (SGSR-12)
- Declaration Form for the Reproduction of Thesis/Research Paper/Project (SGSR-13)
- Thesis/Dissertation/Research Paper/Project Deposit Licence Agreement (Deposit/Licence Agreement)

**NOTE: The regulations, policies and forms above are available from the websites of the respective Campus Office of Graduate Studies and Research:**

Cave Hill:

<http://www.cavehill.uwi.edu/gradstudies/current-students/document-library.aspx>

Mona:

<http://www.mona.uwi.edu/postgrad/documents>

St. Augustine:

<http://sta.uwi.edu/admissions/postgrad/downloads.asp>

Open Campus:

<http://www.open.uwi.edu/admissions>

## ***NOTES***

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[WWW.UWI.EDU/GRADSTUDIES](http://WWW.UWI.EDU/GRADSTUDIES)

