

GUIDELINES FOR MANUSCRIPT-BASED THESES

The University of the West Indies
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I. BACKGROUND

1. Theses submitted for research degrees may either be in a traditional format or in the form of a collection of manuscripts ('Manuscript-Based thesis'), as is permitted in many Universities.
2. Although The University of the West Indies Regulations for Graduate Diplomas and Degrees have not explicitly included this format of thesis, the Thesis Guide published by the University has some guidelines for formatting such Manuscript-Based theses.
3. The University of the West Indies, since 2008 has allowed submission of a Manuscript-Based thesis for MPhil, PhD and DBA programmes. **Please note that Manuscript-Based thesis is NOT mandatory. It is only an alternative option and students can continue to choose writing a full thesis in the traditional format for submission to examination.**
4. Although there are many potential advantages for such submissions, the existing guidelines lacked clarity in many areas. The Board of Graduate Studies and Research, during its meeting in October 2019, discussed the shortcomings of the current guidelines and decided to temporarily stop students being admitted for the 2020/2021 Academic Year to MPhil and PhD programmes from submission by Manuscript-Based theses until more adequate guidelines are provided.
5. It also mandated the Directors to formulate clear guidelines so as to allow admission of students in the future for this format of theses.

II. REVISED GUIDELINES

Following are the revised set of Guidelines for Manuscript-Based theses (2020):

In general, for any type of thesis, the Thesis Guide of The UWI mentions the following:

1. 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.
2. 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 power. It must be of a satisfactory academic standard and must be suitable for publication as a thesis of The University of the West Indies.
3. The thesis must consist of the candidate's account of their own research. It may include work done in conjunction with their Supervisor, provided that the candidate clearly states their personal share in the investigation and that their statement is certified by the Supervisor.
4. A paper written or published in the joint names of two or more persons, one of whom is the candidate, may be included as part of the 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.
5. The candidate must 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 him/her to advance the study of his/her subject.

The above guidelines are applicable for Manuscript-Based theses also.

In addition, the Thesis Guide of The University of the West Indies also provides the format for Manuscript-Based theses (see below).

III. REQUIREMENTS FOR MANUSCRIPT-BASED THESES

A. Authorship

1. A thesis at The University of the West Indies may consist essentially of a collection of manuscripts of which the student is the author.
2. The student must be the primary (or first author) that is, the lead author who has made the most substantial contribution for each of the manuscripts included in the thesis.
3. The authorship criteria include (but are not limited to): substantial contribution towards conceptualization of the research, a thorough review of existing literature in the subject, formulating hypotheses, research design and methodology, writing a research protocol, data collection (and analysis where applicable), interpretation of the data and results, providing recommendations etc.
4. The student must make an explicit statement in the thesis about the role he/she played in the work presented in each manuscript, and the contribution of the other authors. This statement should appear in a single section entitled "Contributions of Authors" as a preface to the thesis.
5. The student must also submit signed waivers from any co-authors of all manuscripts – the waiver should include information that the co-authors do not have any objection in using the manuscript as a component of the thesis, they do not have any conflict of interest and that they have not used the manuscript for any other thesis submission. This statement should also vouch for the veracity of the individual contribution of each author.
6. A co-author of any component of a Manuscript-Based thesis cannot serve as either Internal or External Examiner for that thesis.
7. A manuscript can be used ONLY in one thesis and any co-author cannot use the same manuscript for any other thesis.

B. Manuscripts

(see below for allowable types of manuscripts and journals)

1. For MPhil, a minimum of two (2) manuscripts – either both published or one (1) published and one (1) accepted for publication in peer-reviewed journals/ books / collections in the student’s field of study
2. For PhD, a minimum of three (3) manuscripts – either all published or two (2) published and one (1) accepted for publication in peer-reviewed journals/ books / collections in the student’s field of study
3. For both MPhil and PhD, other than the ‘published’ papers associated with the current research, only one (1) paper is allowed as ‘accepted’ for publication, i.e., not yet published. For submitted manuscripts, the student should provide evidence in the form of acknowledgement from the journal editor
4. Manuscripts must be current (i.e., the publication date must fall between the student’s registration and submission of thesis for examination); should have stemmed out of the research project undertaken for the programme
5. The manuscript must form a cohesive whole and must report on the single research project undertaken by the student for the purpose of the programme enrolled
6. The thesis must be more than a simple collection of manuscripts. All components must be integrated into a cohesive unit with a logical progression from one chapter to another. In order to ensure that the thesis has continuity, connecting texts that logically bridge each manuscript are mandatory
7. The manuscripts, and hence the thesis as a whole, must conform to The UWI’s Thesis Guide with respect to line spacing, margins, font size, tables, figures, *inter alia*, and the manuscripts must be bound together in the traditional manner to form one physical thesis.
8. The thesis must include the following:
 - i. Preliminary pages (in accordance with Section 3.1 of Thesis Guide)
 - a) Title Page
 - b) Thesis Deposit Licence Agreement

- c) Abstract (general abstract no more than 300 words covering the entire thesis and conforming to style of the Faculty)
 - d) Acknowledgements (if any)
 - e) Dedication (if any)
 - f) Table of Contents
 - 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
 - k) Glossary (if any)
 - l) List of Abbreviations/Acronyms (if any)
 - m) Preface (if any) and Contributions of Authors
- ii. General Introduction which places the research in the appropriate literature context, provides the rationale and objectives of the research, and thereby demonstrates the linkages between manuscripts/chapters
 - iii. An overall Review of Literature as a separate Chapter
 - iv. The individual manuscripts/chapters (each with its own Abstract, Introduction, Methods, Results, Discussion)
 - v. The connecting statements between manuscripts/chapters
 - vi. An overall comprehensive Synthesis /Discussion section clearly highlighting the contribution made
 - vii. An overall list of references (Bibliography / References / Works cited/Works consulted, conforming to the style of the Faculty/Discipline)
 - viii. Appendices
9. The thesis must also have a Display Page (showing the Chapter number and title, in bold capital 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.
10. The headings for the references at the end of Chapters should be formatted as subheadings and the heading for the overall list of references [8 (vi) above] should be treated as a major heading starting on a new page.
11. When published copyright material is presented in a thesis, the student must obtain signed waivers from the publishers and submit these to the Office of Graduate Studies & Research at the time of thesis submission.

12. For all manuscripts, the candidate must submit signed waivers from all co-authors.
13. The 'Turnitin' report may exclude the proportion of the 'published' material from the overall percentage and can be certified by the Supervisor and/or the Head of the Department
14. Since manuscripts may be very concise with limited word-count, the overall synthesis/ discussion/ summary [8 (vi)] above must have sufficient detail regarding the importance and originality of the research and its clear contribution to the field of study
15. It is well-known that different journals may have different style of presentation and references. Hence, it is advisable to have the Bibliography/ References [8 (vii)] above as a general chapter with alphabetically arranged references, which will include all the references cited in the whole thesis (including those cited in the manuscripts as well as those which were outside of the manuscripts)

C. Requirements for Manuscripts & Publications

1. Manuscripts allowable for this format of thesis:
 - a. Full original articles, review articles (scoping review / umbrella review) in peer-reviewed journals
 - b. Chapters in peer-reviewed collections and books
2. Journals / Books / Collections allowable for this format of thesis:
 - a. A recognised journal/book/collection in the field of study, which must be non-predatory and authentic (*e.g., Indexed, ISBN/ISSN registered etc.*)
 - b. Robust peer-review process
 - c. Well-established non-predatory publisher
 - d. The Faculties may have some flexibility to consider the so-called 'tier' of the journal/ book/collection in accordance with the existing practices in the field of study (*e.g., Q1 – Q3 or H-factor of the journal etc.,*)
3. The students must engage the Supervisor and the Supervisory Committee and take clear guidance before submitting a manuscript for publication, especially with respect to the selection of the journal / book/ collection.