

PREPARATION OF THESIS SUBMISSION & FORMAT GUIDELINES

Detailed requirements, procedures and format for thesis preparation

CONTENT

INTRODUCTION	1
STEP BY STEP GUIDE TO THESIS SUBMISSION	2
Notice of Submission of Thesis	2
Submission of Draft Copies of Thesis	3
Submission of Final Copies of Thesis	4
STUDENT'S THESIS COPYRIGHT AND UNIVERSITY'S INTELLECTUAL PROPERTY	5
WRITING STYLE	6
LAYOUT AND ARRANGEMENT OF CONTENT	8
PRELIMINARIES	8
Title Page	8
Acknowledgements	8
Table of Contents	8
List of Tables, Figures and Plates	9
List of Symbols	9
Abstract	9
TEXT	10
Introduction	10
Materials and Methods	10
Results and Discussion	10
Conclusions or Recommendations	10
REFERENCE MATERIALS	11
References	11
Appendices	11
List of Publications	11
THESIS FORMAT	12
Length of Thesis	12
Printing	12
Cover	12
Binding	12
Label for CD Cover	12
Typing Format	13
Spacing	13
Symbols	13
Margins	13
PAGINATION	14
Pagination	14
Subdivision	14
Notes and Footnotes	14
Tables	15
Figures	15
Plates	16
Copyright of Tables or Figures	16
APPENDIX	17

Editor

Professor Dr. Azman Samsudin
Haslinda Binti Yusof
Nur Husna Mansor
Mohamad Yazid Zakariya

Designer

Harifahmi Bin Abdul Halim
Institute of Postgraduate Studies
Universiti Sains Malaysia
11800, Penang

April 2019

INTRODUCTION

This guidebook describes in detail the procedures and format for thesis preparation before submitting your thesis.

As you begin to prepare your thesis following the guidelines given, we would like to emphasize that Universiti Sains Malaysia upholds the policy of ensuring that all students pursuing higher degrees are trained to practise the highest standards of intellectual honesty and integrity. Ideas and data of other researchers that you have used must be duly acknowledged in your thesis by citing and listing full details of the quoted materials in the reference list. Failure to do this will make you liable for plagiarism. Please remember that a writer may unconsciously commit plagiarism but nonetheless, it does not absolve him/her from the charge.

In view of the severity of plagiarism, upon submission of eight (8) copies of their theses for examination, Universiti Sains Malaysia requires that all graduate students sign a form declaring the originality of their research work and that it has not been submitted or published elsewhere.

[MPSU 208th, 12 September 2002, Senate 160th, 12 October 2002]

NOTICE OF THESIS SUBMISSION

Your notice of thesis submission should be sent to the School / Centre / Institute at least three (3) months before the submission of your thesis. Kindly fill the form and submit it to the Dean / Director of your School / Centre / Institute. This form will then be forwarded to the IPS. The procedures for the thesis submission are as follows:

**STEP
1**

Download the Notice of Thesis Submission form from the IPS website, fill and print the information required.

**STEP
2**

Please ensure that your title is correct before printing out the form.

**STEP
3**

Submit the form to your Supervisor for approval.

**STEP
4**

Your supervisor will then submit the form to your School / Centre / Institute for the nomination of examiners.

**STEP
5**

The Dean / Director will forward the form to IPS for the appointment of examiners.

**STEP
6**

Check with IPS or check with your Campus Online on the status of your Thesis Submission.

SUBMISSION OF THE DRAFT THESIS

Note: Submission of a thesis must be made after a student has fulfilled the minimum period of candidature.

STEP 1

Download the Verification and Draft Thesis Submission form from IPS website, fill and print the information required

STEP 2

Submit the softcopy of the draft thesis (chapters only) for Turn-it-in screening at the respective School / Centre / Institute

STEP 3

Format checking and verification must be made at the IPS before submitting the eight (8) copies of the thesis. IPS will not accept any thesis that has not been written in accordance with the prescribed format.

STEP 4

Obtain the signature of the Supervisor and the Dean / Director of the School / Centre / Institute.

STEP 5

Ensure that all tuition fees and examination fees are paid. IPS requires the clearance statement from the Student Accounts Section, Bursary as a proof of payment.

Thesis Examination Fees:

DEGREE	LOCAL	INTERNATIONAL
Master	RM 750	RM 1000
Doctor of Philosophy	RM 1000	RM 1500

STEP 6

The procedure for submitting the eight (8) copies is as follows:

- a) A student from a School and Institute/Centre (INFORMM, INOR, PTPM, IPPT and IPPTN only) must submit seven (7) copies of the thesis to the School and one (1) copy to the IPS.
- b) A student from a Centre / Institute (ABRC, CCB, CENPRIS, CGSS, CEMACS, CEDEC, IPHarm, ISDEV, KANITA, NAv6, PPAG and PRN) must submit four (4) copies of the thesis to the Centre / Institute and four (4) copies to the IPS.

STEP 7

Check the IPS website for the viva schedule.

SUBMISSION OF THE FINAL THESIS

STEP 1

Examiners are given one (1) month to examine a Master thesis and two (2) months for a Doctorate thesis. Once the thesis has been examined, the student is required to attend a viva voce. Following is the possible result of the viva-voce.

Scale 1 – Pass

A student is awarded a Doctor of Philosophy / Master's Degree.

Scale 2 – Pass with minor corrections

A student is awarded Doctor of Philosophy / Master's Degree subject to changes/corrections to the thesis as listed in the Viva-voce Panel Report.

Scale 3 – Pass with major changes/corrections

A student is awarded Doctor of Philosophy / Master's Degree subject to changes/corrections to the thesis as listed in the Viva-voce Panel Report. The corrected thesis MUST be verified by the Viva-voce Panel after the student has made the changes/corrections

Scale 4 – Re-examination (Re-viva)

A student is allowed to re-submit the thesis for re-examination after the candidate has made the changes/corrections to the thesis as indicated in the Viva-voce Panel Report. The thesis MUST be re-viva and the candidate MUST attend another viva-voce. The result of the re-viva will be only PASS or FAIL.

Scale 5 – Fail

A student is not eligible to be awarded a Doctor of Philosophy / Master's Degree and is not allowed to re-submit the thesis for examination.

STEP 2

After the viva, the Thesis Examination Panel will inform the student of the viva-voce outcome and the necessary corrections that have to be made on the thesis. The student must obtain the list of corrections from the secretary of the thesis examination panel after the viva.

STEP 3

Once the corrections have been verified by the Dean / Director of the respective School / Centre/ Institute, download and fill the Final Thesis Submission form which can be obtained from the IPS website.

STEP 4

Format checking and verification must be made at IPS before submitting the final thesis.

STEP 5

Obtain the signatures of the respective Supervisor and School / Centre/ Institute

STEP 6

Make two (2) copies of the thesis. For Masters, the thesis must be in red hardbound cover with gold lettering and for Ph.D., the thesis must be in black hardbound cover with gold lettering. Beside the hardcopy, the final content of the thesis is to be produced on a CD. The information of the thesis must be written clearly on the CD label.

The two (2) copies of the CD and the two (2) copies of the hardbound final thesis must be submitted:

- One (1) copy to the School / Centre / Institute and one (1) copy to the IPS.

STUDENT'S THESIS COPYRIGHT AND UNIVERSITY'S INTELLECTUAL PROPERTY

The copyright to a thesis belongs to the student. However, as a condition of being awarded the degree, the student hereby grants to the University, a free, ongoing, non-exclusive right to use the relevant work and/or thesis for the University's teaching, research and promotional purposes as well as free and the non-exclusive right to retain, reproduce, display and distribute a limited number of copies of the thesis, together with the right to require its publication for further research and archival use.

WRITING STYLE

The following styles are accepted by USM. Please refer to your school/program for the preferred style. Please browse the corresponding websites on how to use a particular style. You are required to use the adopted style consistently throughout the thesis.

APA

- Publication Manual of the American Psychological Association (APA Style Manual). 5th ed. Washington: American Psychological Association, 2001.
- <http://owl.english.purdue.edu/owl/resource/560/01/> APA Formatting & Style Guide at Purdue University Online Writing Lab.
- Using American Psychological Association (APA) Format - Purdue University Online Writing Lab.

HARVARD

- Holland, M., 2003. Harvard system. Online. Bournemouth University.
- http://www.bournemouth.ac.uk/library/using/harvard_syst.html.
- <http://libweb.anglia.ac.uk/referencing/harvard.html>.

MLA

- MLA Handbook for Writers of Research Papers. Joseph Gibaldi. 5th ed. New York: Modern.
- Language Association of America, 1999.
- A Guide for Writing Research Papers Based on Modern Language Association (MLA) Documentation.
- MLA Style - Guidelines for citing the World Wide Web resources authorized by the MLA.
- Using Modern Language Association (MLA) Format - Purdue University Online Writing Lab.
- <http://owl.english.purdue.edu/owl/resource/557/01/> MLA Style guide at Purdue.

Footnotes and Endnotes

- Lehigh University Libraries. Footnote and Citation Style Guide.
<http://www.lehigh.edu/library/footnote/footnote.html>.

Internet Citations

- Electronic Reference Formats Recommended by the American Psychological Association - American Psychological Association.
- Harnack, Andrew and Kleppinger, Eugene (2003). Citation Styles. In Online: A Reference Guide to Using Internet Sources. New York: St. Martin. <http://www.bedfordstmartins.com/online/citex.html>.
- Citation Style Guides for Internet and Electronic Sources (APA, Chicago) - From University of Alberta Libraries.
- Citation Styles for Internet Sources (APA, CBE, MLA, Turabian) - A collection of links from Sonoma State University.
- The Columbia Guide to Online Style (APA, CBE, Chicago, MLA) - By Janice R. Walker and Todd Taylor, Columbia University Press.
- Citation and Style Guides (APA, MLA, Turabian, Chicago, Other) - Concordia University Libraries.
- Style Sheets for Citing Internet & Electronic Resources: MLA, APA. Turabian, Chicago, CBE - UC Berkeley University Library.
- Xia Li, Nancy & Crane, B. (1996). Electronic Styles: A Handbook for Citing Electronic Information (2nd Ed.). Medford, NJ: Information Today.

Writing Guides

There are many websites available offering guidance on how to write using a particular style. Several of these websites are listed below:

- Slade, Carole (2000). Form & Style: Research Papers (11th Ed.). Boston: Houghton Mifflin Co.
- Elements of Style - Online version of the book of English grammar by William Strunk Jr. Style & Writing Guides Resources - Internet Public Library.

Government Documents

- Uncle Sam - Brief Guide to Citing Government Publications - Government Publications Department, the University of Memphis.
- U.S. Census Bureau: Suggested citation styles for Internet information.

LAYOUT AND ARRANGEMENT OF CONTENT

TITLE PAGE, ACKNOWLEDGEMENTS, TABLE OF CONTENTS

The title of each section and chapter must be in BOLD, centre and single spacing. A thesis is composed of four parts, namely the Preliminaries, the Text, the Reference Materials and the Appendices. Each part is arranged in a numerical sequence of chapters.

PRELIMINARIES

Title Page

The following must be included:

- Title of the Thesis.
- Full name of the Candidate.
- Fulfilment declaration “Thesis submitted in fulfilment of the requirements for the Degree of (Doctor of Philosophy, Master of Science / Master of Social Science / Master of Arts)”
- Month and Year the thesis was submitted for examination to IPS (draft and final copies)
- DO NOT number this page.

Acknowledgement

- This is a statement of appreciation to supervisors(s), source of scholarship(s), assistance obtained during research etc.
- Number this page with “ii”.
- Limit to one page only

Table of Contents

- The table of contents comprises the titles of parts, sections or chapters, and their subdivisions.
- The table of contents must match the thesis text and must have Headings (1,2,3,.....), subheadings (1.1, 1.2, 1.3,) and sub sub-headings (1.2.1, 1.2.2,).
- Further divisions to be indicated by small letters in parenthesis e.g. 1.2.1(a), 1.2.1(a)(i)
- Page number begins with “iii”.

LIST OF TABLES, FIGURES AND PLATES, LIST OF SYMBOLS AND ABBREVIATIONS, ABSTRACT

List of Tables, Figures, and Plates

- Must match the thesis text.
- Page number begins with “iv”.

List of Symbols

- If applicable, this section should appear after the List of Tables, Figures, and Plates.
- Pages are numbered in Roman numerals (v, vi, vii) accordingly.

List of Abbreviations

- Page numbered in Roman numeral accordingly.

Abstract

- An abstract is a summary of the entire thesis and should contain a brief write-up of the problem statement, objective, methodology and summary of the findings in the context of the whole study.
- The abstract must be written in Bahasa Malaysia and English.
- The Bahasa Malaysia version appears first.
- Both versions must have their respective titles.
- Length of words must not exceed 400 words with 2.0 spacing.
- The abstract is placed immediately before Chapter 1.
- The abstract page must be numbered in Roman numerals accordingly.
- The abstract page must be in one paragraph.
- The first line of the paragraph must be indented.

This section outlines the contents of your thesis. Please refer to your School / Institute / Centre for the appropriate format and layout according to your discipline. The thesis text is made up of chapters with a number of sections and subsections. All these sections must begin on a new page. The text usually comprises of: Introduction, Materials and Methods, Results and Discussions, Recommendation for Future Research, Summary and Conclusion.

TEXT

The Introduction

- Gives a background and highlights the problems under investigation by describing the status of the problem(s) conceptually or theoretically.
- Sets forth the scope and objectives of the study.
- Outlines the plan of action or research protocol. The introduction can include a fully-referenced review of the existing literature.

Literature Review

A separate chapter may be written specifically for literature survey under the heading of Literature Review.

Materials and Methods

- Contains detailed description of experiments carried out.
- Experimental methods should be described such that another researcher will have no difficulty replicating them.

Results and Discussions

- Consist of results obtained from the study.
- Can be presented as a series of figures, tables etc., with a descriptive text.
- Analysis of data such as statistical analysis can be presented.
- Discusses the outcome of research in relation to results obtained and existing evidence/reports.

Conclusion / Recommendations

- Recapitulation of the study's findings.
- Discussion of the findings.
- Recommendation for future research.
- The conclusion of the study.

REFERENCE MATERIALS

References

- Start on a fresh page.
- The title REFERENCES to be centred in capital letters.
- Single spacing within an entry.
- Double-spacing between entries.
- Refer to Appendix A for details.

References are the list of materials cited in your thesis and are listed according to the appropriate style used in your discipline.

USM allows for different reference styles specific to your discipline. However, we stress on the consistency and appropriate utilization of the chosen style throughout your thesis. Please discuss with your supervisor regarding which style to adopt for your thesis, or select one reference system from among the reputable publications in your field.

Appendices

- Start on the fresh page.
- The word APPENDICES should be in the centre in capital letters.
- Referred to in the text.
- Comprises of supplementary illustrative materials, original data, and quotations that are too long for inclusion in the text or lengthy experimental methods.
- Do not number this page.
- Must be listed in the Table of Contents.
- Appendices are labelled with an alphabet. e.g. Appendix A with or without page numbering.

List of Publications (if available)

- Start on a fresh page
- List of all the publications (including conference articles from the research work).
- List only accepted publications.
- Use the same style as the references.
- Written permission must be obtained for any copyrighted material. You need to keep your own file of permission letters for any copyrighted materials used in your dissertation or thesis

THESIS FORMAT

Length of Thesis

- A PhD thesis should not exceed 80,000 words and Master thesis should not exceed 50,000 words.

[MPSU 208th, 12 September 2002, Senate 160th, 12 October 2002]

Printing

- All printed copies must be clean and legible
- Use 80 gm, A4 size (210 x 297 mm), and white paper.
- Print on one side of the paper only.
- Computer paper or carbon copy is NOT allowed.
- Final copies must be laser printed.

Cover

- The cover (2 hardbound copies) must contain the following:
 - Full thesis title
 - Your full name
 - The University name "UNIVERSITI SAINS MALAYSIA"
 - Year of submission
 - Printed in gold, a font size of 18, Times New Roman or Arial and capitalized.

Binding

- The final 2 copies must be bound in black for PhD thesis and red for Master thesis, buckram or rexine with stiff boards.
- The spine must contain:
 - Full thesis title
 - Your full name
 - Degree (PhD or Master)
 - All lettering is printed in gold, capitalized with the appropriate font size (Times New Roman or Arial)
 - Year of submission

Label for the CD cover

- The CD must have the following on the label:
 - Full name
 - Full thesis title
 - Year of submission
 - Degree

Typing format

- All narratives, tables, and graphs must be typeset and NOT handwritten.

Spacing

- Double spacing for text.
- Single spacing for text in long tables, table titles, long quotations, notes, footnotes, multiline caption and reference entries.

Symbols

- Please use appropriate software to generate symbols or special characters not found on the computer keyboard. Typed on one side.
- Use Times New Roman (font size 12) or Arial (font size 11)
- For formula, use an equation editor including subscripts and superscripts.
- Please observe proper convention for scientific names.

Margins

All Text, Tables, Figures and their captions must conform to the following margins:

- Top edge : 2.5 cm
- Bottom edge : 2.5 cm
- Right side : 2.5 cm
- Left side : 4.0 cm

The area below the bottom margin should be left blank except for footnotes.

A new paragraph must have at least 2 full lines on a page. Otherwise, begin on the next page.

PAGINATION

The Title page of the thesis is considered as page (i), but the number is not typed.

Pagination

- All page numbers are without punctuation.
- Place the page number 1 cm from the bottom centre of a page.
- Preliminaries are numbered in lower case Roman numerals.
- All text and reference pages are numbered in Arabic numerals.
- All pages including those with diagrams, tables, etc. must have a page number.
- Appendices are labelled with an alphabet e.g. Appendix A with or without page numbering

Subdivision

- Text in each chapter may be divided into headings and sub-headings such as 1.1, 1.2, 1.3 and etc., 1.1.1, 1.1.2 etc. and 1.1.1(a), 1.1.2(a)
- All subdivisions begin from the left margin.

Notes and Footnotes

- Font sizes for notes and footnotes must be smaller than the font size used in the general text.
- The use of footnotes is not encouraged for the Sciences, Engineering, Medical, and Business and should be kept to a minimum.

As a general guideline, we suggest that you refer to the stylebook used in your discipline for tables, figures, and plates. The following are just the basic guidelines.

Tables

- A table must be properly centred within the margins. The task should be numbered in relation to the chapter, e.g. in Chapter 1, tables should be numbered as Table 1.1, Table 1.2 and etc.
- Numbered in Arabic numerals (Table 1.1, Table 1.2 etc.) with a caption.
- The number must correspond with text.
- Place tables near to related discussion in text.
- Place the heading above the table.
- Single-space all tables.
- Align all of the decimals in any column.
- Tables that are too large to fit the margins may be reduced to a smaller size of the same font style. The table number and title should be in the same font size as the rest of your manuscript. Format all tables consistently throughout, including the appendix tables.
- Tables that are too long or too wide for a single page (vertically or horizontally) may be continued on to the following page. The heading should be e.g. "Table 1-1. Continued" (do not repeat the table title). Column and row headings must be repeated for continued tables.
- Notes (if any) belong in the bottom row of the table. Do not vertically list your table notes (at the bottom of the table) but let them wrap automatically, like a paragraph text (do not put a hard return after each entry).

Figures

- Figures refer to illustrations, photographs, graphs or anything other than tables and script.
- Line diagrams should be drawn with the aid of a computer or with mechanical aids using black permanent ink or equivalent on white paper.
- Unless necessary, the use of colour in graphs and figures is discouraged.
- Put heading below the figures.
- Put only 1 blank line space between the figure and figure heading.
- Minimize clutter. Label subparts of figures as A and B, not (A) and (B).
- If a figure and all of its subparts run across more than one page, the entire figure heading (including descriptions of all subparts) must appear at the bottom of the first page of the figure. Any additional pages of subparts of this figure get only this heading at the bottom of the page.

Plates

- Photographs are regarded as plates.
- Place the heading below the plates.
- Plates are numbered in sequence and in relation to Chapter e.g. Plate 1.1, Plate 1.2 and so on for photographs in Chapter 1.
- Photographs should be scanned, especially the final copies or photographed on photographic paper.

Copyright of tables or figures

- You need to secure permission and give a complete source (the full reference PLUS the table or figure number and page number where it appeared in the original) for any table or figure that is borrowed from a copyrighted publication. For tables, this goes into the notes row (the last row) of the table. For figures, this goes at the end of the figure heading.

Appendix A

References

USM does not impose any restriction on the citation styles for your thesis. However, you are required to follow strictly to the style that you have chosen. The most common citation style is the Harvard style and below are examples of Harvard style presentations according to the information source.

Book

Family name, first initial. (Year) Title. City of publication: Publisher. Page number of your quotation
Adams, A.D. (1906) Electric transmission of water power. New York: McGraw. P.1

British Standards Institution (1990) BS5605:1990 Recommendations for citing and referencing published material. Milton Keynes: BSI.

Coffin, J M. (1999) Molecular Biology of HIV. In: K.A. Crandell, (ed). The Evolution of HIV, Baltimore: Johns Hopkins Press.Pp.3-4.

Website with no author

Title of a website (Year as appearing on site) [Online]. [Date accessed]. Available from World Wide Web Feminist Collections A Quarterly of Women's Studies Resources (2002) [Online], [Accessed 9th May 2002]. Available from World Wide Web: <http://www.library.wisc.edu/1ibraries/WomensStudies/fcmain.html>

Website with no author

Family name, first initial(s) (Year) Title [Online]. [Date accessed]. Available from World Wide Web Hawking, S. (2000) Profesor Stephen Hawking's website [Online].[Accessed 9th May 2002]. Available from World Wide Web: <http://www.hawking.org.uklhome/hindex.html>

Thesis

Use the title page of the thesis:

Family name, first initial(s). (Year) Title. Type of qualification, academic institution Gill, M.R. (1997) the relationship between the physical properties of human articular cartilage and tissue biochemistry and ultrastructure. PhD thesis, University of Leeds.

Chapter in an edited book

Use the title page and reverse title page of the book and the chapter heading itself: Family name, first initial. (Year) Chapter title. In: initial Family name of the editor, (eds). Title of book. City of publication: Publisher. Page number of your quotation.

Patent

This information is found on the title page of the patent: Name of the originator. (Year) Title of patent document. Patent code. Patent number Philip Morris INC. (1981) Optical perforating apparatus and system. European patent application 0021165 A1. 1981-01-07

Standard

This information is found on the title page of the standard:

Author of the standard. (Year). Standard Number and Year (separated by a colon). Title of Standard. Place of publication and Name of a publisher (separated by a colon).

Conference Paper

Family name, first initial(s). (Year) Title of paper. In: Editor(s) of conference proceedings if known. Title of a conference, date of the conference, location of the conference. Place of publication: publisher. Page number(s).

Robertson, J. (1986) The economics of local recovery: In The Other Economics Summit, 17/18 April 1986, Tokyo. London: The Other Economics Summit.

Electronic journal article

Use information from the website and the article:

Family name, first initial(s). (Year) Title of article. Journal title. [Online]. Volume (issue number) [Date accessed], a page number of your quotation. Available from World Wide Web
Royall C.P., B.L. Thiel & A.M. Donald. (2001) Radiation damage of water in environmental scanning electron microscopy. Journal of Microscopy.[Online]. 204(3),[Accessed 9th May 2002], p.185.Avail- able from World Wide Web: <http://www.blackwell-synergy.com/>

Journal article

Use the title page of the journal volume or issue and the article: Family name, first initial(s). (Year) Title of article. Journal title. Volume (issue number), a page number of your quotation Walker, J R (1998) Citing serials: online serial publications and citation systems. Serials-Librarian, 33(3/4), p.343-356.

CD-ROM

Use the accompanying material: Title (Year). [CD-ROM]. City of publication: Publisher.
Who's who 1987-1998 electronic resource {1998} [CD-ROM] London: Oxford University Press.
(Source: <http://www.leeds.ac.uk/library/training/referencing/harvard.htm>)

PREPARATION OF THESIS SUBMISSION & FORMAT GUIDELINES

Detailed requirements, procedures and format for thesis preparation



INSTITUTE OF
POSTGRADUATE
STUDIES