

University of Birmingham

Proposed amendment to Regulations to require an electronic copy of postgraduate research theses to be held by the University's Library.

Purpose of Paper

1. To propose an amendment for effect in 2009/10 to Regulation 7.4.2 (b) that will require students in research degree programmes to deposit a copy of their thesis in a format that meets modern standards.

Proposal

2. Regulation 7.4.2 (b) currently states that "The thesis or report must be bound in accordance with University requirements before the degree may be awarded."

Proposed new text:

The final, corrected version of the thesis or report must be deposited with the Library before the degree may be awarded, presented in an appropriate printed and/or electronic format in accordance with current University requirements.

Background

3. **The present requirements**

A copy of each research thesis is deposited in the Library in order that the content may be accessible to other researchers. The printed copy is available for reference in libraries, and has traditionally been reproduced on request by microfilming or photocopying.

The "University requirements" specified in the Regulations can be found at <http://www.library.bham.ac.uk/searching/guides/sk05presentingthesis.pdf>. These requirements specify standards of presentation to fit the three stages in the lifecycle of a thesis:

- 1) a layout that suits the needs of examiners
- 2) use of materials suitable for archival storage
- 3) a layout suitable for reproduction and dissemination

This proposal is concerned mainly with the third of these (reproduction and dissemination) and anticipating future developments in the second of these (archival storage).

4. **Effect of the amendment**

This proposal would require a revision of the Author Declaration Form, which outlines the conditions of deposit and access to theses, and a proposed revised version of this is appended.

Only minor amendments would be needed to the “University requirements” as specified in the Library guide *Presenting your thesis*, and a copy of this guide is appended, annotated with proposed changes.

Students would still be required to submit a final paper copy of their thesis to the Library, until such time as i) electronic submission is fully integrated into the thesis submission process, and ii) we are confident in the arrangements for long-term preservation of the electronic copies. However, in many cases, a cheaper “fastback” form of binding would be acceptable for this final copy. The longer term intention is eventually to drop the requirement for a paper copy.

5. **Accessibility of research findings**

There is a growing expectation amongst the research community that research findings should be made available in a web-accessible format. Theses contain primary research material and the practice of making theses and dissertations available online is growing internationally. The UK has recently introduced a national e-theses system (EThOS) that replaces the microfilm-based service at the British Library.

6. **Examination**

The Library has no involvement in the handling of the thesis for examination, so no changes are proposed here to the requirements for copies for examination (related to Regulation 7.4.2 (c): “Two copies of the thesis or report must be presented for examination in accordance with the guidelines published by Academic Services.”). However, if examiners wish to adopt an electronic process Library Services are happy to support it.

Arguments to Support Proposal

7. **Support from the research community**

There is widespread dissatisfaction amongst researchers with the current cumbersome systems for access to theses. Access to the information contained in theses is greatly enhanced by making the content available in searchable form and available to general and specialised search engines and bibliographic databases.

Birmingham authors have in recent months been invited to deposit an electronic copy of their thesis with the Library and EThOS, and to date over 200 theses have been volunteered by their authors. The Library now recommends that the University establish a formal requirement for parallel print and electronic deposit of research theses.

8. **Practical feasibility**

All theses are produced using word processing software, and the original electronic text can be readily converted to a web-viewable version. Some authors also include supplementary digital materials with their thesis, and access to these materials will be enhanced via their inclusion in an electronic repository. Most thesis authors are happy to make their work available in this way, and Library staff are available if necessary, to help with the conversion process.

The Library already has a suitable eTheses Repository that conforms to current standards. (There is potential to achieve further integration of the deposit process to this repository with existing student records systems, as outlined in a separate project brief, but this is not essential to the present proposal.) Via the UK EThOS system, the electronic copies will be included in the British Library's digital preservation programme.

Electronic submission will reduce handling costs for the University and binding costs for the student. Ready access to theses will save the time of researchers.

9. **Safeguards**

Following extensive consultation within the University and via EThOS, necessary measures are in place to protect any confidential material that should not appear on the web.

Readers of theses are advised via a statement accompanying each item, that the work is copyright. Via EThOS, theses content will be submitted to the corpus of texts that are used in plagiarism detection systems, as a deterrent to plagiarism of thesis work.

Guidance is already provided (by the Library and by Training and Skills Development courses and materials) on seeking permission to include any third-party material in theses.

Jill Russell
Digital Assets Programme Manager
Library Services

Appendices:

Proposed revised text of the Author Declaration form, which outlines the conditions of deposit and access to theses.

Proposed revised text of *Presenting your thesis*: the guide that outlines the University requirements for presentation, binding and deposit of theses.

A summary of stakeholder consultation undertaken in recent years.

ACCESS TO RESEARCH THESES

Author's Declaration

Full name (block capitals, surname first):

Full title of thesis/dissertation (block capitals):

School/Department (block capitals):

Date of award of degree (leave blank):

Section 1: Deposit of the thesis/dissertation

1a. I understand that one copy of my thesis/dissertation (the Work) will be deposited in the University Library for permanent retention, in this or a substituted format.

1b. The Library will publish, or arrange with a third party for the non-exclusive publication of the author's abstract of the thesis/dissertation, in any format.

Unless arrangements are made to the contrary (see 3b. below), the University Library is authorized to make the Work (or a substitute copy, if deemed appropriate on conservation or other grounds) available for consultation in the University Library itself or for loan and consultation in another United Kingdom library, upon receipt of an inter-library loans request from that other library.

Section 2: The electronic copy of the thesis/dissertation

2a. I agree that an electronic copy of my thesis may be included in the University's electronic repository and/or a recognized national database of theses, and that, unless arrangements are made to the contrary (see 3c. below), the University Library is authorized to make the electronic copy of the Work freely accessible to individuals and institutions - including automated agents - via the Internet.

2b. The electronic copy that I supply shall be an exact reproduction of the content of the final version of my Work as approved by the examiners, without any modification.

2c. Rights granted to the University of Birmingham electronic thesis repository through this agreement are entirely non-exclusive. I retain all rights in the Work in its present version or future versions.

2d. The University or the national database of theses, or their agents, may, without changing content, migrate the Work to any medium or format for the purpose of future preservation and accessibility.

Section 3: Use of the thesis/dissertation

3a. The University Library will undertake that users of my Work will be made aware of my intellectual property rights and acceptable fair use of the material under The Copyright Designs and Patents Act 1988 (as modified by any successor legislation).

3b. I understand that I may apply to the University to retain the right to withhold access to my thesis/dissertation. Access to the paper version may be withheld for a period which shall not normally exceed four calendar years from the congregation at which the degree is conferred, the length of the period to be specified in the application, together with the precise reasons for making that application. The electronic copy may be withheld from dissemination via the web or other networks for an indefinite period.

3c. If the electronic copy is thus restricted from dissemination (and after any embargo period on the printed copy has expired), the Library is authorized

* to provide a photocopy or microform or electronic copy to a named individual of either an extract or extracts not exceeding 5% of the whole of my thesis/dissertation or one complete chapter, in accordance with the generally accepted interpretations of the fair

Comment [IS1]: [this section to be queried – based on previous agreement for paper version]

dealing and library privilege provisions of The Copyright Designs and Patents Act 1988 and The Copyright (Librarians and Archivists) (Copying of Copyright Material) Regulations 1989 (as modified by any successor legislation), on condition that the copy is required for the purposes of non-commercial research or private study only. I understand that the University Library will seek express authorization from me (or, in the event of my long-term non-availability for any reason, from the Head of the Department or School through which my thesis/dissertation was submitted) for the provision to a named individual or institution of a copy of more than 5% of my thesis/dissertation or more than a single chapter.

- * to permit those who consult my thesis/dissertation to make published use of a single extract not exceeding 250 words or a series of extracts not exceeding 1,000 words, provided that due acknowledgement is made in the publication concerned. I understand that the University Library will seek express authorization from me (or, in the event of my long-term non-availability for any reason, from the Head of the Department or School through which my thesis/dissertation was submitted) for the published use of a single extract exceeding 250 words or a series of extracts exceeding 1,000 words from my thesis/dissertation.

Section 4: Copyright declaration

- 4a. I warrant that the content of this thesis/dissertation is the direct result of my own work and that any use made in it of published or unpublished copyright material owned by a third party falls within the limits permitted by The Copyright Designs and Patents Act 1988.
- 4b. I warrant that if my thesis/dissertation does include any substantial subsidiary material owned by third-party copyright holders, I have sought and gained permission to include it in any version of my Work available in digital format via a stand-alone device or a communications network.
- 4c. I understand that the administrators of the repository do not hold any obligation to take legal action on behalf of myself, or other rights holders, in the event of breach of intellectual property rights, or any other right, in the material deposited
- 4d. I understand that, in the event of my thesis/dissertation being not approved by the Examiners, this declaration will become null and void.

Signature:

Date:

For Library use (please leave blank):

Classmark:

Accession number:

Control number:

eTheses Repository url:

Presenting Your Thesis:

Notes on the arrangement of theses and their preparation for binding and deposit

1.0 Introduction

This is a guide to the presentation of a thesis required for the award of a research degree.

Academic Services in conjunction with Library Services has drawn up this guide as the standard for all theses presented for research degrees in the University of Birmingham. This guide deals with the practicalities of producing your thesis in a format that is acceptable for examination and for deposit in the Library. However, this guide does not deal with the content and academic standard required of a thesis. On these matters you must always consult your supervisor and the guidance issued by your School.

All candidates are required to submit their thesis in English unless formal permission to use another language was granted at the point of admission to the research degree. If material submitted is the result of collaborative research, the submission must clearly identify your contribution.

The first section of this guide draws to your attention practical issues about which you should be aware before you embark on the final assembly of your thesis. Many practical decisions (such as the paper to be used, how to cope with illustrative matter, binding specifications and procedures etc.) need to be thought out before you put together your completed thesis with all of its constituent elements. Unless you are aware of these practical issues, you may find that it is impossible to have this done in the fashion you anticipated, or that the costs incurred will be greater than they need have been. Some mistakes are impossible to correct when the time comes for binding. The thesis must be produced to a standard acceptable for long-term storage, and bound in accordance with University requirements before the degree may be awarded.

Normally two copies must be presented for examination. In some instances, three copies

will be required (i.e. for some members of staff, for PhD by Published Work, and for higher doctorates).

A final **printed** copy of the thesis must be deposited in the Library, and you **must** also deposit an electronic copy of your work in the University's eTheses Repository⁽¹⁾. Your Supervisor or Department may request a copy of your finished thesis.

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The second section of the guide is intended to give you guidance on general aspects concerning the layout of the thesis itself.

2.0 General Considerations

Before embarking on your thesis, give careful consideration to how you are going to manage your work over the period of your research. For example: if you do not have your own computer, is the wordprocessing package that you intend to use freely available on the computer clusters in the University? Are there any special requirements (e.g. graphing, presentation of statistical data, etc.) which might affect the choice of software?

How are you going to manage your references? If you are using reference management software does the package allow you to format and print out references in a style suitable for the presentation of your thesis?

During the process of writing there are a number of practical and technical points to observe, and you should review these well in advance of final writing.

If your thesis includes confidential or sensitive material, does this need to be presented in a separate volume or appendix **that would enable the Library to withhold that section from public access**? If your thesis includes any third-party material, have you sought appropriate permission to incorporate and disseminate it? Further guidance on this is

available at

<http://www.library.bham.ac.uk/support/copyright/Theses.shtml>

You should allow adequate time for preparation, word processing, checking and corrections. If someone else is typing your thesis you should check the work frequently in the early stages so that any problems or difficulties can be detected early.

2.1 Paper

You should use A4 paper. See Section 2.10 for information on dealing with oversize matter. Where computer data is to be presented, A4 is normally the best size. Buy a sufficient quantity of paper for the whole job at the outset. If you find that the paper you have varies in size, or that insertions (e.g. photographs, plates, maps etc.) are slightly different, consult staff in the University Bindery before proceeding and certainly before you assemble the thesis. It may be impossible to trim to a uniform format after assembly.

The paper itself should be good quality bond paper, weight to be at least 70 grammes per square metre (gsm).

2.2 Typing and Wordprocessing

You must make your own arrangements for the typing of your thesis. **You must print on one side of the paper only. Use double line-spacing throughout the body of the text.** Single-spacing is acceptable for quotations, footnotes, captions, etc and within items in the bibliography. Layout should be reasonably uniform in length of line and the number of lines per page.

The final script should be printed using a good quality printer.

[Training is available on using advanced functions in Word to produce research documents, see](http://www.skills.bham.ac.uk/courses/)
[http://www.skills.bham.ac.uk/courses/.](http://www.skills.bham.ac.uk/courses/)

2.3 Typeface and Point Size

It is extremely important that the thesis is clearly set out and is easy to read. A clear, standard typeface should be used. Recommended typefaces include Times Roman, Arial and Courier; a number of other

standard faces are equally acceptable but consult your supervisor if in doubt.

To help ensure clarity it is important that the point size is not too small. Your thesis may be photocopied, **or** reduced at a later stage, so a 12 point typeface is the recommended standard for general use. If there is felt to be a strong reason for using another point size you should consult your supervisor before proceeding.

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2.4 Margins and Pagination

The left-hand margin must be at least 3 cm. This is the binding margin. When photographs are mounted the left-hand margin must be increased to 4 cm (see section 2.7 below).

It is desirable to leave 3 cm at the top and bottom of the page and about 2 cm at the outer edge.

Preliminary pages (see section 3.2) are unnumbered, pagination beginning with the first page of the text proper. Page numbers may either be placed at top-centre, 1 cm below the edge or at the foot of the page, 2 cm above the edge. Be consistent in whichever style you choose.

2.5 Chapter Headings and Sub-Headings

New chapters should always commence on a fresh page. Titles should be in capitals and centered. Sub-headings within chapters should be left-justified.

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2.6 Photocopies or Copied Material

If photocopies are to be included, ensure that all copies are clear and of high quality, especially when plates are being reproduced. It is important that the printed matter is square-set on each page with approximately equal margins all round. If this is not done it may be impossible to trim the pages properly; even if it is possible, costs will be increased. It is also important to ensure that you are not infringing someone else's copyright in the material.

2.7 Photographs

Photocopies or scanning and printing onto photographic quality A4 paper can provide good quality reproduction of photographs and you may find that satisfactory results can be obtained by using this method. The binding process is made easier when A4 paper is used; it will also reduce the overall bulk of the thesis.

Where original photographs are used either a matt or gloss finish is acceptable but you should seek the advice of your supervisor on the most effective one for the purpose in hand. Full-page photographs are best mounted on single weight printing paper, preferably not glazed. Double weight paper is difficult to oversee, and might have to be hinged which will increase the cost of binding. Copy paper is not heavy enough for satisfactory mounting. For photographs larger than page size refer to section 2.10.

Photographs can be mounted by a variety of methods, but whichever method you choose must be permanent. The use of 'photographic stamps' is a good method but not always readily available. Photographs can also be mounted with PVA (polyvinyl acetate) based glue. These are available from good stationers and photographic shops. Photos should be 'spot mounted' at the corners and middle, and not glued all over. This helps to eliminate warping of the mounting paper. Use the adhesive sparingly to avoid transfer to adjacent pages. Photographs attached with paste based adhesives ('Pritt sticks') tend to dry out and become detached after a while. If in doubt, consult the University's Bindery for advice.

2.8 Plates

Plates require careful thought if good appearance is to be achieved. Plates can be mounted upright or sideways. The general rule in either case is: caption below plate, and plate number immediately above the plate. If the plate is to be mounted sideways then its head should be towards the binding edge.

If the plate is to be inserted facing the text then a binding margin of 4cms must be available: if the plate is to face the blank verso of the previous page then the binding margin must be at the left. This is of vital importance.

2.9 Graphs and Diagrams

Page-size graphs should be treated in the same way as plates (see section 2.8) with regard to numbering, captions and margins.

2.10 Oversize Photographs, Plates, Graphs and Diagrams Oversize illustrative matter (anything which will not fit on an A4 page)

This requires great care. Staff in the Bindery are skilled in handling these materials to produce a professional finish.

Joining of charts, graphs and diagrams: It is not recommended that charts etc. be joined unless absolutely necessary. They can be printed on A3 paper and folded in at the front edge of the thesis. If this is not possible, they should be overlapped slightly and joined with a suitable PVA based adhesive. This type of adhesive is available from all good stationery shops.

Folding: We recommend that you do not attempt to fold oversized material yourself, as a page wrongly folded may have to be refolded and its appearance will then be spoiled. Allow generous margins when printing these pages, particularly on the binding edge (at least 3cm). Graph, diagram and map numbers are best positioned in the bottom right-hand corner.

When folded, the pages will need to be smaller than A4 in both the width and length to avoid the folds being cut off when the book is trimmed. If these dimensions cannot be achieved, eg for very large maps and diagrams, then a separate portfolio or a pocket at the end of the thesis may be required.

The Bindery will be happy to fold items and make customized pockets or portfolios to suit your needs. These pages should still be included in the pagination.

Disks, cassettes and music manuscript : Theses often need to contain supplementary media. Disks can usually be built into a pocket at the back of the volume, whilst audio- and video cassettes need to be boxed as a separate item. The Bindery staff will be able to advise.

2.11 Binding Procedures

Three months before submitting your thesis, you must complete a Notice of Intention to Submit a Thesis Form and return it to the Research Team in Academic & Student Administration. This form is available from: <http://www.as.bham.ac.uk/study/support/admin/pgr/thesis.shtml>. Receipt of this form by the Research Team will start the process for the nomination of examiners.

Temporary Bindings

It is normal practice for the copies of your thesis submitted for examination to be bound in a glued soft binding for examination purposes. This is an inexpensive binding that allows any corrections to be made before ~~the~~ final Library deposit copy is made. The Bindery operates a while-you-wait service any weekday between the hours of 9.00 a.m. and 3.00 p.m. After examination these copies can be unbound (by the Bindery) and the pages re-used for the final ~~copy~~.

Important Note:

The Library deposit copy needs to include a Declaration Form (see 3.1 below) at the temporary binding stage. Please bring a signed copy with you. We may not be able to proceed with your binding without it.

Final Copies

It is a requirement of the University that you have a copy of your thesis ~~bound~~ for permanent deposit in the Library. Your Supervisor or School may also request a copy (check with your own School if you are unsure, before you bring in your final copies for binding). You must also submit an electronic copy to the eTheses Repository (see <http://etheses.bham.ac.uk/information.html>).

The Library deposit copy should preferably be bound in the University's Bindery, hard bound in University Blue, with gold lettering on the spine giving your name, the degree for which it is presented, and the year in which the degree is conferred.

This hard-back binding is required if:

a) your thesis includes plates, oversize or supplementary materials

or

b) you have requested an embargo on access to the electronic copy of your thesis

However, if the thesis comprises a straightforward sheaf of A4 pages, and it is also going to be made available to readers via the eTheses Repository, a cheaper "fastback" binding, lettered as above, will be acceptable for the final deposit copy.

The normal service time is five working days. Express services are available on request.

In addition to the official copy, the Bindery will be happy to undertake the binding of any personal copies you require to your own specification.

Photocopying Service

A quick, competitive photocopying service is available. Prices and advice are available on request from Central Print (tel. 0121 414 6685).

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2.12 Charges and Payment

Details of the Bindery's current charges for thesis binding are available at <http://www.bindery.bham.ac.uk>. Consult the Bindery (tel. 0121 414 5797 or call in at the workshop on the south of the campus – red zone R12 Aitchinson Building) to discuss your personal requirements. All work is to be paid for either in advance or on completion. If you cannot bring or collect your work you must deposit the full basic charge for each copy with the Bindery. If the cost exceeds the basic charge, you will be required to pay the excess. This point is of particular relevance to candidates for higher degrees (eg D.Sc, D.Eng, D.Litt) where extra labour is often involved.

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Theses may be sent by post to the Bindery. They should be accompanied by the correct fee together with explicit instructions on the distribution of the bound copies. A postage and registration fee will be charged on each volume which is to be sent to an address outside the University. This amount should be added to the binding charge, again, consult the Bindery for details. Credit card payments are accepted, or cheques should be made payable to the University of Birmingham. No thesis will be allowed to leave the Bindery until payment for the work has been received in full.

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3.0 Elements of the Thesis or Dissertation

A thesis must be an original work which makes a significant contribution to knowledge in or understanding of a particular field of study. It must contain material worthy of publication. It also demonstrates its relationship to the general corpus of knowledge in the field. In short it is the presentation of the results of original research in a critical and scholarly fashion. For these reasons it is essential that an appropriate presentation is adopted.

A thesis normally consists of the following elements:

- Author's Declaration Form (deposit copy only)
- Preliminaries
 - title page
 - abstract
 - dedication
 - acknowledgements
 - contents listings
 - table of contents
 - list of illustrations
 - list of tables
 - list of definitions and/or

abbreviations

- Text
- End Pages
 - appendices
 - list of references/bibliography

All the forms referred to in this guide are available at:

<http://www.as.bham.ac.uk/study/support/admin/pgr/thesis.shtml> or from the Research Team in Academic & Student Administration.

3.1 Author's Declaration Form

You must complete the Author's Declaration Form and have it bound into the deposit copy of the thesis. Your thesis will be made available for consultation in the University Library, or in another UK library, via the Inter-Library Loans system, unless there are grounds for keeping the content of the thesis confidential. It will also be made available via the eTheses Repository⁽¹⁾ and EThOS⁽³⁾, unless you have requested that it should not appear on the web.

3.2 Preliminaries

3.2.1 Title Page

The title of the thesis should be given between 5 and 7 cm from the top of the page, followed by the name of the author and, after about a 5 cm space, a statement of the degree for which the thesis is submitted:

AN INVESTIGATION INTO THE EFFECTS
OF SELECTION WITHIN AN INBREEDING
PROGRAMME IN SUNFLOWER

by

MARTIN TREVOR SMITH

A thesis submitted to
The University of Birmingham
for the degree of
DOCTOR OF PHILOSOPHY

The bottom right-hand corner should state school or department, university and year of submission, with each element being given on a separate line:

Department of Theology and Religion
School of Historical Studies
The University of Birmingham
August 2007

Comment [IS1]: How should new College structure be presented?

OR

School of Biosciences
The University of Birmingham
March 2007

Comment [IS2]: How should new College structure be presented?

Give your full name on the title page, as it will appear on the degree congregation list. This also facilitates tracing the thesis if someone wishes to consult it at a later date.

3.2.2 Abstract

An abstract – a succinct summary of the thesis containing all of the important concepts and conclusions of the work – should immediately follow the title page. It should be no more than 200 words in length. Do not number this page nor record it in the table of contents. This abstract will be used when the thesis is indexed in the Index to Theses⁽²⁾, EThOS⁽³⁾ and elsewhere, and two extra copies of the abstract, on the special forms provided, will be required from you when presenting your thesis.

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3.2.3 Dedication

A dedication is entirely optional. If one is made the dedication page should follow the abstract. It should be unnumbered and not recorded in the table of contents.

3.2.4 Acknowledgements

You may wish to acknowledge any substantial academic, financial or other assistance that you may have received in the course of your research. Inclusion of acknowledgements – to whom, and the precise wording – is a matter for your own discretion, but they should follow the abstract and dedication again on a

separate unnumbered page which is not listed in the table of contents.

3.2.5 Contents Listings

3.2.5.1 Table of Contents

A table of contents, and if needed a list of illustrations and a list of tables, should always be included and should follow the acknowledgements. These are the last of the unnumbered preliminary pages. Contents listings are extremely important. Unlike a book, a thesis has no index. Therefore, the contents listings must be accurate and informative – an examiner or reader may use them to find his or her way back round the work. A good contents listing will also display the pattern of ideas through which the reader will be taken. The table of contents should show chapter and section titles (if any), demonstrating the relationship of the parts to each other by (if appropriate) indentation and numbering. Chapters and sections should be referenced to their page numbers.

3.2.5.2 List of Illustrations

A list of illustrations should follow the table of contents on a separate unnumbered page. If different types of illustrations are included this list can be subdivided into headed sections (e.g. Figures, Plates, Maps, Charts etc.). A page number should follow the title of the illustration. If illustrations have been inserted without page numbers then the terms “Facing page” or “Following page” should precede the appropriate page number. “Facing page” is used when one illustration is used; “Following page” is used when a whole series of illustrations has been inserted in the text.

3.2.5.3 List of Tables

If appropriate a list of tables should follow the list of illustrations on a separate unnumbered page.

3.2.5.4. Other Preliminary Listings

It may be advisable to include other listings at this point. For example, if the work extensively employs certain abbreviations, or includes new definitions or symbols, these may be placed most appropriately at this point. By placing them at the front, readers are alerted to their existence and can return to them when they need to be reminded of their meaning. However, lengthy lists of abbreviations (i.e. more than a page) may be better located after

the main body of the work. Discretion must be shown in making this judgement. Whatever you decide you must always explain fully any abbreviation, symbol or new term when you first use it in the text.

3.3 The Text

The main body of the text follows the preliminaries. As has been indicated in the Introduction, this guide is not concerned with the content and standard required of a thesis. Within the text, however, it may be necessary to indicate additional information or acknowledge other sources.

Throughout a substantial body of text it is certain that you will need to use references to acknowledge sources that you have consulted and, possibly, footnotes to illuminate some points or issues which are raised. It is important that you have a clear understanding of how and why references and footnotes are employed in a scholarly work.

3.3.1 References and Referencing Systems

Referencing is an essential part of academic scholarship. Intellectual honesty demands that authors identify their sources. Referencing has three main functions:

- a) to acknowledge an intellectual debt to another author where you have drawn heavily from his or her published work or ideas, either explicitly or implicitly;
- b) to support specific facts or claims which you make in your text;
- c) to enable the reader to find sources to which you have referred easily and quickly.

Failure to identify sources upon which you draw is plagiarism, the most serious of academic offences and a possible breach of copyright law. A thesis which embodies deliberate plagiarism will almost certainly be rejected. If you are in doubt about what constitutes plagiarism, or how to avoid it, you should consult your supervisor, and read the University's Guidelines on Plagiarism (<http://www.as.bham.ac.uk/study/support/sca/examirregular.shtml>) which are normally issued annually by Academic Services.

The essential elements of a reference always include an author statement and the title of the book or periodical article: for a book this is followed by an edition statement, the place of publication, the publisher and the date of

publication; for a periodical publication you should cite the periodical title, publication year, volume, issue and page numbers. Referencing systems are normally based on the author-date system, eg Harvard, or a numerical system such as the Vancouver System. For full details on how to construct references for different types of sources, and on referencing systems generally, please refer to the I-CITE⁽⁴⁾ guide.

3.3.2 Footnotes

Footnotes are much less common in a scholarly work than they once were. Footnotes are notes relating to the text placed at the foot of a page. Sometimes they are collected together at the end of a chapter, or at the end of the whole work: in these cases they are then often referred to as "Notes" or "Endnotes." It is tempting to use these notes but, in fact, they should be used with great caution and considerable restraint. Frequent or over-indulgent use of footnotes is often an indication that the author has not thought out clearly what he or she wishes to say, or is incapable of attaching a proper degree of importance to competing pieces of information or arguments which are being presented. Footnotes, but particularly endnotes, are also distracting to the reader, interrupting his or her concentration on following the line of argument. Footnotes should therefore be restricted as follows:

- a) to develop an idea or expand a quotation where to do so in the text would really disturb the balance of the current argument;
- b) to refer the reader to another part of the thesis;
- c) to state a source;
- d) to acknowledge a borrowing.

If none of the above criteria apply then an appendix or special note at the end of the thesis is probably more appropriate. There are some subjects where footnotes are particularly appropriate (eg law, where it is common to place references to cited cases at the foot of the page so that a reader can quickly identify the full details of a case). In most circumstances, however, they should be used with care and restraint.

3.3.2.1 Layout of Footnotes

Footnotes are generally indicated by small superscript numbers placed at the end of a sentence. Numbering begins afresh on each new page. In works where footnotes are used

both as references and as footnotes proper, the numbering is often sequential. Notes or endnotes are numbered sequentially as they appear. If tables are used then footnotes to them should be placed at the bottom of the tables to which they refer, and not at the bottom of the page.

3.3.3 Length of the Thesis

The normal maximum length of the thesis or dissertation is stated in the Regulations for the particular degree for which you are registered. Your supervisor should guide you on the appropriate length for your work. The calculation of length excludes appendices, tables, diagrams, references, bibliography, footnotes and endnotes.

If your thesis is likely to exceed the maximum given in the Regulations you should, at an early stage, seek written permission of the University's Research Progress & Awards Sub Panel. Where approval has not been obtained, theses exceeding the word limit will be returned to students. If you registered from September 2001 onwards you are required to complete a Submission of Research Degree Theses: Declarations form confirming the word length of the thesis.

3.4 End Pages

The end pages include such sections as appendices, special notes, a list of references and a bibliography.

3.4.1 Appendices

Appendices and special notes may in effect be interchangeable. Appendices are often used for information which is supportive in nature and will not impede the progress of the reader in the main text. They are especially useful for readers who require greater clarification. Therefore, they can be used as follows:

- a) for explanations and elaborations which are too long for footnotes, but are not essential parts of the text;
- b) texts of documents, laws etc. which illustrate the text;
- c) long charts or tables of test-data, specifications for equipment and materials used, etc.

Do not regard them as repositories for things which do not fit elsewhere in the text – ensure that you have a clear justification for including

them. Appendices should be listed on the contents page. Where more than one appendix is included, assign each one a number and list them like chapters.

3.4.2 List of References/Bibliography

This is an important part of the thesis. It is important systematically to record the sources you have consulted and to manage your references in a way that facilitates their incorporation in your thesis.

The list of references must contain all of the sources which you have found significant enough to mention in the text. Its presentation will depend on whichever referencing system you have adopted. "List of References" is often the preferred heading for introducing such a list for a thesis in the Sciences; "Bibliography" is often the term preferred in the Humanities.

It should be noted, however, that "bibliography" is a term, which has a slightly more precise meaning. It is often used to include sources which have not been cited in the text itself, but which the author thinks that readers might wish to go on to consult. Such a bibliography, if included, is often sub-divided into sections if this is likely to prove more helpful. Where your research has made extensive use of primary sources (unpublished materials) then these might best be listed separately from published material. Where the work is exclusively about one individual then it may be advisable to give separate lists of works by and about that individual. If these conditions do not apply then normally a consolidated alphabetical sequence is to be preferred.

4.0 Notes

⁽¹⁾ University of Birmingham eTheses Repository <http://etheses.bham.ac.uk/>

⁽²⁾ INDEX to theses <http://www.theses.com/>

⁽³⁾ EThOS (Electronic Theses Online Service) <http://www.ethos.ac.uk>

⁽⁴⁾ I-Cite: Guide to Citing References
<http://www.i-cite.bham.ac.uk/>

5.0 Further Reading

ALLISON, B. *The student's guide to preparing dissertations and theses*, London: Kogan Page, 1997 (Main Library LB 2369/A)

ANDERSON, Jonathan. *Assignment and thesis writing*, Chichester: Wiley, 2001 (OLRC 808.06)

BOSWORTH, David P. *Citing your references: a guide for authors of journal articles and students writing theses or dissertations*, Thirsk: Underhill Press, 1992.

BRITISH STANDARDS INSTITUTION, BS 4821: *Recommendations for the presentation of theses*, London: BSI, 1990.

DUNLEAVY, P. *Authoring a PhD*. Basingstoke: Palgrave Macmillan, 2003

I-CITE: GUIDE TO CITING REFERENCES
<http://www.i-cite.bham.ac.uk/>

MODERN HUMANITIES RESEARCH ASSOCIATION, *MHRA style guide: notes for authors, editors and writers of theses*. 6th ed.

MURRAY, R. *How to write a thesis* Maidenhead: Open University Press, 2006 (LB 2386/M)

NEVILLE, C. *The complete guide to referencing and avoiding plagiarism* Maidenhead: Open University Press, 2007 (PN 171.F56)

OLIVER, P. *Writing your thesis* London: Sage, 2004 (LB 2369/O)

THODY, A. *Writing and presenting research*. London: SAGE, 2006. (Education Library LB 2369/T)

Appendix 3 - Stakeholders consulted at BU

APRC.09.02.03

Who?	Why?	Position
Academic Office Student Services staff	Handle the examination process and deposit of interim and final copies of theses	Support move to e-theses subject to changes to Regulations
Legal Office	Responsible for ensuring good practice and compliance with appropriate legislation. Advise on implications of changes in practice. Advise on Freedom of Information and Data Protection relating to restricted access to theses.	No view on e-theses <i>per se</i> , and uphold the current University position on IPR in research findings. No response to proposed changes on Author Declaration form. Awaiting advice from Legal Office on FoI and withholding information contained in theses.
Library ALCD staff	Handle receipt of theses, create metadata, ensure non-disclosure of confidential theses, arrange and manage permissions from authors/Schools, arrange for copying of theses by British Library, assist Document Supply Team with parts of the supply process	Support move to e-theses because of potential to streamline processes and improve customer service
Library Document Supply staff	Handle requests for access to theses from Stores, loans of BU theses to other UK libraries, and make authorised copies of theses for overseas requesters. Also handle requests from BU readers for theses from other HEIs.	Support move to e-theses because of potential to streamline processes and improve customer service
BU researchers	Require access to the research findings of theses written by past BU students (and there is also significant demand from external researchers). Require access to findings by researchers at other HEIs.	Support move to e-theses because of major improvement in ease of access and turnaround time
BU thesis authors (via BU Postgraduate Committee, BU Graduate School, and National Postgraduate Committee)	Represent the interests of researchers at the beginning of their career and of their Supervisors.	Support move to e-theses because of potential to raise research profile, subject to suitable protection of confidential information
BU academic staff examiners and supervisors	Read and examine theses.	Support move to e-theses for general access to final version, post-examination, subject to continuing with existing paper format for examination and marking, and option for Supervisor to request a paper copy for his/her own use.
A number of enthusiastic individual academic staff and postgraduates	Are keen to see improvements in access to theses and/or to promote good research from their School/Dept. Several are dissatisfied with present cumbersome arrangements for producing and storing theses.	Support move to e-theses because of major improvement in ease of access
Academic Office Systems Team	Responsible for e-student developments	Need to schedule system developments to automate submission process.
IT Business Systems staff	Maintain the digital repositories in which theses reside, will take responsibility for long-term archiving.	Theses do not present any challenges different from other material in the repository.
School postgraduate administrators	Maintain School copy collections of theses.	This task will no longer be required and most Schools wish to abandon it.
IS Bindery staff	Provide a binding service for interim and final copies of theses	Will see a reduction in (but not elimination of) thesis work and will lose a proportion of associated income
Other interests		
Research Councils and (public) funders of research	Generally support open access to the results of publicly-funded research	Support move to open access
(Commercial) sponsors of PhD research	May require some research findings to remain confidential for a period of time	(Embargo procedures are in place)
External researchers	Require access to the research findings of theses written by past BU PhD students, and are currently experiencing a poor service, especially if based overseas.	Support move to e-theses because of major improvement in ease of access and turnaround time
Alumni Office	Will be asked to help with contacting authors and publicising implications of wider availability of their theses	(Already help us with some requests)