

## **THESIS FORMAT GUIDELINES**

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### **1. Dalhousie Thesis Guidelines**

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1. The thesis must represent a coherent body of original work by the student. It must display a scholarly approach and thorough knowledge of the subject.
2. Plagiarism in any form is completely unacceptable (<http://academicintegrity.dal.ca/>).
3. In some disciplines it may be appropriate for the thesis to include published or submitted manuscripts, papers, or reports authored or co-authored by the student. Students who wish to pursue this option must have the prior consent of their supervisory committees, and must obtain appropriate copyright permission. Specific publication format and copyright guidelines are given below.

It is expected that the student has made a substantial contribution to any such manuscripts. Where co-authored manuscript(s) are included in the thesis, the student's contribution must be clearly indicated. (<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>)

*The publication or acceptance of such manuscripts before the thesis defence in no way supersedes the examination committee's evaluation of the work, including requesting revisions.*

4. The thesis is the **primary** and **permanent** record of the student's work. As such, it is important that it both be written by the student (with appropriate editorial advice as needed) and conforms to normal academic standards. Assistance in improving writing skills is available at both the faculty and university levels (e.g., Writing Workshop; <http://learningandteaching.dal.ca/taguide/WritingWorkshop.html>).
5. Prior to undertaking any thesis research, all necessary approvals must be obtained and documented. This includes **Animal Care**, **Human Research Ethics**, and **Biohazardous Materials** (as applicable; further information can be found at [http://researchservices.dal.ca/research\\_1482.html](http://researchservices.dal.ca/research_1482.html)). Students are responsible for contacting the appropriate University offices to determine whether these approvals are required for their research and to get instructions on how they may obtain them. Copies of approval letters should be submitted to the Faculty of Graduate Studies when they have been obtained by the student.

### **2. Preparation of the Thesis**

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The following formatting guidelines have been designed to benefit current and future users of the thesis by ensuring that it is a complete, legible, well organized, and accessible document.

The formatting guidelines include specific FGS requirements and a number of general recommendations. These are intended to help students prepare their thesis manuscripts to an appropriate academic or professional standard, and to facilitate reproduction by the Library and Archives of Canada (LAC; formerly National Library of Canada) (<http://www.nlc-bnc.ca/>). Students are advised that significant departures from these guidelines may result in a lower quality of reproduction or, in extreme cases, rejection of the thesis by FGS or LAC.

**A checklist of FGS requirements is available in section 5.0 or online at:**  
<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>.

Some academic units may have specific FGS-approved requirements or guidelines in addition to those listed below. Academic units that provide electronic Style Templates should ensure that these are consistent with the guidelines given below.

Students are advised that theses completed before the present guidelines were approved (December 2003) should not be relied upon for details of format, because they may no longer meet current FGS requirements. Students should consult FGS and their unit graduate co-coordinators or websites before preparing their thesis manuscripts.

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### **2.1. General Guidelines**

The following guidelines apply to both Standard and Publication thesis formats, unless otherwise indicated (see section 2.3).

- a) **Language:** Normally English, but French is also acceptable. Language departments may have their own requirements. Quotations in languages other than English or French may require a translation. Theses written in a language other than English must have two abstracts, one in the language of the thesis and one in English.
- b) **Style:** A style appropriate to the subject matter should be followed consistently. Students should consult their academic units to see if electronic Style Templates are required or recommended. The form and location of notes and bibliographic references must be consistent throughout the thesis and conform to discipline practice. Canadian, American, or British spelling is acceptable, but one form must be used consistently throughout the thesis.
- c) **Page Set-up:** 21.5 x 28 cm (8.5" x 11"), portrait (vertical) orientation.
- d) **Margins:** Left-hand margins should be 38 mm (1.5") wide, (to facilitate binding should the student chose to have a copy bound). All other margins should be well defined at approximately 25 mm (1"). Right-justification is not necessary.
- e) **Font:** For the main body of the text, a standard, easily legible, 12-point font is preferred (e.g., Times New Roman) although for some font styles (e.g., Arial or Helvetica) 11-point may be acceptable. Chapter titles and section subheadings may be in a different style and in 12 or 14-point font- they should stand out clearly from the text. Footnotes can be 10 or 12-point font. The title of your thesis must be in Title Case or ALL CAPS. The title of all entries in the Table of Contents must be in Title Case.
- f) **Page Numbers:** All pages must be numbered in sequence. There must be no missing, blank, or duplicate pages. Specific page number formats, where applicable, are indicated below. Minimum font size is 10-point and must be consistent throughout the text. Chapter 1 must start on page 1.
- g) **Line Spacing:** 1.5 or 2 for text; exceptions are noted below.
- h) **Order of Items in Entire Thesis:** The following order of items is common to both Standard and Publication thesis formats. Please note which items are optional.

Preliminary Pages (numbered with lower case Roman numerals):

Title Page  
Signature Page  
Copyright Agreement Page  
Dedication Page (optional)  
Table of Contents  
List of Tables (if applicable) (**First Entry in Table of Contents**)  
List of Figures (if applicable)  
Abstract  
List of Abbreviations and Symbols Used (if applicable)  
Glossary (optional)  
Acknowledgements (optional)

Main Pages (numbered with Arabic numerals):

Body of Text – divided into chapters

Final Pages (continuation of Arabic numerals):

Endnotes (optional)  
Bibliography\*  
Appendices (optional)\* (**Final Entry in Table of Contents**)

\* The order of the last two items (Bibliography and Appendices) may be reversed for consistency with discipline practice.

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### **2.2. Preliminary Pages**

Sample copies and templates for some items (b, c, d) are available from FGS (<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>).

- a) **Page Numbers:** The page numbers in the preliminary material are to be in lower case Roman numerals, centred at the bottom of the page, except for the title page, which is not numbered.
- b) **Title Page:** This must be in standard format (<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>). There is no page number written on this page, but it is considered to be page one (i).
- c) **Signature Page** (page ii): This must be in standard format. The original copy must bear original signatures, in blue or black ink. For PhD theses the signature page is supplied by FGS at the time of the PhD defence. A sample copy can be obtained online at <http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>.
- d) **Copyright Agreement Form** (page iii): This must be in standard format. The original copy must bear an original signature. A sample copy can be obtained online at <http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>.
- e) **Dedication Page** (if applicable): The content and format of this page are up to the student.
- f) **Table of Contents:** For clarity, use 12 point font. For the ordering of items in the Table of Contents, please see section 2.1.h (above). All chapter titles, headings and subheadings should appear in the Table of Contents. Insert the word "Chapter" in front of chapter numbers in the table of contents and in the main body of text. Chapter 1 should be entitled Introduction, for example, 'Chapter 1: Introduction' and the last chapter entitled Conclusion (or Discussion). Titles that extend onto more than one line should be single-spaced; but line spacing of 1.5-2 should be maintained between entries. Text within the titles must not hang over the Table of Content's page numbers; the 'column' of page numbers must be free of any text from the titles. Right align page numbers. Each appendix (if applicable) should be listed separately in the Table of Contents.
- g) **List of Tables and List of Figures** (if applicable): Table/Figure titles that extend onto more than one line should be single-spaced, but line spacing of 1.5-2 should be maintained between entries. Text within the titles must not hang over the page numbers; the 'column' of page numbers must be free of any text from the titles. The lists should include any material included in a supplementary electronic file. When listing the Tables and Figures make sure that text within the titles must not hang over the page numbers; the 'column' of page numbers must be free of any text from the titles.
- h) **Abstract:** The thesis must contain an abstract. This should occupy a single page, and may be single-spaced, if necessary. There should be no illustrations or footnotes. Students are advised that, owing to space limitations, both the AMICUS Web on-line catalogue and Dissertations Abstracts International database used by LAC (Library Archives) truncate abstract text strings at 150 words for MSc theses and 350 words for PhD theses.
- i) **List of Abbreviations and Symbols Used** (if applicable).
- j) **Glossary** (if applicable).
- k) **Acknowledgements** (if applicable): The content and format of this page are up to the student.

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### **2.3. Main Pages (Body of Text) – Standard format**

- a) **General:** The thesis should be organized as chapters, and should follow the general guidelines and order of items listed in section 2.1. Chapter 1 must start on page 1.
- b) **Page Numbers:** All pages must be numbered in sequence. Minimum font size is 10-point. It is normal practice for the page numbers in the main body of the text to appear in bottom centre, although lower right or the upper right corner are also acceptable. Page number placement should be consistent throughout the text, although it is acceptable for the first page of every chapter to be numbered at the bottom centre of the page regardless of the number placement on other pages. Page numbers must be at least 0.5 inches (1.3 cm) from the top or bottom of the page and 1 inch (2.5 cm) from the right. **FOR PAGES WITH LANDSCAPE SET UP:** (if you have a large table/photo that fits to the page in landscape), the page numbers should be located in the same position as all other page numbers in the main body of the thesis (vertical when bound). To fix this in Word, you need to do two things per page: create a text box with a white background and no border to mask the generated page number and then another text box with a white background and no border to insert the number in the correct place, rotated to the correct orientation (confirm correct font and size).
- c) **Line Spacing:** 1.5 or 2, except where indicated otherwise. Short sections (e.g., quotations, equations, footnotes) may require more or less than this, according to discipline practice.
- d) **Chapter Titles, Headings, and Sub-headings:** All chapter titles, headings, and sub-headings must appear in the table of contents. For each level of title or heading, consistent format in font size and style, numbering or lettering, and placement should be maintained throughout the thesis text (except Table of Contents; see 2.2(f)). Each chapter should begin on a new page. Title Case should be used when listing each title or heading.
- e) **Tables and Figures:**
- **General:** The content, placement, and format of figures and tables are determined by discipline practice. Sources of any figures or tables not original to the thesis must be cited; in some cases copyright permission may be necessary (see section 4.0). Lettering in tables and figures should be legible at the scale of reproduction in the thesis. Figures may be in colour or grey-scale, as appropriate to the subject matter; students are advised that the National Library reproduces colour figures in grey-scale.
  - **Captions:** Captions may be single-spaced and may appear directly above or below the figure or table or alone on the immediately preceding page. Captions can be in sentence form, without capitalizing all major words.
  - **Page Setup:** Figures, tables, and captions may be embedded in the text or appear on separate pages as appropriate. Landscape or portrait orientation is acceptable, although the page itself must appear in portrait (vertical) orientation. Margin width and page number placement should be consistent with the rest of text.
  - **Numbering:** All figures and tables are to be listed at the beginning of the thesis except those appearing in the appendices; note that there are a few discipline-specific exceptions to this rule. Numbering or lettering style (if any) should be in accordance with discipline practice, and consistent throughout the thesis.
- f) **Footnotes:** Footnotes should conform to a scholarly style consistent with discipline practice. In order to ensure that the thesis will be legible when it is reproduced by LAC (Library Archives), the font size used for both the superscripts and the corresponding text should be the same as that used in the main body of the text (10-point font minimum; see section 2.1). Footnotes may be placed at the bottom of the page, at the end of each chapter, or at the end of the thesis (endnotes), as long as placement and formatting are consistent throughout the thesis.

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### **2.4. Final Pages (Endnotes/References/Appendices)**

- a) **Endnotes:** If used, must be placed before the Bibliography and Appendix.
- b) **Bibliography/References/Reference List/Works Cited:** Choose which title for this section is most appropriate for your thesis and department. All cited references must be listed at the end of the thesis. This applies whether or not the thesis has been submitted as a series of related manuscripts with individual reference lists. The thesis must contain a complete reference list or bibliography, citing all the literature and other sources referred to in the thesis and appendices, including websites. Individual reference entries must not be split over two pages. Format and placement of reference citations should be consistent throughout the thesis, and should conform to a scholarly style consistent with discipline practice.
- c) **Appendices:** Each appendix should be listed separately in the Table of Contents.
- **General:** Appendices may include data tables, source codes, analytical procedures, survey forms, or any other supplementary material approved by the supervisory committee. Content and format should be in accordance with discipline practice.
  - **Copyright Permission:** Where a thesis includes copyrighted material (e.g., publications), copyright permission letters should be included as a separate appendix. Reprints may be included in the appendices, provided copyright permission is obtained.
  - **Electronic Supplements:** Students are advised that electronic supplements may not be accessible to future users of the thesis because of format changes. If electronic supplements are included, a brief description of their contents should appear as an appendix in the thesis. Additional guidelines are given in section 2.7.
- d) **Pagination:** Pages should be numbered in sequence with the rest of the thesis.
- e) **Line Spacing:** Individual entries may be single-spaced; spacing between entries should be 1.5 or 2 lines. Individual reference entries must not be split over two pages.
- f) **Font Size:** Font size for both endnotes and cited references should be consistent with the rest of the thesis text. Other details of format (italics, punctuation, etc.) should be compatible with discipline practice and should be consistent through the entire list.

### **2.5. Supplementary Material (Included in Thesis)**

- a) **Electronic supplements:** supplementary electronic files can be uploaded to DalSpace.
- b) **Copyright agreement letters** (if applicable – to be included in an appendix)

### **2.6. Other Material (Not Included in Thesis)**

- a) **How to Submit:** This material must be submitted to the Faculty of Graduate Studies the day you make your final thesis submission
- b) Library and Archives Canada Form: <http://dal.ca/grad/currentstudents/thesesanddefences/forms/#library>
- c) Ethics approval letters (if applicable)
- d) Student Contribution to Manuscripts in Thesis form (if applicable)

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### **2.7. Publication Format Thesis**

- a) **General:** A student may opt to submit some or the entire thesis as a series of related papers, or manuscripts intended for publication, which form a coherent body of work (see "Format" below). This requires prior consent of the supervisory committee and appropriate copyright permission. The paper(s) will normally form one or more well defined thesis chapters; details of organization and content are determined by the student and the supervisory committee. The publication status (submitted, in revision, in press, or published, with dates) and book or journal details (volume, page numbers, etc.) of any manuscripts or papers included in the thesis must be specified with each such chapter.
- b) **Authorship:** Single or multi-authored papers may be included, provided that the student has made a substantial contribution to the work. Academic unit guidelines may specify the number and/or order of authors in accordance with discipline practice. The student's contribution to both the research and the writing of any multi-authored paper must be clearly specified either in the introduction to the thesis or at the beginning of each relevant chapter. The Student Contribution Form (<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>) should be filled out by the supervisor and submitted with the thesis.
- c) **Format:** Publications incorporated as thesis chapters should be in manuscript form in a style consistent with general FGS guidelines (section 2.1). Although manuscript chapters will normally have their own introduction and discussion sections, there should be a single general introductory chapter at the beginning of the thesis and a single comprehensive discussion chapter at the end. Linking sections between manuscripts may be included as necessary. Where publication abstracts, acknowledgements, or reference lists are included, they should appear as sections or subsections that are numbered in accordance with the rest of the chapter text.
- d) **Bibliography/References/Reference List/Works Cited:** All references cited in publication-format chapters must be included in a single complete reference list at the end of the thesis (see section 2.4). Publication-format chapters may contain their own reference lists. If chapter reference lists are included, they must be presented in a style consistent with the rest of the thesis, regardless of the format of the original. Individual reference entries must not be split over two pages.
- e) **Supplementary Material:** Supplementary material not intended for publication (e.g., extensive data tables, details of experimental methods) may appear as supplements to publication-format chapters, as separate chapters, or as appendices, depending on the nature and length of the additional material required.
- f) **Copyright Permission:** Students must obtain appropriate copyright permission for any substantial part of the thesis for which copyright is held by another party (e.g., a publisher; see section 4.0). Copyright permission letters should appear in an appendix at the end of the thesis. Letters must include provision for LAC (Library Archives) reproduction (<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>). Reprints may be included in the appendices. Copyright permission is required.
- g) **Revisions:** Examiners may specify revisions to any part of the thesis, regardless of publication status.

### **2.8. Electronic Submission**

FGS has moved to electronic submission of theses as PDF/A documents. The PDF/A is an archival version of the PDF, now based on an agreed international standard. Unlike other PDF documents, the PDF/A is machine independent, and contains all the fonts and other information necessary to fully reconstruct the thesis.

Once submitted, the E-thesis is sent to the Dalhousie Institutional Repository (DalSpace) from which it is then harvested by Theses Canada, sent to the National Library, Ottawa and listed in Dissertation Abstracts International or Masters Abstracts International. The National Library can then circulate copies according to the International Inter-Library Loan Code, with full copyright protection for the author. Similarly, E-theses are also stored by Dalspace where they are searchable and available to the public via the internet.

FGS does not coordinate thesis binding. Students interested in bound thesis copies can contact a binding company directly to make arrangements for binding of personal copies as needed. Supervisors and Departments will be able to access the thesis online via DalSpace, or can make arrangements with the student to obtain a bound copy.

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Student PDF/A files must be saved with the following naming convention "last name, first name, degree, program, date" (eg. "Smith, John, MSc, CHEM, June 2010").

More information on electronic submission of theses can be found at:  
<http://dal.ca/grad/currentstudents/thesesanddefences/etheses/>

### **3.0. Library and Archives of Canada (formerly National Library of Canada)**

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A PDF/a of the thesis is sent to the Library and Archives of Canada (LAC), formerly the National Library of Canada (NLC) (<http://www.nlc-bnc.ca/>).

**Students are required to complete and sign the LAC Non-Exclusive License to Reproduce Theses, which must be handed in with the final thesis paperwork.**

Students are advised that the LAC (Library Archives) may refuse to accept theses that are deemed illegible or that do not contain appropriate copyright permission letters (see section 4). Consult the LAC (Library Archives) website (<http://www.nlc-bnc.ca/>) for specific formatting guidelines.

### **4.0. Copyright**

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The student, as author, retains ownership of the copyright in the thesis.

In conformity with the Copyright Act, the thesis may contain an extract (e.g., quotations, diagrams, tables) from other sources protected by the Copyright Act for the purposes of research, comment, or review, provided that the use of the material is fair and reasonable and the source is properly attributed. Otherwise, there must be no substantial amount of copied material in the thesis unless written permission has been granted by the holder of the copyright. What constitutes a "substantial amount" depends on the circumstances but more weight is generally given to the quality of the amount copied rather than to the quantity. When in doubt, students are advised to seek permission to include the material from the holder of the copyright.

Students who are including all or a substantial portion of their own work (e.g., publications) for which copyright has been assigned to another person or organization (e.g., a publishing company) will need to obtain a letter of permission from the copyright holder. Letters of permission from the person(s) or organization holding the copyright should appear in a thesis appendix. (<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#regs>) For works of joint authorship, the co-authors' permission should also be obtained unless copyright has already been transferred to a publisher; students are encouraged to get the necessary permissions when manuscripts are submitted.

In order to have their theses reproduced and distributed by the Library and Archives of Canada (formerly National Library of Canada), students must sign the "Non-Exclusive License to Reproduce Theses" (<http://dal.ca/grad/currentstudents/thesesanddefences/forms/#library>). The letter from the copyright holder should include permission for the copyrighted material in the thesis to be reproduced and distributed by the LAC (NLC).

### **5.0. Embargo**

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If you need to place a hold on the publication of your thesis, you must complete the FGS "Application to Embargo a Thesis" form at the following link prior to DalSpace submission: <http://dal.ca/grad/currentstudents/thesesanddefences/forms/#embargo>

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### **6.0. Checklist**

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The following items and formats are required by FGS. In addition, students must meet discipline-specific standards with respect to format (including electronic format), organization, manuscript (co)authorship, and any other requirements. Students are responsible for informing themselves about any special formats or standards required by their academic units.

#### **General:**

- a) 21.5 x 28 cm (8.5" x 11") page format;
- b) Left-hand margin 3.81 cm (1.5"); other margins 2.54 cm (1");
- c) Line spacing 1.5 or 2, except where otherwise indicated;
- d) 12-point font in main body of text, unless otherwise specified;
- e) All pages numbered (except title page);
- f) No missing, blank, or duplicate pages;
- g) PDF/A can't contain any signatures; File name can't contain an ampersand (&).

#### **Preliminary Pages:**

- a) Title page, signature page, copyright agreement form all present and in standard format. Date entered on these pages should be the date on which the oral defence occurred or if you didn't have an oral defence this would be date your "read" defence was approved. Page numbers: lower case Roman numerals, centred on bottom of page, no number on title page.
- b) Thesis title and student name consistent on the first three pages. Thesis title in 'Title Case' or 'ALL CAPS';
- c) Table of contents: complete; numbers and wording consistent with text;
  - ◆ First entry on Table of Contents is the List of Tables (if you have it), see sec 2.1.h for ordering Table of Contents entries;
  - ◆ All titles found in Table of Contents (and their corresponding headings within the text) should be in Title – highlight the title in Microsoft Word, go to format, change case and select title case).
  - ◆ Right-align page number entries (use the right aligned tab).
  - ◆ Use 1.5-2 line-spacing between entries; entries that are more than one line should be single-spaced.
  - ◆ Insert the word "Chapter" in front each Chapter and in the main body of text, for example, Chapter 1: Introduction
  - ◆ Chapter 1 should be entitled Introduction and Last Chapter Conclusion (or Discussion);
  - ◆ Ensure that text within the titles must not hang over the Table of Content's page numbers; the 'column' of page numbers must be free of any text from the titles.
  - ◆ Entries should have a minimum of two leaders (or dots) separating the text from the page number, force breaks where necessary;
  - ◆ List each Appendix separately.

#### **Main Pages - Body of Text, Standard Format:**

- a) Chapter 1 starts on page 1
- b) Page numbers: all pages numbered in sequence, consistent placement consistent font size (minimum 10-point font);
- c) Font size: 12-point or equivalent for text;
- d) Line spacing: 1.5 or 2 throughout the text;
- e) Titles and subheadings: consistent numbering and placement for each different level; font size and style may differ from main text.
- f) Tables and Figures: When a table carries on to more than one page the first row in the table (containing the headers) should be repeated on the 2nd and subsequent pages

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### **Final Pages (Endnotes/ References/Appendices):**

- a) Font size consistent with main body of text;
- b) Final Bibliography/References/Reference list/Works Cited must include all items referred to in text;
- c) Individual entries may be single-spaced; 1.5 or 2 lines required between entries.

### **Supplementary Material (Included in Thesis):**

- a) Copyright agreement letters (if applicable – part of an appendix)
- b) Electronic supplements: supplementary files can be uploaded to DalSpace
- c) Written description of electronic supplements (if applicable – part of an appendix)

### **Other (Not Included in Thesis):**

- a) Library and Archives of Canada Form: <http://dalgrad.dal.ca/currentstudents/thesesanddefences/forms/#library>
- b) Ethics approval letters (if applicable)

### **Publication Format ONLY:**

- a) Font size, page numbers, line spacing, and headings as for standard format;
- b) Statement of student contribution to co-authored manuscripts (FGS form completed and statement in text);
- c) Student Contribution to Manuscripts in Thesis form (if applicable)
- d) Copyright permission letters (in appendices);
- e) Abstract, acknowledgements, reference lists (if any) numbered as sections consistent with rest of chapter;
- f) Publication status and details for each manuscript or paper;
- g) General introduction and discussion/conclusion chapters included in thesis.
- h) Tables and Figures: When a table carries on to more than one page the first row in the table (containing the headers) should be repeated on the 2nd and subsequent pages