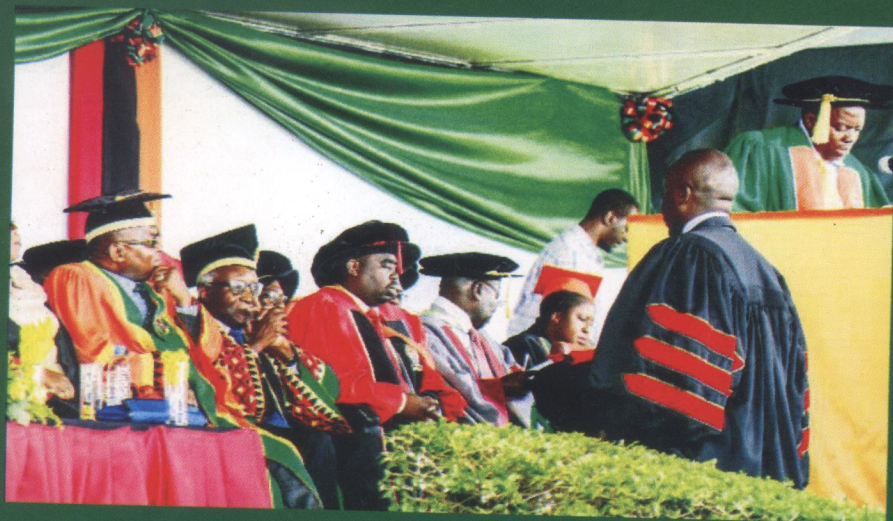




The University of Zambia

HANDBOOK

**FOR POST GRADUATE STUDENTS
PREPARING TO SUBMIT
THESIS/DISSERTATION FOR
EXAMINATION**



DIRECTORATE OF RESEARCH AND GRADUATE STUDIES

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CHAPTER 1: INTRODUCTION

1.1 Introduction

At the completion of the research work, all graduate students at the University of Zambia are required to submit a specified number of loosely bound typed manuscripts of their research work for examination to the office of the Assistant Dean, Postgraduate Studies, in their respective Schools. This office assures the quality standards established by the Board of Graduate Studies of the University of Zambia. In general, the doctoral manuscripts are called *thesis*, and the master's manuscripts are called *dissertations*. For the purposes of this handbook, the term *thesis* will accommodate both masters and doctoral manuscripts.

The number of copies of the theses required to be submitted are as follows:

- Dissertations for masters degree: four (4) loosely bound copies.
- Theses for the doctoral degree: six (6) loosely bound copies.

The official examinations results are communicated to the candidates by the Directorate of Research and Graduate Studies, DRGS. The candidates are required to incorporate all corrections, revisions and amendments recommended by the examiners and deposit three hard bound copies of their corrected thesis to the Assistant Dean, Postgraduate Studies of their respective schools.

This handbook attempts to provide the guidelines for preparation of the thesis for examination and also for the deposit of the final corrected version of the thesis.

1.2 Some Hints for a Stress-Free Submission

Submitting the thesis for examination is not a complicated process, but it does require planning and attention to deadlines. Take time now to learn

about the requirements, mark the deadlines on your calendar, and be realistic about the amount of time you will need to complete writing your thesis/dissertation. Allocate some extra time to cater for the unanticipated emergencies. Consult your supervisor and visit the office of your School's Assistant Dean (PG) early enough, at the time of giving your notice of intent to submit your thesis, in order to confirm your understanding of the process and submit your thesis for examination at the earliest possible opportunity. Waiting until the week before the deadline, while sometimes unavoidable due to external circumstances, is bound to make this process stressful. Planning can avoid unnecessary anxiety.

1.3 Formatting Guidelines

Chapter 3 contains the specific guidelines from the Board of Graduate Studies, henceforth referred as the "Board", of the University of Zambia for thesis format. The Board requires that all theses conform to these guidelines, look professional and be excellent representatives of the University of Zambia. If you are **consistent** in the ways you format your thesis, such elements as headings, font, spacing, and pagination, you will likely to have little difficulty in submitting your thesis for examination.

1.4 Additional Information

This handbook cannot anticipate every question that might arise. Students are encouraged to contact their supervisors and the Assistant Dean (PG) of their school. Please note that the information contained in this handbook is for general guidance on matters of interest to faculty, staff and graduate students at the University of Zambia. The handbook summarizes relevant University regulations as a convenient reference tool. However, information on the University policies and regulations contained herein is for information purposes only and it is subject to change without notice. For more detailed information, please see the official University of Zambia Regulations for Postgraduate Studies. The regulations can also be accessed through the University of Zambia home page: www.unza.zm.

CHAPTER 2: DETAILED CHECKLISTS AND REQUIREMENTS FOR GRADUATING STUDENTS

This chapter is intended to provide the information necessary to navigate the preparation and submission of the thesis for examination. Please review the appropriate checklist and read all accompanying information in the following pages.

2.1 Checklist for Master's Degree Students

1. Ensure you have met all necessary registration requirements.
2. Complete a format review with your supervisor.
3. Complete format review with your School's Assistant Dean (PG).
4. Submit four loosely bound copies of your thesis for examination before the deadline.

Materials required:

- Four (4) loosely bound copies of your thesis
 - Supervisor's certificate, signed, confirming that your thesis is ready for examination
5. Update address information. Results will be mailed to your permanent address.

2.2 Checklist for Doctoral Degree Students

1. Ensure you have met the registration and time limit requirements; register for the semester in which you are submitting your thesis.
2. Title page check in the office of the Assistant Dean (PG) of your school.

3. Complete format review with your supervisor and obtain supervisor's approval form.
4. Submit six loosely bound copies of your thesis for examination before the deadline.

Materials required:

- Six loosely bound copies of your thesis
 - One original copy of Supervisor's approval form, signed
 - Abstract, formatted according to the recommended guidelines
5. Update address information. Your results will be mailed to your permanent address.

2.3 Detailed Information about the Checklists

2.3.1 Registration and Time Limit Requirements

Master's Students

Check the status of your registration with the Assistant Dean (PG) of your school.

Doctoral Students

Check the status of your registration with the Assistant Dean (PG) of your school.

2.3.2 Title Page Check in the office of the Assistant Dean (PG)

Visit the Assistant Dean's office early in the submission process, preferably at the time of sending your intent to submit, to have your title page reviewed. The DRGS requires that you format your title page according to the guidelines defined in this handbook, and no exceptions will be made. It is essential to ensure that your name and prior degree information coincides exactly with the University records. If you wish to change the way your name appears, and / or

make corrections to recorded prior degrees, you must contact the Office of Admissions, DRGS. It is your responsibility to provide official documentation to the DRGS to clarify any discrepancies.

Note: You will not be permitted to submit your thesis until your name corresponds with the University records and is used consistently in all submission materials.

2.3.3 Format Review

It is the supervisor's responsibility to ensure that the candidate's thesis conforms to the formatting requirements before he/she signs the supervisor's certification form.

2.3.4 Submission of thesis for examination

Submit your thesis for examination at the office of the Assistant Dean (PG) of your school during regular office hours prior to the deadline for submission as follows:

2.3.4.1 Master's Degree Students:

Materials required:

- Four loosely bound copies of your thesis
- Supervisor's certificate, signed, confirming that your thesis is ready for examination
- Updated address information. Results will be mailed to your permanent address.

2.3.4.2 Doctoral Degree Students

Materials required:

- Six loosely bound copies of your thesis

- Supervisor's certificate, signed, confirming that all corrections recommended by the examiners have been incorporated.
- Certificate of Approval form, signed by the Chairperson, Board of Examiners and all examiners supervisor, confirming that the final thesis conforms to the format requirements of the University of Zambia. This form must be typed or laser printed, and your name must be consistent with its appearance on your title page.
- Updated address information. Results will be mailed to your permanent address.
- Graduate Survey form (*optional*). This survey is optional, but it is a good opportunity for graduate students to express their graduate studies experience at the University of Zambia.

2.3.5.2 Doctoral Degree Students

Materials required:

- Three (3) hard bound copies of the final version of your thesis.
- Two (2) copies of the abstract of the thesis.
- Supervisor's certificate, signed, confirming that all corrections recommended by the examiners have been incorporated.
- Approval form, signed by the supervisor, confirming that the final thesis conforms to the format requirements of the University of Zambia. This form must be typed or laser printed, and your name must be consistent with its appearance on your title page.
- Updated address information. Results will be mailed to your permanent address.
- Graduate Survey form (*optional*). This survey is optional, but it is a good opportunity for graduate students to express their graduate studies experience at the University of Zambia.

2.3.6 Update Your Address Information

Results will be mailed to your permanent address as it appears in the University of Zambia's records. Please update this information before leaving the campus. If you are already away from the campus, you must make your address request in writing. This request must bear your full name as you would like to appear on your certificate, the signature of the student and it must include student identification number, new address information, and contact phone number or e-mail address. Please submit your written request to the Assistant Registrar, Directorate of Research and Graduate Studies, University of Zambia, P.O.Box 32379, Lusaka.

2.3.7 Post Deposit Considerations

2.3.7.1 Certification of Degree

Sometimes an employer may require confirmation that a student has completed all degree requirements for graduation. After your thesis deposit is complete, and if you have met all other requirements and if you are not in any kind of arrears with the University, you may request for a letter of certification from the DRGS. You should supply an address to which the letter can be mailed. If you urgently need this letter, you may drop the request at the Office of Admissions, DRGS, and pay the prescribed fees. Your letter of certification will then be available as soon as possible.

2.3.7.2 Participation in Graduation Ceremonies

There is a graduation held each academic year for all degrees to be conferred since the previous graduation ceremony. Students are eligible to participate in a graduation ceremony if they have satisfied all the requirements for graduation.

CHAPTER 3: ORGANIZATION AND FORMAT OF THESES

3.1 General Formatting Specifications for Theses

3.1.1 *Rationale*

Formatting guidelines set forth by the DRGS help ensure a high University standard. Each thesis deposited with the DRGS will be made available to the public through the University library. The University of Zambia requires that all deposited theses be professional in format and be high quality representatives of the institution.

3.2 Documentation Styles

The University of Zambia grants graduate degrees in over fifty units, and disciplines vary widely in documentation and format style. Nevertheless, the DRGS requires a recommended style for all theses at the University of Zambia. However, the candidates may use the citation style preferred by their department/discipline. Whatever the citation style selected, it must be followed consistently throughout the thesis.

3.3 General Guidelines

3.3.1 *Margins*

For binding purposes and later ease in microfilming and copying, every page of the dissertation or thesis must meet these **minimum** margin standards:

| | |
|---------|----------------------|
| Top: | 25 mm |
| Bottom: | 25 mm |
| Right: | 25 mm |
| Left: | 40 mm (binding edge) |

All thesis material must fit within these margin requirements (including tables, page numbers, figures, and graphs). The margins used should be consistent throughout the manuscript. No headers or footers giving the titles of the thesis, chapters, or sections are allowed.

3.3.2 *Fonts and Font Size*

Twelve point Times New Roman is standard, but any legible font, except those that are script, italic, or ornamental, is acceptable for the body of the text. If Arial, Helvetica, or Century Gothic fonts are used, the thesis must be in 10 point font or greater to be accepted. A consistent font and size must be observed throughout all sections of the thesis, with two exceptions. Italics may be used for quotations, words in a foreign language, as well as for emphasis. The font used for appendices, charts, drawings, graphs, and tables may differ from that used for the text, but consistency throughout the document is strongly recommended. All print should be letter quality with dark black characters that are consistently clear and dense.

3.3.3 *Line Spacing*

The thesis, including the abstract, acknowledgments, and introduction, must be double-spaced or one-and one-half-spaced. Spacing must be used consistently throughout the document. Foot notes, endnotes, bibliographic entries, long quotations, items in lists, and appendixes may be single-spaced. The line spacing observed in a thesis must be consistent throughout, including the spacing between a chapter heading and the first line of the text.

3.3.4 *Pagination*

Every page of the entire thesis must be numbered, *except* for the notice of copyright page, title page, and the approval form. Page numbers must appear in the same location on each page and be consistent in font size and style, not less than 13 mm from the edge of the page. The DRGS recommends placing page numbers at the bottom centre of the page.

Preliminary pages of a thesis are numbered in lowercase roman numerals. The first page of the thesis text follows the preliminary pages and begins in Arabic numbering with 1.

3.3.5 Paper

All copies of the thesis must be submitted on white, A4 size paper. The DRGS accepts 80 gram per square meter, standard grade paper.

3.3.5 Print Quality

Thesis copies submitted for deposit should be high quality, and preferably of laser quality. Many ink jet printers also produce acceptable copies. If you are concerned about the print quality, bring a sample page to the office of the Assistant Dean (PG) for advice. High quality photocopies without any smudges or blemishes may be submitted for deposit. Given the wide availability of professional quality duplication and printing, corrections made with correction fluids or tapes are not acceptable.

3.3.6 Colour Copies

Colour copies are acceptable and even encouraged for illustrations. However, for the purposes of microfilming, labels or symbols rather than colours should identify lines on a graph. Illustrative materials, drawn or computer generated, in black will reproduce well during microfilming, while colours will appear as varying shades of grey. Shaded areas, such as countries on a map, will have better contrast during microfilming if crosshatching is used instead of colour.

3.3.7 CDs and Other Non-print Media

Compact discs may be included with the thesis. However, it is recommended that the thesis be understandable without the material contained on the CD. CD-ROM must be clearly marked with your name, degree, department, university, dissertation title, and a reference to the

disc's place in the dissertation. These materials are best considered part of the appendix. CD-ROMs should be secured in an envelope or case which should be attached to a numbered page of text that has information about the information included in the CD-ROM, *such as "Appendix C: CD of Flight Images."* This will help the placement if the CD becomes separated from the paper copy of the thesis. The compact disc must be labelled as follows:

Your name

Thesis title

Degree, department, University name, and year of graduation

Appendix number (if appropriate) and appendix title.

Example:

Martin.S. Tembo

*Coffee Consumption of Graduate Students Trying to Finish
Dissertations*

Ph.D. Thesis, Department of Food Science and Human Nutrition,
University of Zambia, 2004

Appendix A: Statistical Results

3.4 Organization of Thesis

3.4.1 All theses must be organized utilizing the following three sections, namely preliminary pages, text pages, and reference/appendix pages.

Preliminary pages of a thesis are numbered in lowercase roman numerals. The first page of the thesis text follows the preliminary pages and begins in Arabic numbering. The information given below attempts to clarify the pagination rules and the arrangement of the pages. The thesis must be arranged in the following sequence:

3.4.2 Preliminary Section

3.4.2.1 This section is arranged as follows:

1. *Title Page*: Counts as page i, but number does not appear.
2. *Signed declaration page by the student*: Counts as page ii, but number does not appear.
3. *Notice of Copyright*: Has no page number.
4. *Certificate of Approval form*: Counts as page iii, but number does not appear.
5. *Abstract (for inclusion in the thesis)*: Begin numbering with iv.
6. *Dedication (Optional)*: Continue numbering with lower case roman numerals.
7. *Acknowledgments*: Continue numbering with lower case roman numerals.
8. *Table of Contents*: Continue numbering with lower case roman numerals.
9. *List of Figures*: Continue numbering with lower case roman numerals.
10. *List of Tables*: Continue numbering with lower case roman numerals.
11. *List of Illustrations*: Continue numbering with lower case roman numerals.
12. *List of Symbols*: Continue numbering with lower case roman numerals.
13. *List of Abbreviations*: Continue numbering with lower case roman numerals.
14. *Preface or Introduction*: Continue numbering with lower case roman numerals.

Note: Lists of figures, tables, etc., may appear in any order, provided they appear after the table of contents.

3.4.2.2 Notice of Copyright

This page has no page number. The DRGS office does not require that students include the notice of copyright, it is optional. Whether or not you include a notice of copyright on your thesis, you retain the right to publish all or any part of the work by any means at any time. Additional information is available in chapter 5.

If the notice is included, it must appear on a separate page immediately preceding the title page. This page does not have a page number. The copyright notice must appear in this format:

© 200x by [name as it appears on the title page]. All rights reserved

The notice of copyright must be centred vertically and horizontally, and no other information may appear on this page. Your name must be consistent with its appearance on the title page. See the sample in the appendix.

3.4.2.2. Title Page

The title page must be formatted exactly according to the model in the appendix of this handbook. It is important that your name, previous degrees, and degree and department information be presented correctly and match university records. Additionally, if there is a discrepancy, it often takes time to correct the information in the student information system. Please visit the DRGS early in the deposit process to have your title page reviewed; this provides adequate time to make any necessary changes. Doctoral documents should be indicated by the word THESIS, and master's manuscripts receive the designation of DISSERTATION on the title page.

3.4.2.3 Certificate of Approval

This page does not have a page number. The approval form certifies that the Board of Examiners has approved the thesis or dissertation to

fulfil or partially fulfil the degree requirements for the doctoral and the masters' degree of the University of Zambia respectively. This form must bear the signatures of the chairperson, Board of Examiners and all examiners. Contact the office of the Assistant Dean (PG) of your school to obtain this form.

Signed certificate of approval will be provided by the Assistant dean (PG) of your school only on the submission of the duly signed supervisor's certificate and the signed format approval form. The certificate of approval must indicate a date that includes month, date, and year. For doctoral students, this date *must* be the date of the final examination. For master's students, this date may indicate the date at which the final version of the document was approved by the supervisor. Please ensure that font styles remain consistent (Times, 12 point, bold). The student name and thesis title should appear in all capital letters on the certificate of approval.

3.4.2.4 *Abstract*

An abstract is a short synopsis of the content of the thesis. An abstract should not contain more than 600 words typed in single line spacing. The font and font size must correspond with the rest of the document, and the heading should be consistent with all other headings. The abstract should state the problem, describe the methods and procedures used, and give the main results or conclusions of the research. Inclusion of an abstract within the thesis is mandatory, and the page must be numbered with lowercase roman numerals.

3.4.2.5 *Dedication*

Inclusion of a dedication is optional. However, many students wish to dedicate their work to a friend, parent, or mentor. The heading "Dedication" does not need to appear on the dedication page. The text of the dedication should be centred vertically and horizontally, and the page must be numbered with lowercase roman numerals.

3.4.2.6 *Acknowledgments*

Inclusion of acknowledgments is mandatory. The line spacing of the text must be consistent with the spacing in the rest of the document, and the heading must be consistent with all other headings. This page must be numbered with lowercase roman numerals.

3.4.2.7 *Table of Contents*

A table of contents is required of all theses deposited at the University of Zambia. It must list all major sections, including the bibliography and appendix. Subsections may be included within the table of contents. The wording, entries, and headings in the table of contents must match exactly with what is used in the text. Nothing prior to, and including, the table of contents may be listed. The most common mode of presentation is to single-space within and to double-space between each entry. The use of leader dots and right and left justification is *required*. The table of contents page(s) must be numbered with lowercase roman numerals.

If a chapter or appendix title is long enough to require a second or third line in the table of contents, the word wrap from line to line should not intrude upon the page number column. No pages prior to, or including, the table of contents may be listed in the table of contents. All major sections following the table of contents, including sections such as a List of Tables or Introduction, must appear in the table of contents.

3.4.2.8 *Lists of Tables, Figures, Illustrations, Symbols and/or Abbreviations*

The format for these lists must be consistent with the format used for the table of contents. This information immediately follows the table of contents on a new page. Be consistent in the inclusion of tables or figures; if tables from one chapter are included in the list of tables, then tables from all the other chapters and the appendix must be

included. Each entry must list the same caption or title used for a table in the text, although a long caption may be abbreviated with only the first full sentence or clause. The most common mode of presentation is to single-space within and to double-space between each entry. These pages must be numbered with lowercase roman numerals.

3.4.3 *Text Section*

The text must be divided into chapters or sections. The text must be numbered using Arabic numerals, beginning with the number 1, and this number must be displayed.

3.4.4 *Documentation of Secondary Sources*

Theses and dissertations rely upon both secondary and primary source materials. Copyright laws as well as professional ethics demand the acknowledgment of these sources, particularly when using a direct quote. The DRGS recommends a preferred documentation style. However, it permits students to utilize the documentation system consistent with their field of study. Either footnotes or endnotes are acceptable, and students may also document within the text, using parentheses. The font used for footnotes and endnotes must be the same as the text, but they are usually presented in a smaller type size. Whichever style is selected, it must be used consistently throughout the document.

3.4.5 *Headings*

Headings are useful to guide the reader quickly and clearly through the thesis document. **All major headings and subheadings must be presented in the same way in each chapter or major section, in terms of capitalization, placement on the page, and font size and style used.** For instance, if the heading for chapter one appears centred in all capital letters, then the other chapter headings must also be centred, in all capital letters. All major sections (including

sections like the abstract, acknowledgments, table of contents, list of figures, chapters, bibliography, appendixes, and vita) must begin on a new page and observe a consistent heading style. Only major sections may begin on a new page. Subsections must continue to fill a page within a chapter. Whenever the heading of a section or subsection appears near the bottom of a page, it must be followed by at least one line of text, or the heading should be forced to the top of the next page. Finally, the appearance of headings and subheadings in the text must be consistent with their representation in the table of contents. Please note that this extends to style and content, with the exception of bolding. If titles are italicized or underlined in the text, they need to be so in the table of contents. Headings that are bold within the text are not required to be bold in the table of contents. However, it is acceptable to use bold type to emphasize major sections like chapters within the table of contents.

3.4.6 Tables, Figures and, Photographs

A variety of illustrative materials may be presented in the thesis, including tables, figures, photographs, charts, graphs, line drawings, maps, and other media. For discussion purposes, these media will be called figures.

Figures may be presented within the text, at the end of chapters, or in a comprehensive section at the end of the document. The arrangement of figures within the thesis is the decision of the student and his supervisor. However, grouping the figures at the end of chapters or at the end of the document could be the simplest and the most convenient method.

Format the figures so that the figure, number, and caption can be placed on the same page. Figures may be presented horizontally or vertically. In either case, figures must fit within the required margins, and page numbers must be placed consistently throughout the entire manuscript. It may be necessary to use a reducing copier in order to achieve this. Oversized, wide figures must be rotated counter

clockwise so that the top of the figure runs parallel to the left margin of the page (landscape).

3.4.7 *Numeration*

All figures must be numbered consecutively throughout the entire thesis. You may follow a straight sequence (1, 2, 3, 4, etc.) or use a decimal approach (1.1, 1.2, 1.3, where the first digit is the chapter number, and the digit after the decimal point is the figure number).

3.4.8 *Captions*

Each figure must have a caption. Single-spacing within captions is acceptable, and it can aid the reader in distinguishing between text and caption. Additionally, it can facilitate the placement of the caption on the same page as the figure. Some students use a slightly smaller font size for captions, and this approach is acceptable, provided it is consistent and easily legible. Captions should appear on the same page as the figure they reference. They may appear either above or below a figure, but all captions within a document must be consistently placed. If a figure is rotated, the coordinating caption must also be rotated.

3.4.9 *Continued Figures*

If a figure runs longer than one page, subsequent pages of the figure must include at least the figure number and the notation that it is continued. We recommend something like "Figure 1, cont." Be consistent throughout the thesis.

3.4.10 *Blank Space*

The DRGS requires that you keep the document concise and professional by avoiding large blank areas without text or figures. In general, keep white space to a minimum, not more than one-quarter of a page.

3.4.11 *Oversized Figures*

Oversized materials should be reduced when legibility can be maintained. If this is not possible, a folded, oversized page may be included as part of the thesis. This page may be accordion folded, so that it may be bound with the rest of the document. In this case, the page number must appear in a manner consistent with the rest of the document.

3.5 **Reference Section**

- *List of References:* Continue numbering in Arabic numbers following the text.
- *Appendix or Appendixes:* Continue numbering in Arabic numbers.

Note: the bibliography may appear *either* before or after the appendices. If the appendices cite sources reported in the bibliography, however, the appendices should appear before the bibliography.

3.5.1 *List of References*

The references section may not have a chapter number; it is a separate entity.

All theses must have a list of references, and the documentation style should follow the recommended format (see Appendix B). References must be in the same font and point size as the rest of the thesis. The most common mode of presentation for references is to single-space within and double-space between each listing. Avoid having a page break in the middle of a citation, where it continues from one page to another. Instead, leave each citation self-contained on a single page and break pages between citations.

In some scientific and engineering disciplines, the references may be given at the end of each chapter instead of at the end of the thesis. In

this case, the headings "List of References" and "Literature Cited" would be acceptable, but not "Bibliography", which is a term used for the summary of source material at the end of a thesis. When the List of References appears at the end of a chapter, it should *not* be forced to begin on a new page. Instead, as part of the chapter, it should begin immediately following the text.

3.5.2 *Appendix or Appendices*

Authors may wish to include additional supporting materials at the end of their theses. This information should be organized into an appendix or series of appendixes. Appendix material may include tables, figures, maps, photographs, raw data, computer programs, interview questions, sample questionnaires, and many other types of material. Appendixes appear at the end of the thesis text only; they may not appear at the end of a chapter. The font and point size for the main heading, subheadings, and illustration captions of an appendix must match that of the text, but the font type and point size of the materials in the body of the appendix may be different. Similarly, material in an appendix may be single-spaced. If there is more than one appendix, they should be numbered as A, B, C, etc.

3.6 **Additional Information**

3.6.1 *Previous Publication of Material within the Thesis*

Inclusion of previously published material in a master's dissertation or doctoral thesis is a common practice in research institutions and it is permitted at the University of Zambia. In such cases, the DRGS requires that students state at the beginning of the chapter that the work includes previously published material. This is accomplished through a footnote following the chapter title that acknowledges the previous publication, cites basic bibliographic information, and states that the copyright owner has provided permission to reprint. In scientific disciplines, it is also common for students to include material derived from a published paper with multiple authors. In

such cases, the footnote should acknowledge the contribution of the other authors. In addition, the thesis should also explicitly call attention to, and appropriately credit, any figures, tables, or data that were not created by the author. Students are strongly encouraged to make inquiries as to copyright ownership. If you have published a chapter of your thesis as a journal article or book section, you may no longer own the copyright, and you may need to request copyright permission, in writing, from the publisher that holds the copyright. Most publishers are agreeable. Doctoral students must receive permission in writing from the publisher and attach a copy to their Doctoral Thesis Agreement form.

3.6.2 *Use of Copyrighted, Previously Published Material and "Fair Use"*

Since the shelving of your thesis in the University Library constitutes a form of publication, you must obtain permission to include copyrighted material in your thesis. You are ultimately responsible for the legality of all copyright use in your document. However, you may use copyrighted works in your dissertation without securing permission and without paying royalties if this use falls under the definition of "fair use." To determine if your usage of copyrighted materials falls under "fair use," you must consider: (1) the purpose and character of the use, (2) the nature of the copyrighted work used, (3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole, and (4) the effect of the use upon the potential market for or value of the copyrighted work. Quotations that exceed fair use require permission of the copyright holder. A statement from the copyright owner giving you permission to use the material must be submitted with the dissertation. The permission letter must state that the copyright owner is aware that single copies may be supplied upon request and may proceed under the contract on the agreement form.

3.6.3 *Publishing Your Doctoral Dissertation*

The doctoral thesis is a published work that announces research results, and the University of Zambia holds to the academic tradition that there is an obligation to make this research available to other scholars. Therefore, the DRGS submits all dissertations for circulation in the University Library.

3.6.4 *Patent Review*

Students with theses containing potentially patentable information may need to have their theses held by the DRGS while patentability is assessed. In such cases, a student's degree requirements can still be fulfilled even though publication of the thesis is postponed. Students wishing to have their theses held for patent review must contact the Director, DRGS.

USEFUL REFERENCES

1. Association for Support of Graduate Students. August 2003.
www.asgs.org/
2. Citing Internet Resources. The Internet Public Library. August 2001.
www.ipl.org/ref/QUE/FARQ/netciteFARQ.html

APPENDIX I: SAMPLE PAGES

I.1 Sample Notice of Copyright Page

Immediately precedes the title page and does not have a page number. Centre copyright information "© 2004 by -----". *All rights reserved.* vertically and horizontally. Name must match appearance on the title page.

I.2 Sample Title Page

Format at 6cm, 10cm, 16cm, and 23cm down on the page for each main block of the text. Also, observe ALL CAPS where indicated. The title page has no page number. Doctoral documents should be indicated by the word THESIS and master's manuscripts receive the designation of DISSERTATION on the title page.

THESIS TITLE CENTERED
IN CAPITAL LETTERS

by

Name of the Candidate

A thesis/dissertation submitted in partial fulfilment
of the requirements for the degree of
Doctor of Philosophy/ Master of ----- in ----

The University of Zambia
Month, 2004

I.3 Sample Dedication Page

To Father and Mother

Dedication should be centred vertically and horizontally. You may italicize if you wish. The heading "Dedication" is not necessary on this page. The dedication page uses Roman numeral pagination.

I.4 SAMPLE ACKNOWLEDGMENTS PAGE

This project would not have been possible without the support of many people. Many thanks to my supervisor, -----, who read my numerous revisions and helped make some sense of the confusion. Also thanks to my co-supervisors, -----,-----and-----, who offered guidance and support. Thanks to the University of Zambia for providing the necessary facilities. Thanks to ----- for awarding me the financial support for this project. And finally, thanks to my husband/wife/ parents, and numerous friends who endured this long process with me, always offering support and love.

It should also include recognitions of permissions granted to the author to use published and/ or copyrighted material.

The line spacing of the text must be consistent with the rest of the thesis text, and the heading must be consistent with all other headings. The acknowledgment page uses Roman numeral pagination.

APPENDIX II: COMMON REGULATIONS GOVERNING PREPARATION OF THESIS FOR EXAMINATION/ FINAL VERSION FOR DEPOSIT

A. GENERAL PROCEDURES FOR THE PREPARATION AND SUBMISSION OF THESES FOR MASTERS DEGREES AND PHD DEGREES

Number of Copies

- A.1 The candidate is required to prepare FOUR copies of the Masters Degree thesis or SIX copies of the PhD Degree thesis, which he/she is required to submit to the appropriate Assistant Dean for Graduate Studies. The Assistant Dean will forward ONE copy to each member of the Board of Examiners.
- A.2 The copies of the thesis submitted for examination need not be bound, but instead may be presented in a suitable temporary format such as ring binder or manuscript box. Binding shall be required after the thesis has been accepted and after any necessary corrections or alterations have been incorporated.
- A.3 At the conclusion of the examination process, and when corrections (if required) have been made, the candidate shall submit THREE bound copies of the thesis to the Assistant Dean for Graduate Studies who shall in turn forward them to the Directorate of Research and Graduate Studies. The Directorate of Research and Graduate Studies shall deposit one copy of the thesis in the University Library, send one copy to the concerned school and retain the remaining copy in its collection of completed theses.
- A.4 All copies of the thesis must be prepared strictly in accordance with the specifications set out below.

Language

- A.5 The thesis shall be written in English, except for sources, quotations and cases where another language is required. At the discretion of the Board of Graduate Studies, theses in language subjects may be written in the language concerned.
- A.6 Measurements, unless required by context, shall be in metric or SI (Système Internationale).
- A.7 For geographical names, references should be made to the Times Index-Gazetteer of the World (London: Times Publishing House, 1965) and in case of Zambia to the Gazetteer of Geographical Names in the Republic of Zambia (Lusaka: Government Printer, 1967).
- A.8 For personal names, reference should be made to any standard biographical dictionary.
- A.9 Non-English words and phrases used in the text should be underlined, e.g. mukoka, par excellence or typed in italics: *mukoka*, *par excellence*.
- A.10 Enumeration should be by words or figures, but not both together [e.g. not 'ten (10)']. In general, numbers up to ten may be spelled out, and numbers over ten written as figures.
- A.11 The word 'percent' should be used to denote such values in the text, but in tables the symbol '%' should be used.
- A.12 Exterior quotation marks should be single, and interior ones doubled. Thus: He said 'I don't like the word "naïve."' The full stop should be placed inside the final quotation marks except for the purpose of setting off a citation.

- A.13 Sources of tables and diagrams, or of the data contained therein, should in all cases be clearly stated beneath the table or diagram concerned.

Production Specifications

- A.14 The typescript of the thesis shall be on A4 size white 80g/m² paper. Only one surface of the paper may be used.
- A.15 All copies submitted must be clearly typed, using a standard 12 point font size with double or one-and-a-half line spacing in the body of the text. Times New Roman typeface is preferred. For footnotes and indented quotations single spacing may be used.
- A.16 Margins at the binding edge should be not less than 40mm, and the other margins not less than 25mm.
- A.17 Any tables, charts, graphs, diagrams, maps or supplementary information may be of a size larger than the overall measurements of the required A4 size. In this case, they shall be presented ready for binding either by mounting and folding in, or by inserting into a pocket on the inside back cover of the volume after binding. Alternatively if the volume of illustrative material warrants it, by submitting a separate volume of a larger size.

Pagination

- A.18 The thesis shall consist of preliminaries, text, and end matter. Every page shall be numbered. The preliminaries should be numbered in small Roman while the text and end matter should be numbered in Arabic numerals.
- A.19 Pages should be numbered consecutively throughout the text, including those pages incorporating photographs or diagrams which are included as whole pages. Where the thesis consists of

more than one volume, the pagination should indicate the Arabic number of the volume as well as the page number referring to the particular volume.

- A.20 Appendices should be named alphabetically, and each appendix paginated consecutively with the main text and each other.
- A.21 Page numbers should be located centrally at the bottom of the page and approximately 20mm above the edge of the page.

Title Page (See also section B)

- A.22 The title page of each volume of the thesis should contain the following information:
- (i) The full title of the thesis, and the sub-title, (if any);
 - (ii) If there is more than one volume, the total number of volumes and the number of the particular volume;
 - (iii) The full name of the author (as recorded on his/her birth certificate);
 - (iv) The award for which the thesis is submitted to the University;
 - (v) The name of the University; and
 - (vi) As the last line of the page, the date (Year only).

Abstract of Thesis

- A.23 An abstract of normally 350 words or one page in length, should be bound as an integral part of the thesis, and should precede the main text. Each copy of the thesis submitted should be accompanied by a separate copy of the abstract.

- A.24 The abstract should be printed in single spacing and should indicate the author and title of the thesis in the form of a heading.

Length of Thesis

- A.25 For a masters degree the length of the thesis must not be more than 60,000 words. For a PhD the thesis must not exceed 100,000 words.
- A.26 The above figures are maxima and it is expected that the majority of theses will be considerably shorter than these limits.

Referencing (See also Section C)

- A.27 It is recommended that either of the following be used:
- (i) The Harvard system as recommended by the Directorate of Research and Graduate Studies (DRGS).
 - (ii) A recognised standard appropriate to the discipline and agreed with the Supervisor with the endorsement of the appropriate School Graduate Studies Committee.

Binding and Cover

- A.28 The final version of the thesis shall be bound with hard boards to a finished size of 220mm x 307mm, and shall be covered in 'Zambian Green' buckram (Redbridge Book Cloth Co. Everest Washable, light green shade 631 or equivalent). The boards should have sufficient rigidity to enable the thesis to stand upright on a shelf without other support. The binding should also be such as to enable the pages to lie flat when the thesis is placed lying down and opened at any page.

- A.29 The thesis must be securely bound in such a way that leaves cannot be removed or replaced. Any photograph or diagram, which is not reproduced integrally with the text, should be fixed firmly in place.
- A.30 The spine of the cover shall carry: the name of the candidate (consisting of one forename, other forenames initialised, and the candidate's surname), the degree for which the thesis is submitted, and the year in which it has been accepted. This information shall run from head to tail and be in a minimum of 18 point letters stamped in good quality copper coloured foil (Whiley's Newvap Magna 432 or equivalent).

Pre-Publication, Copyright and Ownership

- A.31 The candidate is encouraged to publish material in advance of presentation of the thesis. Reference to such published material should be listed in an appendix to the candidate's thesis.
- A.32 Copyright in the thesis resides with the candidate. Ownership of other intellectual property arising in the course of the preparation of the thesis and patent rights in respect of any relevant product or process should be agreed in advance between the candidate and the University.
- A.33 In cases where the material in the thesis is confidential or proprietary, the examiners are required to sign a non-disclosure undertaking in respect of the material comprising the thesis.
- A.34 The Principal Supervisor should advise the Directorate of Research and Graduate Studies in regard to provision with regard to the basis on which access to the thesis for purposes of research may be accorded to third parties.
- A.35 The University Library will retain its copy of the thesis and will make this copy available for consultation, in the library, in

accordance with normal library practice. In cases where the material in the thesis is confidential, the University Library shall restrict access to the thesis for a specified time after it has been lodged in the Library.

- A.36 The University Library will make provision for the inclusion of a description and abstract of the thesis in appropriate directories of abstracts for reference by the international academic community.

Acceptability of Theses

- A.37 Only theses prepared according to these procedures are acceptable for higher degrees in the University of Zambia. It is the responsibility of the supervisor(s), as internal examiner(s), to ensure that theses are prepared according to the foregoing regulations.

B. FORMAT FOR PRELIMINARIES OF THESES FOR MASTERS DEGREES AND PHD DEGREES

- B.1 Every thesis shall be satisfactory as regards form and literary presentation. It must include a full list of references to material, whether published or otherwise, used in its preparation. It shall consist of preliminaries, text, and end matter. The preliminaries shall consist of the following items, and in the order given.

- B.1.1 Title Page: This shall carry the following information suitably spaced and centred.

Title of Thesis

By

(Candidate's full name)

A thesis/dissertation submitted to the University of
Zambia in partial fulfilment of the requirements of the
degree of (Degree) in (Subject).

OR

A thesis submitted to the University of Zambia in
fulfilment of the requirements for the degree of (Degree)
in (Subject).

THE UNIVERSITY OF ZAMBIA
LUSAKA

Date (Year only)

- B.1.2 Copyright declaration.

- B.1.3 Declaration: A signed declaration by the candidate that the thesis represents his/her own work, and that it has not previously been submitted for a degree, diploma or other qualification at this or another University. Alternatively, if published work or material from the

candidate's other work has been incorporated, this must be indicated here.

- B.1.4 Certificate of Approval: This is the approval page for the signatures of examiners when the thesis is approved. The page shall state 'This thesis/dissertation of (candidate's full name) has been approved as fulfilling the requirements or partial fulfilment of the requirements for the award of the (Degree) in (Subject) by the University of Zambia', together with spaces for the signature of the examiners and the date of approval.
- B.1.5 Abstract: a concise summary of the thesis in not more than 500 words or one page length.
- B.1.6 Acknowledgements or preface of acknowledgements.
- B.1.7 Table of Contents.
- B.1.8 List of Tables
- B.1.9 List of Figures, Maps, illustrations
- B.1.10 List of Abbreviations and Acronyms. Abbreviations or acronyms which refer only to the bibliography may be placed at the head of the bibliography.

C. GUIDELINES OF THE CITATION OF REFERENCES IN THESES

C.1 *References to Published Work in Theses*

- C.1.1 It is recommended that either of the following be used:

- (i) The Harvard system as recommended by the Directorate of Research and Graduate Studies (DRGS).
- (ii) A recognised standard appropriate to the discipline and agreed with the Supervisor with the endorsement of the appropriate School Graduate Studies Committee.

C.1.2 This Appendix is intended as a guide for the Harvard system.

C.2 *Referencing Style for different Information Sources*

C.2.1 *Books*

There are examples in this document for books with one (**Leevai, 1990**) two (**Shigley and Mischke, 1976**) and more than two authors (**Bird et al., 1960**). Where there are more than two authors the list of references should give all the authors. You may also wish to refer to an author by name e.g. "**Leevai (1990)**" in the body of the text.

Bird, R.B., W.F. Stewart and E.N. Lightfoot, 1960. Transport Phenomena, New York: Wiley.

Leevai, D.C., 1990. Physics: Principles with Applications. 3rd ed. Englewood Cliffs, N.J.: Prentice Hall.

Shigley, M. and F.P. Mischke, 1976. Writing Scientific Papers in English, Amsterdam: Elsevier/North Holland/Medica.

C.2.2 *Edited books*

Where you wish to refer to an edited anthology it should be as (**Juran, 1952**) and ed, for editor should appear after the author's name in the full reference, along with the title, publisher and place of publication.

Juran, J.M. (ed.), 1952. The Poems and Letters of Andrew Marvell, 2 vols., 2nd ed. Oxford University Press.

C.2.3 Theses

Theses (**Caremeway, 1997**) may be cited as follows:

Caremeway L., 1997. Optimisation of the Mechanical Properties in an Investment Cast Aluminium Alloy. Ph.D. Thesis, University of Zambia.

C.2.4 Chapter in edited book

For references to a contribution in a book (**Pauling, 1972; Louis and Che, 1985**) the following apply:

Louis, C., and M. Che, 1985. The structure of CeO_2 , in: Reactivity of Solids, P. Barret, Ed, 1057-1059, Amsterdam: Elsevier.

Pauling, L., 1972. Science and Peace: Nobel Lecture, December 11, 1963. In: F.W. Haberman (Ed), Nobel Lectures, Peace 1951 - 1970. Amsterdam: Nobel Foundation/Elsevier., 271-287.

C.2.5 Unauthored works

Occasionally a book has no obvious author. In such cases you should cite most of the reference in the text as in (**Handbook of industrial materials. 1992.**). Another example would be (**Ireland. Department of Education, 1984**).

Handbook of industrial materials. 2nd. ed., 1992. Oxford: Elsevier.

Ireland. Department of Education, 1984. Ages for learning: decisions of Government. Dublin: Stationery Office.

C.2.6 Journal articles

The full reference (**Carey, 1975a; Kim and Johnston, 1987; O'Bradaigh et al., 1991**) should include the title of the paper, the journal in which it appears, with volume and page numbers. If an author has published more than once in the same year you may differentiate between the citations as: (**Carey, 1975 a; Carey, 1975 b**).

Carey, S.W., 1975 a. "The expanding earth; an essay review. Part 1" *Earth-Sci. Rev.*, 11, 105-143.

Carey, S.W., 1975 b. "The expanding earth; an essay review. Part 2" *Earch-Sci. Rev.*, 11, 106-189.

Kim, K. and K.P. Johnston. 1987. "Molecular Interactions in Dilute Supercritical Fluid Solutions" *Ind.Eng.Chem.Res.*, 26, 1206-1213.

O.Bradaigh, C.M., R.B. Pipes and P. Mallon. 1991. "Issues in diaphragm forming of continuous fiber reinforced thermoplastic composites." *Polymer Composites.*, 12(4), 246-256.

C.2.7 Magazine or newspaper articles

Newspaper and periodical articles are cited in a slightly different way to periodicals in the list of references, but in the same way in the text; (**Fisk, 1993; Divine, 1965**).

Divine, D., 1965. "Will Bomber Command last?", *Sunday Times*, January 31st, p.19.

Fisk, Robert, 1993. "Destinies collide on the Nile." *Independent on Sunday*. 28 March, p.18.

C.2.8 Conference proceedings

Reference to a paper in a conference proceedings may be as **(Kaunitz, 1985)**. If you wish to refer to the entire conference it should be cited as **(Supercomputing systems, 1985)**. Sometimes conference proceedings are published as issues of journals and should be cited as **(Bouras, Ch., 1975)**. Full details of the name of the conference, place and date held editor(s) of the proceedings, published, place and date of publication should be included in the full reference.

Bouras, Ch., 1975. "Particular difficulties in the conservation and study of Greek historical monuments." In Photogrammetric Surveys of Monuments and Sites. Photogrammetria, J. Badekas (Editor) 30: 99-105.

Kaunitz., J. 1985. "Database backup and recovery in transaction driven information systems." In: Supercomputing Systems: Proceedings of the First International Conference, St. Petersburg, Florida, December 16-20, 1985. Svetlana P. Katashev and Steven I. Katashev, eds. Washington, D.C.: IEE Computer Society Press, 265-272.

Supercomputing Systems: Proceedings of the First International Conference, 1985. St Petersburg, Florida, December 16-20, 1985. S. P. Katshev and S.I. Katashev, Eds. Washington, D.C.: IEEE Computer Society Press.

C.2.9 Patents

References to patents and patent applications should be as **(Philip Morris Inc.; 1981, Winget Ltd, 1967)**.

Philip Morris Inc., 1981. "Optical perforating apparatus and system". European patent application 0021165A1. 1981 01-07.

Winget Ltd 1967 "Detachable bulldozer attachment for dumper vehicles". Inventor: Reginald John England. 8 Mar Appl: 10 June 1963. Int C1: E02F 3/76. GB C1: EIF 12 GB Patent.

C.2.10 Technical reports

This is often a difficult area but the following often works **(Brinkley et al., 1986)**.

Brinkley, J., C. Cornelius and R. Altmann, 1986. "Application of constraint satisfaction techniques.", Technical report KSL - 86 - 28 Stanford University CA.

C.2.11 Additional Guidance

A particular feature of the Harvard system, which is often overlooked is that the initials of the first author follows the surname in the list of references, but this is reversed for the remaining authors (Louis and Che, 1986).

The list of references should be listed at the end of a chapter or thesis in alphabetical order. Where the authors of two entries have the same surname the entries should be ordered alphabetically according to the different authors initials regardless of publication date. Where the first cited author is cited with two different co-authors, the entries should be entered alphabetically by second author.

In citing journal names, you may use the full name or an acceptable abbreviated form. The most important is to be consistent, so that you do not mix abbreviations with full titles or indeed use more than one abbreviation for a particular journal.