

**PROCEDURES TO FOLLOW IN PREPARING
A MAJOR PAPER, THESIS OR DISSERTATION**

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GENERAL PROCEDURES

Most programs have strictly defined procedures regarding the steps a student must take in preparing a thesis or dissertation: consult your advisor or program graduate coordinator to ascertain what these are in your program. An early appointment with the Administrative Officer (ext. 2104) in the Office of Graduate Studies and Research is strongly advised, to review format and university-wide procedures. The following regulations are set by the Faculty of Graduate Studies and Research, and apply to graduate students regardless of program.

Theses/dissertations:

1. By the end of the first term in which a student is enrolled in the thesis or dissertation (794, 797 or 798), the program chair must submit a proposed committee, to be approved by the Committee of the Faculty of Graduate Studies and Research. Failure to do so could delay a student's continued registration in 794, 797 or 798.
2. The student must, within the first term of enrolling in the thesis or dissertation, sign a copyright license authorizing the University to make available copies of the thesis or dissertation to a library user at this or any other university.
3. Notice of a student's Master's or doctoral defense must be received in the Office of Graduate Studies and Research **at least one week** prior to the defense.
4. A copy of each thesis and dissertation must be brought, by the student, to the Office of Graduate Studies and Research to be checked, prior to making the final copies for binding. Failure to allow sufficient time could mean deferring graduation until the next Convocation.
5. At least three copies of a thesis or dissertation must be given to the University in order to complete degree requirements. In the Faculty of Engineering, four copies are required.

Major Papers:

1. The Major Paper/Project is a scholarly essay/research project that shows evidence of critical analysis and understanding on a topic approved by the student's supervisor and acknowledged by the program coordinator.
2. The Major Paper/Project committee will include a supervisor, who is a member of graduate faculty, and one other program faculty member. Additional members may be added with the approval of the program coordinator.
3. Upon completion of the Major Paper/Project each student will deliver a public oral presentation and defense which shall be announced publicly (with a copy sent to the Office of Graduate Studies and Research) at least 1 week in advance. Major Paper/Projects are graded by the committee with letter grades or as satisfactory or unsatisfactory.
4. The Major Paper/Project is not subject to thesis regulations concerning full library binding, copyright application, and microfilming for the National Library, but is deposited in the Library and in the AAU office of the program.

DEPOSITING THE DOCUMENT

Deposit of a major paper, thesis or dissertation is the act of bringing the required number of copies to the Office of Graduate Studies and Research, after the document has been checked for format by the Administrative Officer in the Office of Graduate Studies and Research and permission has been given to

proceed. Students are also required to pay the costs of binding and of having their theses/dissertations microfilmed.

Steps

The following steps lead to the deposit of a major paper, thesis/dissertation:

1. After having defended the major paper, thesis or dissertation, the student makes any changes required by the committee, and prepares and proof-reads a final, error-free draft of the document.
2. A single copy of this final draft is brought to the Office of Graduate Studies and Research for perusal by the Administrative Officer.
3. The Administrative Officer returns the document to the student along with a list of suggested corrections, or permission to proceed.
4. If changes have been requested by the Administrative Officer, the student makes them.
5. Having now produced a final, error-free, Office of Graduate Studies and Research-approved copy of the document, the student has copies produced in the necessary quantities.
N.B. Take the precaution of thoroughly examining at least one photocopied version, checking for completeness and legibility. Examine every page. Mistakes not caught at this stage are costly and difficult to correct later.
6. The student brings the required number of copies to the Office Graduate Studies and Research, pays the fees associated with having them bound and microfilmed, and signs a license for the National Library of Canada to reproduce the thesis or dissertation (not applicable to major papers).
7. The student has now deposited the document, and will receive a receipt from the Office of Graduate Studies and Research.

Distribution

Two of the copies which remain with the university are hard-bound. One is sent to the student's program and the other to the Leddy Library, where it is kept in the Reserve Area and made available to Library patrons. For theses or dissertations, one other copy is sent to the National Library for microfilming; when returned it is bound and kept in the Rare Book Room at the Leddy Library

Binding fees

Students are responsible for paying the fees for having their thesis bound and microfilmed. The current binding fee is \$20 per copy and the microfilming charge (applicable for Theses and Dissertations only) is \$45. These fees are payable by either cash or check at the time of deposit.

FORMAT SPECIFICATIONS

Doctoral students, and Master's students pursuing a major paper or thesis program, are advised to consult the Administrative Officer in the Office of Graduate Studies Research **before** they begin writing the final version of their major paper, thesis or dissertation. A student has not completed the requirements leading to a degree until the major paper, thesis or dissertation has been deposited in the Office of Graduate Studies and Research, and may miss convocation deadlines or be required to register for an additional term if the document needs substantial revisions in order to meet Office of Graduate Studies and Research guidelines. These guidelines, derived from those set by the National Library, concern copyright, and physical format.

At present, no particular style of presentation is recommended by the Faculty of Graduate Studies and Research: students should consult their advisors and/or program graduate coordinators to see what style manual is recommended within their discipline. The single most important aspect of style is consistency: the same style must be followed throughout.

If your program does not recommend any particular style manual, the following are widely-accepted examples of the numerous style manuals available:

A Manual of Style. 13th rev., enl. ed. Chicago: University of Chicago Press, 1982.

Publication Manual of the American Psychological Association. 5th. ed. Washington: APA, 2001.

Turabian Kate. A Manual for Writers of Term Papers, Theses and Dissertations. Chicago: University of Chicago Press, 1996.

Students in engineering and the sciences should consult their advisors for information about style manuals.

In order that sufficient time is allowed to check each document, students are urged to submit their major papers, theses and dissertations to the Administrative Officer in the Office Graduate Studies and Research **as early as possible**, especially during peak periods preceding convocation.

Senate Policy On Authorship

The University expects that all researchers will adhere to the proper standards of intellectual honesty in the written or spoken presentation of their work, and will at all times acknowledge in a suitable manner the contribution made by other researchers to their work.

Acknowledgement may be in the form of a footnote reference to the contribution or by the attribution of coauthorship. In publications arising from a research project, a footnote is considered appropriate acknowledgement to a fellow researcher for an idea or data or other factual material, for the performance of a service involving professional skill, or for assistance during the planning phase of a project.

In order to merit acknowledgement as a coauthor, a researcher must have made a substantial contribution to the project, either through the design or execution of a major part thereof. Attribution by coauthorship is an appropriate acknowledgement for substantial participation in the execution of a study designed by another person. Design of a project includes identification of problems and of the theoretical or experimental methods for their solution. Execution of a project includes the collecting and analyzing of data, the writing up of results, and the explaining of results in such a way that the final report may be written. Provision of space or facilities or financial remuneration does not constitute a basis for coauthorship. Allowing for different conventions such as alphabetical listing, coauthorship order shall normally reflect the order of importance of the contributions made by project members.

The form of acknowledgement for contribution to a project should be indicated in advance by the head of a research team and submitted for approval prior to publication or presentation in any form of the whole or any part of the project or research to all persons who made a substantial contribution to the project or research, allowing for changes in the assignment of credit on the basis of actual contribution. Disputes arising from acknowledgement of contribution to a research project, if they cannot be resolved informally, shall be referred for resolution to a board of arbitration to be constituted by the Dean of Graduate Studies and Research in consultation with the President of the Graduate Students Society.

Copyright regulations

Students are affected by copyright legislation in two regards: they must copyright their own work, and they must take care not to violate other authors' or publishers' copyrights. This regulation does not apply to major papers.

Protecting your own work

Candidates undertaking an thesis or dissertation are required to validate a Copyright License, which should be supplied by their programs, authorizing the University to make a single copy of the thesis or dissertation, or substantial parts thereof, at the request of a library user at this university or a library user at another university, and to recover the cost of reproduction.

Students are also required to validate a Non-exclusive Licence to Reproduce Theses, which authorizes the National Library to perform similar actions. Commercial copyright remains with the author.

The Universal Copyright Symbol, ©, must appear either on the title page or on the page immediately following, with the author's name and the year, for example,

© 2001, A. Scholar

Using previously copyrighted material

Students wishing to include substantial amounts of material in their theses or dissertations which has already been copyrighted must receive written permission from the copyright holder. (For guidance on what constitutes substantial amounts, consult the Administrative Officer in the Office of Graduate Studies and Research.) Failure to provide written proof of having received such permission will prevent the inclusion of this material in the thesis, and it must be removed before the thesis can be deposited.

Letters of permission must be presented at the time of deposit. The regulation applies whether the material appears in the body of the thesis or in an appendix. If the student wishes to use material which she/he authored and which has already been published, permission must be received from the copyright holder if copyright is not held by the author. If you intend to use copyrighted material, please consult the Administrative Officer in the Office of Graduate Studies and Research regarding the wording of required letters of permission.

Co-authorship

The student is expected to be the principal author and have had a major role in the preparation and writing of the manuscripts. Please note that publication or acceptance for publication of these research results before the presentation of the thesis or dissertation does not supersede the University's evaluation and judgment of the work during the examination process.

Where manuscripts are co-authored by the student and others, an explicit statement by the student is required as to who contributed to the work and to describe the nature and extent of this contribution. This preface to the thesis or dissertation should clearly document the student's contribution to each multiple-authored work. The candidate's original contributions should be indicated, justifying the work's inclusion in the main body of the thesis. Supervisors must attest to the accuracy of these statements at the oral defense. Since the task of the examiners is made more difficult in these cases, it is in the student's interest to clarify the responsibilities of all the co-authors. Under no circumstances can a co-author of any part of a thesis or dissertation serve as an examiner for that thesis or dissertation with the exception of the supervisor.

Material that has been previously published by the student may be used as part of a thesis or dissertation, provided that this material describes work done during the student's graduate registration at the University of Windsor.

Withholding of a Thesis or Dissertation

If a thesis or dissertation contains material which, for a variety of valid reasons, should be withheld temporarily from the public or the community of scholars, the candidate or supervisor may request a period of withholding from circulation for six months, with one renewal request for six months normally being allowed. See the Administrative Officer in the Office of Graduate Studies and Research for further information.

Physical Format

Students may choose between two types of format for the thesis or dissertation: the traditional format or the manuscript format. The manuscript format comprises of the text of one or more papers that have been or will be submitted for publication. These texts must follow the guidelines for format given elsewhere in this document with respect to font size, line spacing and margin sizes. The document must be more than a collection of manuscripts, however, in that all the components must be brought together into one cohesive unit, with logical progression from one chapter to the next.

Arrangement of Elements

Traditional format

Title Page
Copyright page (if separate)
Approval Page
Abstract
Dedication (where applicable)
Acknowledgements (where applicable)
Table of Contents
List of Tables (where applicable)
List of Figures (where applicable)
List of Plates (where applicable)
List of Appendices (where applicable)
List of Abbreviations, Symbols,
Nomenclature (where applicable)
Body of thesis (divided into various chapters)
Bibliography
Appendices (include copyright releases here
where applicable)
Vita Auctoris

Manuscript format

Title page
Copyright page (if separate)
Approval page
Abstract
Co-Authorship (where applicable)
Dedication (where applicable)
Acknowledgements (where applicable)
Statement of originality
Table of Contents
List of Tables (where applicable)
List of Figures (where applicable)
List of Plates (where applicable)
List of Appendices (where applicable)
List of Abbreviations, Symbols,
Nomenclature (where applicable)
Body of thesis, divided into:

- Introductory chapter
to the entire thesis with its own bibliography
- Each subsequent chapter presented
in a manuscript format without an abstract,
but with its own bibliography
- Final chapter (general discussions and
conclusions) to relate the separate studies
to each other and to a relevant discipline
or field of study. This section has its own
bibliography.

Appendices

- This section to contain details of methodology,
tabulated data, and other pertinent data.
Copyright releases from publications must
be included here.
Vita Auctoris

Note: The bibliographies for each of the individual chapters should be in a consistent format throughout the thesis regardless of the citation formats of the journals in which the article has appeared or will appear.

Paper

Use paper of good quality, 8½ x 11 inches (21.5 x 28 cm). Do not use erasable paper or thin computer paper. If maps or charts necessitate the use of larger sheets of paper, see the Administrative Officer in the Office of Graduate Studies and Research for advice.

Margins

Every page must have the same margins: 1½ inches (3.8 cm) on the left, 1 inch (2.5 cm) everywhere else. It is essential that these margins be observed, as text or diagrams extending into the margins could be destroyed in the binding process.

Typing

The spacing of the typed lines should be at least 1½ spaces, with the exception of notes, long quotations, figure and table captions, and references. The typeface must be clear, black, and the typesize should be 10 points or larger; a smaller typeface may be used for graphs, formulas and appendices. Computer printers must produce letter quality print. If you intend to use a dot-matrix printer, please consult the Administrative Officer in the Office of Graduate Studies and Research before printing the final version. If in doubt about acceptability of print, bring a sample to the Office of Graduate Studies and Research.

Pagination

Each page must be assigned a page number. The number does **not** appear on the preliminary pages preceding the Abstract page (e.g. Title page, copyright page and approval page); nevertheless, each page must be accounted for in the numbering system. All preliminary pages (those preceding the main text of the thesis) are assigned lower-case Roman numerals (i, ii, iii, iv, etc.), while pages in the body of the thesis are assigned Arabic numerals (beginning with "1") which run consecutively to the end of the thesis. Do not begin new pagination sequences at the beginning of appendices. If appendices include material taken from other sources on which page numbers already appear (permission to reproduce this material having been received, if necessary), they must also carry numbers conforming to the pagination of the thesis or dissertation.

The preliminary pages should appear in the following order:

Note: Those pages marked with an asterisk [*] are optional, depending on the demands of the thesis and the wishes of the author.

Title page

Assigned page number i, but **not** physically numbered. Format should follow that of Example 1 (for a Master's thesis, the caption should begin "A Thesis Submitted...", for students in the Creative Writing Program – "A Creative Writing Project Submitted...") and the wording of the caption should follow the one in Example 1, with the correct Department name and respective Degree.

In selecting your title, keep in mind that the systems used by libraries to retrieve the information contained in your document rely on title keywords. The title should therefore be accurate, specific, and brief.

*Copyright page**

Assigned page number ii, but **not** physically numbered.

Not necessary if copyright symbol appears on the title page.

Approval page

Assigned page number ii or iii, but **not** physically numbered. The Approval page should have the signatures of all committee members **and** of the Chair of Defense. The thesis title and author name should appear at the top of the approval page too - see Examples 2(a), 2(b), or 2(c).

Abstract

Begin physically numbering pages.

All theses and dissertations must contain an abstract, which should **not** exceed 350 words. Failure to observe this limit will mean the abstract does not appear in Dissertation Abstracts International or Master's Abstract International.

*Co-Authorship**

(Manuscript format)

*Dedication**

Do not forget to number this page, if you include it.

*Acknowledgements**

Be sure to acknowledge here any copyrighted material you have used.

Table of Contents

The Table of Contents should follow the format of Example 3 (a) or 3 (b). All preliminary pages should be listed, except for the title page, the copyright page, the approval page and the table of contents itself. All pages following the body of the text must be listed too, including the Vita Auctoris page.

The Table of Contents must reflect exactly the typeface, spelling and wording of headings and subheadings as they appear in the text of the thesis or dissertation (see Examples 3 (a) and 3 (b)).

When subheadings are included in the Table of Contents, they may be indented differently from the chapter titles or set in another type style.

*List of Tables**

- should match the Table of Contents in font size and general style.

*List of Figures**

- should match the Table of Contents in font size and general style.

*List of Plates**

- should match the Table of Contents in font size and general style.

*List of Appendices**

- should match the Table of Contents in font size and general style.

*List of Abbreviations (or Nomenclature)**

- should match the Table of Contents in font size and general style.

The text of the thesis follows, divided into chapters. If using the manuscript format, each chapter should have its own bibliography. If using the traditional format, the bibliography normally follows the at the end of the text.

References

(or Bibliography)

or

Appendices*

Appendices*

References (or Bibliography)

Vita Auctoris

(or life of the author), which should include the author's name, date and place of birth, and education and degrees. Other information may be included, but should be directly related to the thesis or academic discipline. See Examples 4 and 5. This page must be the last page of the document and it must be assigned a number and included in the Table of Contents.

Illustrative Material

Keep illustrative material within the margins defined above. If this is not possible, such material may be inserted into a pocket at the back of the work. If this is necessary, see the Administrative Officer in the Office of Graduate Studies and Research for assistance.

Format

The format of tables, figures, etc. must follow one style consistently. Check with your advisor for advice on your program's preferred style. If the description of a figure is too long to be placed on the same page as the figure, it may be placed on the page facing the figure. The figure number **must** appear on both the figure and the page carrying the description of the figure. This page must carry the number which would normally precede the page number of the figure itself, and must bear print on only one side of the sheet.

Use of colour

When microfilmed, all colours will appear as varying shades of grey; therefore, identification of lines on a graph must be made clearer by line symbols rather than by variation of colour. For better contrast, use cross-hatching rather than colour for shaded areas.

Illustrative material that must be drawn in ink, or hand lettered, will be reproduced satisfactorily on microfilm provided the ink is opaque and black.

Photographs

Black and white photographs are preferable to coloured since they are microfilmed more successfully; slides are not acceptable.

Grammar and Spelling

It is the student's responsibility (and an important courtesy to the readers) to ensure that grammar and spelling conventions are observed.

Other Questions

If you have a question which has not been addressed in this manual, or you are confused about something you have read here, please come to the Office of Graduate Studies and Research, Room 306, Chrysler Hall Tower, or call the Administrative Officer there at 253-3000, extension 2104 (svetlana@uwindsor.ca).

Samples

Example 1: Title Page

VLSI IMPLEMENTATION OF RESIDUE NUMBER SYSTEM ARCHITECTURE

by

Magdy Bayoumi

A Dissertation

Submitted to the Faculty of Graduate Studies and Research
through Electrical Engineering
in Partial Fulfillment of the Requirements for
the Degree of Doctor of Philosophy at the
University of Windsor

Windsor, Ontario, Canada

1991

© 1991 Magdy Bayoumi

Example 2(a): Approval Page (doctoral)

(Note: When names are inserted, the title “Dr.” should be omitted and an initial should be used for first name – e.g. “R. Barron” instead of “Dr. Ron Barron”)

[Insert Thesis Title]

by

[Insert Author Name]

APPROVED BY:

[Insert Name of External Examiner], External Examiner
[Insert Institution Name]

[Insert Name of Outside Department Reader]
[Insert Department Name]

[Insert Name of first Department Reader]
[Insert Department Name]

[Insert Name of second Department Reader]
[Insert Department Name]

[Insert Advisor’s Name], Advisor
[Insert Department Name]

[Insert Chair’s Name], Chair of Defense
Faculty of Graduate Studies and Research

[Insert Date Here]

Example 2(b) Approval Page (Master's thesis)

(Note: When names are inserted, the title "Dr." should be omitted and an initial should be used for first name – e.g. "R. Barron" instead of "Dr. Ron Barron")

[Insert Thesis Title]

by

[Insert Author Name]

APPROVED BY:

[Insert Name of Outside Department Reader]
[Insert Department Name]

[Insert Name of Department Reader]
[Insert Department Name]

[Insert Name of Advisor], Advisor
[Insert Department Name]

[Insert Chair Name], Chair of Defense
[Insert Department Name]

[Insert Date Here]

Example of an Approval Page (Major paper)

(Note: When names are inserted, the title “Dr.” should be omitted and an initial should be used for first name – e.g. “R. Barron” instead of “Dr. Ron Barron”)

“[Insert Major Paper Title]”

by

[Insert Author Name]

APPROVED BY:

[Insert Name of Department Reader]
[Insert Department Name]

[Insert Name of Advisor], Advisor
[Insert Department Name]

[Insert Date Here]

Example 3(a) (Table of Contents - Traditional format)

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Example 3(b) (Table of Contents - Manuscript format)

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Example 4:

VITA AUCTORIS

Mary Scott was born in 1976 in Windsor, Ontario. She graduated from Assumption High School in 1995. From there she went on to the University of Western Ontario where she obtained a B.Sc. in Chemistry in 1999. She is currently a candidate for the Master's degree in Chemistry at the University of Windsor and hopes to graduate in Fall 2001.

or

Example 5:

VITA AUCTORIS

NAME:	Mary Scott
PLACE OF BIRTH	Windsor, Ontario
YEAR OF BIRTH	1976
EDUCATION	Assumption High School, Windsor 1990-1995
	University of Western Ontario, London, Ontario 1995-1999 B.Sc.
	University of Windsor, Windsor, Ontario 1999-2001 M.Sc.