



# **THESIS PREPARATION**

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## **PREFACE**

The UTM Thesis Manual is prepared to guide postgraduate students of UTM for the submission of their thesis and dissertation. The guide covers the technical and language aspects related to thesis writing, which includes language to be used, typeface, font size, spacing, pagination, units, chapter format and references style. The guide is divided into five chapters that explain the above information and submission options to be followed by all postgraduate students in Universiti Teknologi Malaysia. This new edition comes with a fresh look. In our effort to reduce paper use and to support sustainable practices, UTM theses are now printed on double-sided. Apart from updating, general editing and refinement of the contents, then contents were re-arranged for easier search.

This guide serves as the 'in-house style' for all UTM theses. All the best!



# CHAPTER 1

## ORGANIZATION OF THESIS

### 1.1 Introduction

Thesis in this manual refers to a scientific documented report of original research conducted by a student in an ethical and professional manner for fulfilment of the requirement for a postgraduate degree. The thesis should be presented in a manner that will reflect credit on the student, the faculty, and the University.

### 1.2 Types of Thesis Format

A thesis or dissertation in UTM can be written in one of the following formats:

- (a) Conventional format
- (b) Article style format (by publications)

A thesis is made up of three main parts namely preliminary pages, main body and supplementary. The following sections provide guideline for postgraduate candidates in writing and preparing their thesis and dissertation.

#### 1.2.1 Conventional Format

The conventional format as shown in Table 1.1 is the most common form of research project/dissertation/thesis used by most candidates.

**Table 1.1 The General Structure for Conventional Thesis Format**

SUBJECT	STATUS	EXAMPLE	NOTES
<b>PRELIMINARY</b>			
Front Cover page	Compulsory	Appendix A	For viva only. Without page number
Blank Page	Compulsory		Without page number
Declaration of Thesis	Compulsory	Appendix B	Without page number
Letter regarding status classification of thesis	Compulsory	Appendix C	Required if thesis is classified as 'Restricted'
Supervisor's declaration	Compulsory	Appendix D1	Without page number
Declaration on cooperation	Compulsory	Appendix D2	Without page number
Certification of examination	Compulsory	Appendix D2	Without page number
Title Page	Compulsory	Appendix E	Counted as (i) but page number does not appear.
Author's Declaration Page	Compulsory	Appendix F	Roman, (iii)
Dedication	Optional	Appendix G	Roman (if any)
Acknowledgement	Optional	Appendix H	Roman (if any)
Abstract	Compulsory	Appendix I	Continuing from the previous Roman number.
Abstrak	Compulsory	Appendix J	Continuing from the previous Roman number
Table of Contents	Compulsory	Appendix K	Continuing from the previous Roman number
List of Tables	Compulsory	Appendix L	Continuing from the previous Roman number
List of Figures	Compulsory	Appendix M	Continuing from the previous Roman number
List of Abbreviations/Acronyms	Compulsory	Appendix N	Continuing from the previous Roman number
List of Symbols	Compulsory	Appendix O	Continuing from the previous Roman number
List of Appendices	Compulsory	Appendix P	Continuing from the previous Roman number
<b>MAIN BODY</b>			
Chapter 1: Introduction	Compulsory	Appendix Q	Arabic, start at (1) and appear

Chapter 2: Literature Review	Compulsory		Continuing from the previous Arabic number
Chapter 3: Methodology	Compulsory		Continuing from the previous Arabic number
Chapter 4: Results	Compulsory		Continuing from the previous Arabic number
Chapter 5: Discussion	Compulsory		Continuing from the previous Arabic number
Chapter 6: Conclusion	Compulsory		Continuing from the previous Arabic number
References	Compulsory		Continuing from the previous Arabic number
Note: Depending on the needs, some thesis might combine Chapter 5 & 6.			
<b>SUPPLEMENTARY</b>			
Appendices	Optional		Continuing from the previous Arabic number
List of Publications and Papers Presented	Optional	Appendix U	Continuing from the previous Arabic number

### 1.2.2 Thesis by Publications

UTM also accept the presentation of thesis/dissertation in the format of published papers, where such papers have been published by indexed journals during the period of candidature. Papers submitted as a PhD thesis must be based on a particular theme/focus and form a cohesive research write up for the degree. Each article should address a specific research objective or a related topic of the study. Table 1.2 presents the general structure for thesis/dissertation by publications.

**Table 1.2 The General Structure for Thesis By Publications**

SUBJECT	STATUS	EXAMPLE	NOTES
<b>PRELIMINARY</b>			
Front Cover Page	Compulsory	Appendix A	For viva only. Without page number
Blank Page	Compulsory		
Declaration of Thesis	Compulsory	Appendix B	Without page number
Letter regarding status classification of thesis	Compulsory	Appendix C	Required if thesis is classified as
Supervisor's declaration	Compulsory	Appendix D1	Without page number
Declaration on cooperation	Compulsory	Appendix D2	Without page number
Certification of examination	Compulsory	Appendix D2	Without page number
Title Page	Compulsory	Appendix E	Counted as (i) but page number does not
Author's Declaration Page	Compulsory	Appendix F	Roman, (iii)
Dedication	Optional	Appendix G	Roman (if any)
Acknowledgement	Optional	Appendix H	Roman (if any)
Abstract	Compulsory	Appendix I	Continuing from the previous Roman
Abstrak	Compulsory	Appendix J	Continuing from the previous Roman
Table of Contents	Compulsory	Appendix K	Continuing from the previous Roman
List of Tables	Compulsory	Appendix L	Continuing from the previous Roman
List of Figures	Compulsory	Appendix M	Continuing from the previous Roman
List of Equations	Compulsory	Appendix N	Continuing from the previous Roman
List of Abbreviations/Acronyms	Compulsory	Appendix O	Continuing from the previous Roman
List of Appendices	Compulsory	Appendix P	Continuing from the previous Roman
<b>MAIN BODY</b>			
Chapter 1: Introduction and Thesis Overview	Compulsory	Appendix Q	Arabic, start at (1) and appear

Chapter 2: Literature review (review the relevant literature especially ones that is not covered in-depth within the papers)	Compulsory		Continuing from the previous Arabic number
Chapter 3: Article 1*	Compulsory		Continuing from the previous Arabic
Chapter 4: Article 2*	Compulsory		Continuing from the previous Arabic
Chapter 5: Article 3*	Compulsory		Continuing from the previous Arabic
Chapter 5: Discussion	Compulsory		Continuing from the previous Arabic
Chapter 6: Conclusion	Compulsory		Continuing from the previous Arabic
References	Compulsory		Continuing from the previous Arabic
Note: Depending on the needs, some thesis might combine Chapter 5 & 6.			
<b>SUPPLEMENTARY</b>			
Appendices	Optional		Continuing from the previous Arabic
List of Publications and Papers Presented	Optional	Appendix U	Continuing from the previous Arabic

Chapter 1 introduces the thesis. A full explanatory overview is required to link the published papers to the research thesis. This may include sections on overview of the thesis, problem background, problem statement, objectives, research scope and organization of the thesis. In chapter 2, students are required to review related literature particularly ones that is not covered in-depth within the papers. Chapter 3 describes the findings from Article 1. The findings must relate with the problem statement and research objectives highlighted in Chapter 1. The format applies for Chapter 4 and 5. Finally, Chapter 6 summarizes the findings from the three publications, overview of the important contributions of your work, suggests academic and practical implications resulting from your findings and future research suggestion.

Candidate must obtain the consent from other co-authors for all papers used as part of their PhD thesis. The consent can be in the form of verification from the journal publisher or letter or email communication with the co-authors. A clear statement of the contribution made by each author in any joint published work is required and should be included in as one of the

appendix. For example, a statement of contribution from a three-author academic research publication is as follows:

**Publication:** Wong, A.N.C., Ismail, M., & Hashim, N.H. (2012). Histological development of selected neural structures of Dark-Sided Chorus Frog, 7 *Microhyla heymonsi* (Amphibia: Anura). *Malaysian Journal of Science*, 29(1), 11-18.

**Statement of Contributions:** Wong, A.N.C. participated in all experiments, coordinated the data analysis and contributed to the writing of the manuscript. Ismail, M. supervised the development of work and edited the manuscript. Hashim, N.H. gave technical support, conceptual advice, and helped in data interpretation.

The format specifications of the thesis/dissertation must conform to the requirement as outline in Chapter 2.

## **CHAPTER 2**

### **GENERAL REQUIREMENTS**

#### **2.1 Introduction**

This chapter will explain the formatting requirements and writing conventions that need to be observed in preparation of UTM thesis.

#### **2.2 Language**

The thesis may be written either in English, Bahasa Melayu or Arabic (applicable only to candidates from School of Islamic Civilization, Faculty of Social Science and Humanities). Language use and terms of spelling (American or British) should be consistent throughout the thesis. The Roman alphabet should be use unless otherwise required by the discipline.

#### **2.3 Printing**

The thesis must be printed on a laser printer. Either single or double-sided text is permitted for submission of thesis for oral examination purposes. When producing double-sided text, please take particular care to fulfil all the requirements specified in these regulations, e.g. pagination and margin widths. Mixtures of single and double-sided text are not acceptable. However, the final hardbound thesis should be printed using double-sided text.

#### **2.4 Thesis title**

The thesis title must adhere to the following guidelines:

- The title should be a clear and concise description of the focus and contribution of the research. It should not contain more than 15 words and excludes grammatical words such as articles, conjunction and prepositions.
- The title should not contain phrases which reflect research exercise such as “An investigation of ...”, “A preliminary study of ...”, “A study of ...”, “Analysis of ...”, “On the ...”, “Theory of ...”, “Some....”, and “Toward a ...”.
- The title should not contain formulas, symbols or subscripts, Greek letters, or other non-alphabetical symbols. Word substitutes should be used instead.
- Thesis title should not contain acronyms or even acronyms in brackets except for commonly used in the field of the study (eg: DNA, GPS). For example, “GIS” should be written as “Geographical Information System” and should not be written as “Geographical Information System (GIS)”.
- Thesis title should not contain punctuations such as colon “:”, semi-colon “;”, etc. except commas “,” when necessary.

## 2.5 Number of Pages

The maximum number of pages for a project report/dissertation/thesis is as follows:

Bachelor Degree Project Report	: 100 pages
Master's Report/Dissertation/Thesis	: 200 Pages
Doctorate Thesis	: 300 Pages

These limits include tables, figures and other illustrations in the text but do not include Appendices. Maximum number of pages for appendices is 50 pages.



## **2.6 Page Layout**

The text should be presented in portrait layout. Landscape layout may be used for figures and tables.

## **2.7 Type of Paper**

White simile 80 gsm (grams per square meter) high-quality A4 size (for viva-voce) papers (210 x 297 mm) and B5 size (for final bound copies) must be used. Photocopies of the thesis must be on similar quality paper.

## **2.8 Typeface and Font Size**

A thesis should be typed using a word or text processor. Font type and size that are commonly used for printed academic materials should be used (i.e: Times New Roman, Tahoma, Arial, Book Antiqua. The same font type should be used throughout the thesis. The character size should not be less than 0.2 cm for capital letters and 0.15 cm for small letters. If Microsoft Words is used, font type Times New Roman with font size 12 or bigger should be used. One and a half line spacing should be used.

## **2.9 Margins**

All pages should be set with the same margin. The left and right margins should be 3.25 cm (for binding purposes) and 2.5 cm from the top and bottom margins.

## **2.10 Spacing**

The following guidelines should be observed:

- i. The spacing between the chapter number and the title follow three times SHIFT+ENTER spacing.

- ii. The spacing between the title and the first line of a text should be four (4) line spacing;
- iii. The spacing between the last line of a text with the title of a sub-section should be four (4) line spacing;
- iv. The spacing between the title of a sub-section and the first line of a text should be two (2) line spacing;
- v. The spacing between paragraphs should be two (2) line spacing;
- vi. The number and the title of sub-section should be aligned with the left margin;
- vii. The first line of a paragraph should be indented by 1.27 cm (0.5 inch) from the left margin;
- viii. A new paragraph should not begin on the last line of a page;
- ix. The spacing between the last line of a text and a table, or a figure or an illustration should be two (2) line spacing;
- x. The spacing after a comma (,) should be one (1) character spacing.

## **2.11 Pagination**

Each page of a thesis must be counted and numbered. Pages should be numbered consecutively as shown in Table 1.1. The page numbers should be printed at the bottom centre, 1.25 cm from the bottom edge. Numbering should be as follows:

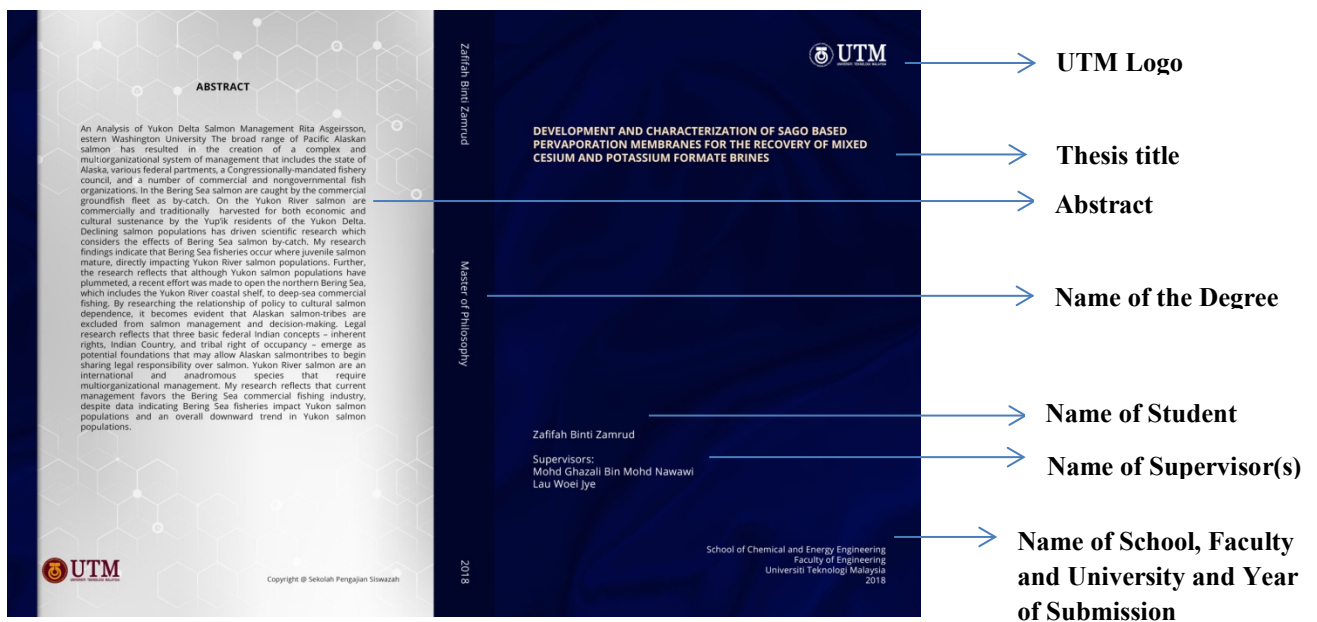
- i. Preliminary pages of a thesis, starting from the title page should be numbered using small letter Roman numeric (i, ii, iii, etc.); the texts should be numbered using Arabic numeric (1, 2, 3, etc.).
- ii. The first page should be the title page. This page should be counted "i" but should not be printed.
- iii. The first page of each chapter should be counted and the page number should be printed and placed at odd page.
- iv. If a thesis is made up of several parts, separating pages can be inserted but these pages should not be counted and numbered.

- v. If a chapter ended with an odd page number, a separate blank page should be added and counted, but the page number should not be printed. (In MS Word, insert Section Breaks Odd Page under Layout Tab).

## 2.12 Binding

Students are required to ensure that all university requirements have been met and necessary signatures have been obtained before binding of the thesis. **Starting from 1<sup>st</sup> September 2018**, the final bound copies of the thesis must be submitted in B5 size and printed on both sides on 80gm paper. A cover of the thesis and its detail are as follows:

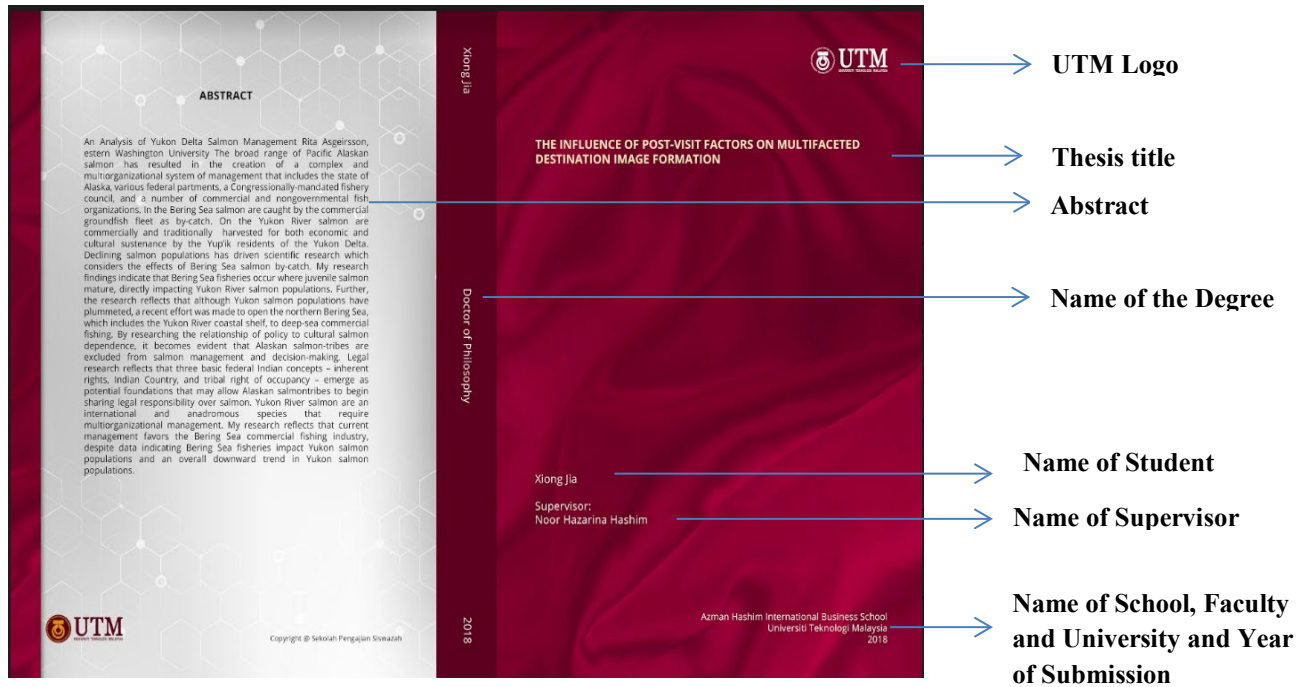
**Figure 2.1 Thesis Cover Details for Master's Degree**



Size	B5
Colour	<i>Royal Blue</i>
Colour Code	#01073d
RGB Code	R1G7B61
Paper weight (Front and Back Cover)	1400gsm
Type of Paper	80gsm
Printing	Double Sided

Cover of the Thesis	Hardcover Perfect: Holland Art Paper + Laminate + Glossy
---------------------	--

**Figure 2.2 Thesis Cover Details for Doctor of Philosophy Degree**



Size	B5
Colour	<i>Dark Red</i>
Colour Code	#5C001F
RGB Code	R92G0B3
Paper weight (Front and Back Cover)	1400gsm
Type of Paper	80gsm
Printing	Double Sided
Cover of the Thesis	Hardcover Perfect: Holland Art Paper + Laminate + Glossy

## **CHAPTER 3**

### **THESIS FORMAT**

#### **3.1 Declaration of Thesis**

Thesis status declaration is completed using the Thesis Status Declaration form issued by Perpustakaan UTM form (see Appendix B). If the thesis is declared as ‘CONFIDENTIAL’ or ‘RESTRICTED’, a letter from the party classifying the information as confidential or restricted must be attached (see Appendix C). The letter should clearly indicate:

- (i) The reasons for classification
- (ii) The duration for classification

The typical duration for confidential or restricted classification is three (3) years. A thesis can be classified as confidential or restricted up to a maximum period of five (5) years. Examples can be seen in Appendices A and B.

If the status declaration form is not submitted or the form is incomplete, the University will assume the thesis is unrestricted and the thesis shall be made available for distribution as published academic exchange materials.

#### **3.2 Declaration**

##### **3.2.1 Supervisor's Declaration**

A thesis to be submitted for the purpose of examination must obtain prior declaration by the supervisor on the standard and quality of the thesis. See example in Appendix D1.

### **3.2.2 Declaration on Cooperation with Outside Agencies and Certification of Examination**

This section consists of two parts. Part A includes any cooperation with other outside agencies in carrying out the research project that lead to the submission of the thesis must be declared. In Part B, students must obtain certification of examination from the School of Graduate Studies (see example in Appendix D2).

### **3.3 Title Page**

Title page must contain information listed in the following order:

- Title of the thesis;
- Student's full name as in identity card or passport for international student;
- Statement of award for the thesis (see Section 3.3.2);
- Name of School (if applicable) where the student registered;
- Name of Faculty/School where the student registered;
- Name of the University; and
- Month and Year of submission (Month and Year of submission of hard bound copy of the thesis).
- Example (see Appendix E)

#### **3.3.1 Thesis Title**

The thesis title must adhere to the following guidelines:

- The title should be a clear and concise description of the focus and contribution of the research. It should not contain more than 15 words and excludes grammatical words such as articles, conjunction and prepositions.
- The title should not contain phrases which reflect research exercise such as "An investigation of ...", "A preliminary study of ...", "A study of ...", "Analysis of ...", "On the ...", "Theory of ...", "Some....", and "Toward a ...".

- The title should not contain formulas, symbols or subscripts, Greek letters, or other non-alphabetical symbols. Word substitutes should be used instead.
- Thesis title should not contain acronyms or even acronyms in brackets except for commonly used in the field of the study (e.g: DNA, GPS). For example, “GIS” should be written as “Geographical Information System” and should not be written as “Geographical Information System (GIS)”.
- Thesis title should not contain punctuations such as colon “:”, semi-colon “;”, etc. except commas “,” when necessary.

### **3.3.2 Statement of Award for the Thesis**

This statement should be written on the Title Page. It should state the purpose and the award for which the thesis is submitted. Examples of statements for various purposes and awards are listed below :

#### **1. Bachelor’s Degree Project Report**

A report submitted in partial fulfilment of  
the requirements for the award of the degree of  
Bachelor of .....

#### **2. Master's Project Report (By course work)**

A project report submitted in partial fulfilment of  
the requirements for the award of the degree of  
Master of ..... (specialisation)

#### **3. Master's Dissertation (By coursework and research/mixed mode)**

A dissertation submitted in partial fulfilment of  
the requirements for the award of the degree of  
Master of ..... (specialisation)

**4. Master's Dissertation (By coursework and research/mixed mode) (for intake Sem 1 20142015 and onwards)**

A dissertation submitted in partial fulfilment of  
the requirements for the award of the degree of  
Master of .....

**5. Master's Thesis By research (for intake prior Sem 1 20142015)**

A thesis submitted in fulfilment of the  
requirements for the award of the degree of  
Master of ..... (specialisation)

**6. Master's Thesis By research (for intake Sem 1 20142015 and onwards)**

A thesis submitted in fulfilment of the  
requirements for the award of the degree of  
Master of Philosophy

**7. Doctor of Philosophy Thesis (for intake prior Sem 1 20142015)**

A thesis submitted in fulfilment of the  
requirements for the award of the degree of  
Doctor of Philosophy (specialisation)

**8. Doctor of Philosophy Thesis (for intake Sem 1 20142015 and onwards)**

A thesis submitted in fulfilment of the  
requirements for the award of the degree of  
Doctor of Philosophy

**9. Engineering Doctorate Thesis**

A dissertation submitted in partial fulfilment of  
the requirements for the award of the degree of  
Doctor of Engineering (specialisation)



### **3.4 Declaration Page**

This page should contain declaration by the student on originality of the thesis. The declaration should be signed. See example in Appendix F.

### **3.5 Dedication Page (optional)**

The dedication must be brief, not more than one paragraph, and must not contain any number, chart or photograph. See example in Appendix G.

### **3.6 Acknowledgement (optional)**

The student may acknowledge the assistance of various individuals or organisations in successfully producing the thesis. This should be written in one page. Example can be seen in Appendix H.

### **3.7 Abstract**

An abstract is a short summary of the thesis. The abstract should include the followings:

- The abstract has to start with a brief theme sentence to orientate the reader about the overall issue addressed in the thesis.
- The abstract should indicate the aim or purpose of the research
- The academic and/or practical importance of the study should be explained
- The methodology used in the study should also be briefly described
- The main findings of the study should be summarized
- A statement of conclusion should indicate the contribution made by the study on filling gaps in the literature
- The practical or managerial implications of the study's findings should be highlighted where appropriate.
- Abstract must be bilingual. For a thesis written in Bahasa Melayu, the abstract must first be written in Bahasa Melayu and followed by the English translation. If the thesis is written in English, the abstract must be written in English and followed by the translation in Bahasa Melayu.

- The abstract should be written in one paragraph and not exceed one (1) page.
- The abstract can be written using single or 1.5 spacing.

Example can be seen in Appendix I (English) and Appendix J (Bahasa Melayu).

### **3.8 Table of Contents Page**

The Table of Contents page must start on a new page. It should list all sections, chapters and maximum of four sub-headings. The titles must be written using the same words as those written in the text. See example in Appendix K.

### **3.9 List of Tables**

This page should list all the tables found in the thesis. The page number of the table must also be included. The table numbers should be arranged according to the chapters. See example in Appendix L.

### **3.10 List of Figures**

Diagrams, photographs, drawings, graphs, charts and maps are included as figures. The list should be written similar as the List of Tables. See example in Appendix M.

### **3.11 List of Symbols/Abbreviations/Notations/Terminology**

All symbols or abbreviations or notations or terminology found in the text should be listed on this page. They are listed in the following alphabetical order:

- Roman letters            alphabetically
- Greek letters            alphabetically
- Superscripts
- Subscripts

Universally recognised scientific symbols such as mm, cm, Ha need not be listed. See example in Appendix N and Appendix O respectively.

### **3.12 List of Appendices**

All appendices should be listed on this page. See example in Appendix P.

### **3.13 Body**

#### **3.13.1 Chapter Layout**

A thesis must be divided into chapters. A title must be given and it should reflect its content. A new chapter must begin on a new page. A chapter must be divided into sections. These sections must be given appropriate titles and numbered.

Texts must be written in paragraphs. Long paragraphs should be avoided. Each paragraph must describe an issue or subject. There must be continuity between paragraphs. The text should contain:

- i. An introduction and background on the study or research;
- ii. A detailed description of the study or research which include theories, model and materials and methods used;
- iii. The data collection and analysis techniques.
- iv. The main results and discussions; and

- v. The conclusions and significance of the findings.

All chapters and their sub-sections must be labelled and numbered. The chapters are numbered using Arabic numeric, i.e. Chapter 1, Chapter 2, Chapter 3, and so on. The sub-sections should not be indented but arranged in a structured manner not more than four levels as follows:

- 2 First level (Title of the chapter)
- 2.1 Second level (Title of the sub-section)
- 2.1.1 Third level (Title of the sub-sub-section)
- 2.1.1.1 Fourth level (Title of the sub-sub-sub-section)

If the length of a title of a chapter or any level is more than one line, same line spacing as in the text should be used. Sub-sections beyond level four should be labelled using characters. (eg. a, i, etc)

### **3.13.2 Citation in Text**

Citation is a means of formally recognizing within the text, the resources from which the information or idea were obtained. The purpose is to acknowledge the work of others, to demonstrate the body of knowledge in which the work is based on and to lead others for further information.

Citation in the texts must be written according to any one of the styles described in Chapter 4. The use of software such as RefWorks, JabRef, Mendeley or EndNote for publishing and managing citation and references is encouraged. At the end of the thesis, students must supply list of references in alphabetical order by author, with consistent punctuation.

#### **3.13.2.1 *Direct Quotations in the Text***

A direct quotation must be written in a separate paragraph. If the quotation is in a different language, it must be written in italic. Indented quotation should be single spaced with

no quotation marks with 1.27 cm left and right indentation respectively. Example of writing a quotation is shown in Appendix S.

### **3.13.3 Tables in the Text**

- All tables must be numbered using Arabic numeric and numbered with respect to the chapter. For example, Table 4.3 is the third table that appears in chapter 4.
- Students need to ensure that all tables shown in the thesis as well as in the Appendices are referred to in the text.
- A table should be on the page following the first reference to it or placed as close as possible to the original text reference. Text material should highlight analysis or findings, summarizing only important details rather than reiterating the entire table.
- A caption should be positioned at the top of the table. If the caption is written in a single line, it should be centered. If the caption is written more than one line, it should be left indented.
- Tables may be placed in landscaped orientation; in such cases, the table number, title and caption should be single-spaced and placed above the table.
- If the Table occupies more than one page, it must repeat the header rows on the next page.
- Table sources and notes should be placed directly below the table.
- Smaller font may be used for text in the table.
- The default setting for page number is applicable for page with Table presented in portrait orientation (See Appendix S1). Page number should be located bottom-center (right side in portrait) if Table is presented in landscape orientation (See Appendix S2).
- The margin for page with Table in landscape orientation is 3.25 cm while from the top and bottom, right and left margin is 2.5cm.
- Table sources and notes should be placed directly below the table. If a table has been adapted from a source, indicate using “Adapted from...”.

### 3.13.4 Figures in the Text

- Illustrations such as maps, charts, graphs, drawings, diagrams, and photographs are referred as figures. All figures must be clear and of high quality.
- All figures must be numbered using Arabic numeric and numbered with respect to the chapter. For example, Figure 4.3 is the third figure that appears in chapter 4.
- Students need to ensure that all figures shown in the thesis as well as in the Appendices are referred to in the text.
- A figure should be on the page following the first reference to it or placed as close as possible to the original text reference. Text material should highlight analysis or findings, summarizing only important details rather than reiterating the figure.
- A caption should be positioned at the bottom of the figure. If the caption is written in a single line, it should be centered. If the caption is written more than one line, it should be left indented.
- Figure should conform to standard margin requirements.
- If the figure occupies more than one page, the continued figure on the following page should indicate that it is a continuum.
- All figures in the chapter can also be grouped together and positioned at an appropriate location.
- The default setting for page number is applicable for page with Figure presented in portrait orientation (See Appendix T). Page number should be located bottom-centre (right-side portrait) if Figure is presented in landscape orientation (See Appendix S2).
- Illustrations in the form of CD's, slides, and others should be placed in specially made pockets glued to the inner side of the back cover. Oversized illustrations in the form of plans, maps, charts, graphs, and others should be reduced to fit a single page unless the oversized materials are absolutely necessary for clarity and understanding. For illustrations other than above, please refer to the following guidelines;

#### (i) Photographs

Photographs should be digitally embedded in the text unless absolutely impossible.

**(ii) Newspaper Cuttings or Similar Materials**

Copies of newspaper cuttings or similar materials should be of high quality.

**(iii) Maps and Aerial Photographs**

Maps and aerial photographs to be included in the thesis should have a written approval by *Ketua Pengarah Ukur dan Pemetaan Malaysia*. Application can be made using PPN 114 (Pind. 1/11) form available at the Perpustakaan UTM.

- It is advisable to scan all illustration materials using a scanner and printing them using a high quality color printer.

### **3.13.5 Equations**

The following tips on formatting equations can help you in writing equations:

- All equations are considered as text and numbered according to chapter (see Appendix S). If detailed derivation is needed, it is to be placed in an appendix.
- Mathematical parameters should be written in italics but not units, numbers and mathematical functions like logarithms.
- The equations that are written on a separate line should be centred and done consistently throughout the thesis. Some equations are long and tend to be multi-line equations. If an equation breaks to multiple lines, align them properly and use only one number for the whole equation as far to the right as possible.
- The equation numbers should be enclosed by parentheses and placed at the right-hand side of the page.

### 3.13.6 Notes and Footnotes

Notes such as footnotes and final notes are not allowed for theses in the field of Science and Technology. However, limited use of footnotes is allowed for theses in the field of Humanities and Social Sciences. The use of footnotes should follow the following format:

- Footnotes are recorded using Arabic numeric and numbered consecutively.
- Raised superscript numerals (example<sup>2</sup>) in the text refer to explanatory notes and documented sources must be placed at the bottom of the page as footnotes or at the end of the thesis as endnotes in a notes section.
- Footnotes for references are written differently in the aspect of author's name and the use of punctuation. The author's name should be written in full. Comma or quotation mark should be used to separate author's name, title of the article and publication details. The font size used should be two (2) points smaller than the text. The style for writing reference as footnotes is shown below:

Numeral      Author, "Title of article." publication details, year, page.

*Example:*

10      Mary Duncan Carter and Rose Mary Magrill, "Building Library Collections" Fourth edition. (Metuchen, N. J.: Scarecrow Press, 1974), pp.61 - 66.

### 3.13.7 References

References are detailed description of items from which information were obtained in preparing the thesis. All references must be listed at the end of the text. They should be arranged using one of the methods discussed in Chapter 4.

### 3.13.8 Appendix

Appendices are supplementary materials to the text. These include tables, charts, computer program listings, and others. The following should be noted:



- (a) Appendix is not a must in a thesis. If necessary, data used for analysis, example of questionnaires, maps, photographs and other materials which are lengthy to be included in the text or materials that are not required implicitly to clarify matters discussed can be accompanied as appendix.
- (b) Appendix can be named as Appendix A, Appendix B, and so on, depends on types and quantity to be included. Specific titles can also be given.

### **3.13.9 List of Publications**

This section lists all published and accepted publications only, authored/co-authored by the candidate related to his/her research. See Appendix V.

## CHAPTER 4

### REFERENCE STYLE

#### 4.1 Introduction

Referencing, or citing, is an essential component of academic writing, as it acknowledges the sources of information you have used to complete your assignments. Referencing is important because it ensures that you are not open to accusations of plagiarism, identifies your sources and enables readers to locate them, acknowledges copyright and shows respect to the author for their work, demonstrates the validity or credibility of your arguments, demonstrates the extent to which you know the relevant literature, avoid plagiarism and academic misconduct. The details of the references cited in the text should be located in the List of References. The list should be placed at the end of the thesis compiled either alphabetically (Harvard System), numerically Number (Vancouver) System or American Psychological Association (APA). The style selected must be used consistently throughout the thesis. Cross citation are not allowed. The following sections describe the format of referencing for each style.

#### 4.2 Harvard System

Harvard referencing' is an umbrella term for any referencing style that uses the author name and year of publication. Harvard style is an author-date referencing system. It has two components: the in-text citation and the reference list. In-text references are references written within the main body of text and refer to a quote or paraphrase. They are much shorter than full references. The full reference of in-text citations appears in the reference list. The references cited in the text should be indicated using the name of author and date of publication. There are different varieties of Harvard referencing style. This guide follows the standards described in Style Manual for Authors, Editors and Printers 6<sup>th</sup> edition.

### 4.2.1 Citing in the text

The purpose of citing in the text is to provide brief information about the source, sufficient for readers to find full details about the source in the reference list. In-text citations can be presented in two formats:

- a. **(Author Date)** – used to show the source of the information you are citing, usually placed at the end of a sentence.

Example:

Innovations could be adopted or rejected, (1) by an individual member of a system or (2) by the entire social system or (3) by relatively few individuals in the system who possess power, status, or technical expertise (Rogers, 2003; Bass, 1969)

- b. **Author (Date)** – used to emphasise the author by integrating author name into the sentence, followed immediately by date in brackets.

Example:

In the long run, Saarinen (2006) argues, development of tourism may not always be the most favourable use of natural and cultural resources ...

### 4.2.2 Citing a direct quote

Author name, publication year and page number(s) must be included when incorporating a direct quotation into a sentence. Use single quotation marks to enclose short quotations. Fit quotations within your sentences, making sure the sentences are grammatically correct.

Example:

When Hudson (2011, p. 1136) suggests that knowledge of tourism and hospitality labour ‘clearly has a contribution to make to current wider societal debates’ she is, as we are, reflecting on the shifting phenomenon of hospitality work.

### 4.2.3 Citing sources with single author

Using author James Cameron, this takes the form:

- (i) As part of sentence: Cameron (2017) states.....
- (ii) At the end of a sentence: (Cameron, 2017)

### 4.2.4 Two or three authors

If there are two or three authors for a cited reference, names should be written as

below for **first appearance**:

- (i) As part of sentence: Mitchell, Thompson and Murphy (2017) states.....
- (ii) At the end of a sentence: (Mitchell, Thompson and Murphy, 2017).

And as shown below **thereafter**:

- (i) As part of sentence: Mitchell et al. (2017) states...
- (ii) At the end of a sentence: (Mitchell et al., 2017).

### (d) No author

If possible, use the organisation responsible for the post in place of the author. If not, use the title in italics:

- (i) As part of sentence: (*A guide to citation*, 2017)
- (ii) At the end of a sentence: (*A guide to citation*, 2017, pp. 189-201)

**(e) Multiple Works from the Same Author**

References published in the **same year** by the same author are listed alphabetically according to the title of the work and a lower-case letter (a, b, c, ...) is added immediately after the date, in both the reference list and in-text citations.

- (i) As part of sentence: Campbell and Shiller (1988a, b)
- (ii) At the end of a sentence: (Campbell and Shiller, 1988a, b)

References published in the **different year** by the same author are listed alphabetically and chronologically.

- (iii) As part of sentence: Mitchell (2010; 2017)
- (iv) At the end of a sentence: (Mitchell, 2010; 2017)

**(f) Citing Multiple Works in One Parenthesis:**

List the in-text citations in the normal way but with semicolons between different references:

- (i) At the end of a sentence: (Mitchell, 2017, p. 189; Smith, 200; Andrews, 1989, pp. 165-176).

**4.2.2 List of References for Various Types of Publication Materials**

Harvard referencing can vary in style as there is no single resource for this referencing style. All references cited should be listed in the List of References at the end of the last chapter. List the references alphabetically. If more than one published materials by the same author are cited, these materials should be listed chronologically. For example, an article by Scholfield published in 1994 should be listed before the one published in 1997.

#### 4.2.2.1 *Book*

The standard reference format for a book is:

- The title is italicised
  - The first letter of the first word is capitalised, after that only proper nouns are capitalised
- Edition eg: 2<sup>nd</sup> edn.
- Author surname(s), initial(s). (Year Published) *Title*. Edition. Place of publication: publisher.

Type	Example
Books with 1 author	Greetham, B. (2001) <i>How to write better essays</i> . Basingstoke: Palgrave.
Books with 2-3 authors	Blaxter, L., Hughes, C. and Tight, M. (2010) <i>How to research</i> . Maidenhead: McGraw-Hill/Open University Press.
Books with more than 3 authors	Moore, S., Neville, C., Murphy, M. and Connolly, C. (2010) <i>The ultimate study skills handbook</i> . Maidenhead: Open University Press.
Books with later editions	Troy B.N. (2015) 'Harvard citation rules' in Williams, S.T. (ed.) <i>A guide to citation rules</i> . New York: NY Publishers, pp. 34-89.
Chapter in a book	Manning, N. (1998) <i>Social needs, social problems and social welfare</i> , in Alcock, P., Erskine, A. and May, M. (eds.) <i>The student's companion to social policy</i> . Oxford: Blackwell, pp. 31-36.
E-Book	Mitchell, J.A., Thomson, M. and Coyne, R.P. (2017) <i>A guide to citation</i> . E-book library [online]. Available

	at: <a href="https://www.mendeley.com/reference-management/reference-manager">https://www.mendeley.com/reference-management/reference-manager</a> (Accessed: 10 September 2016).
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#### 4.2.2.2 *Journal articles*

The basic format to cite a journal article is:

The title of the article is written within single quotation marks.

This is the title of the newspaper, in italics. Capitalise the first letter of each word.

Author names. (year) 'Title of article', *Title*, volume(issue/season etc), page numbers.

The volume number is written outside brackets and the issue or season number is written immediately after within brackets.

Type	Example
Print	Lillis, T. and Turner, J. (2001) 'Student writing in higher education: contemporary confusion, traditional concerns', <i>Teaching in Higher Education</i> , 6(1), 57-68.
E-journal article with DOI (if available)	Lillis, T. and Turner, J. (2001) 'Student writing in higher education: contemporary confusion, traditional concerns', <i>Teaching in Higher Education</i> , 6(1), 57-68. doi: 10.1080/13562510020029608.
Books with more than 3 authors	Moore, S., Neville, C., Murphy, M. and Connolly, C. (2010) <i>The ultimate study skills handbook</i> . Maidenhead: Open University Press.

#### 4.2.2.3 *Conference articles*

The basic format to cite a conference article is:

Author (Year) Title of the article. *Name of the conference*. Date of the conference. Place, page.

Example:

Sheta, A. F. and De Jong, K. (1996) Parameter Estimation of Nonlinear Systems in Noisy Environments Using Genetic Algorithms. *Proceedings of the 1996 IEEE International Symposium on Intelligent Control*. 15-18 September. Dearborn, Michigan: IEEE, 360 - 365.

#### **4.2.2.4 Thesis**

The basic format to cite a thesis is:

Author (Year) *Title of the thesis*. Thesis award. Place published.

Example:

Adnan bin Hassan (2002) *On-line Recognition of Developing Control Chart Patterns*. PhD Thesis, Universiti Teknologi Malaysia, Skudai.

#### **4.2.2.5 Legislations**

The basic format to cite legislation is:

Name of the country (year) *Title of the legislation*. Legislation number.

Example:

Malaysia (1983) *Perintah Monumen Lama dan Tapak Tanah Bersejarah*. P.V. (A) 41 1983.

#### **4.2.2.6 Standards**

The basic format to cite a standard is:

Name of the institution (Year). *Standard number*. Place published:



Publisher

Example:

British Standards Institution (1990) *B.S. 764*. London: British Standards Institution.

**4.2.2.7 Newspaper article**

**Print Format**

a. No Author                      Gearing up to meet new challenges. (2000, February 22) *The Star*. 2.

b. With author                      Izatun Shari (2000, April 18) K-economy: draft out in October. *New Straits Times*. 2-4.

**Electronic Format**                      Rosmawati Mion (2006, June 17) Sindiket judi haram tumpas. *Utusan Malaysia*. Retrieved June 19, 2006, from

**4.2.2.8 Magazine**

The basic format to cite a magazine is:

Author. (Year) Title of article. *Name of magazine*, Volume/Issue no., page

Example:

Smith, B. L. 1994). Biofeedback. *Science*, 62, 673 – 675.

### 4.3 Number (Vancouver) System

In the Number (Vancouver) Style, a number is assigned to each reference as it is used. Even if the author is named in your text, a number must still be used. The original number assigned to the reference is used each time that reference is cited in the text. The first reference you cite will be numbered 1 in the text, and the second reference you cite will be numbered 2, and so on. If you cite reference number 1 again later in the text, you will cite it using the number 1. References are listed in numerical order in a bibliography at the end of your essay.

#### 4.3.1 Citing in the Text

All references cited in the text must be assigned numbers using Arabic numeric. The first cited reference should be assigned with number 1. Subsequent cited references should be given consecutive numbers. One of the methods below can be used when citing:

- (i) If the name of an author is written as part of a sentence, the reference number should be inserted in parenthesis or square brackets or superscript after the author's name, for example:

"Genetic algorithm was introduced by Holland (1) and was extensively explored by Goldberg (2)."

*OR*

"Genetic algorithm was introduced by Holland [1] and was extensively explored by Goldberg [2]."

*OR*

"Genetic algorithm was introduced by Holland<sup>1</sup> and was extensively explored by Goldberg<sup>2</sup>."

- (ii) If the name of an author is not part of a sentence, the reference number should be inserted in parenthesis or square brackets or superscript at the appropriate location; for example:

"Recently, evolutionary programming has been applied to various optimization problems (1) and it offers many advantages such as having global search characteristics."

*OR*

"Recently, evolutionary programming has been applied to various optimization problem [1] and it offers many advantages such as having global search characteristics."

*OR*

"Recently, evolutionary programming has been applied to various optimization problems<sup>1</sup> and it offers many advantages such as having global search characteristics."

### **4.3.2 List of References for Various Types of Publication Materials**

In the list of references, the numbers assigned to the source of references cited in the text are listed in incremental order. The styles of writing details on cited publication in the List of References are as follows:

#### **4.3.2.1 Book**

Author. *Title of the book*. Edition (if not the first). Place published: Publisher. Year

Example:

Theusen, G. J. and Fabrycky, W. J. *Engineering Economy*. 6<sup>th</sup> ed. Englewood Cliffs, N. J.: Prentice-Hall. 1984

#### **4.3.2.2 Article in a book**

Author. Title of the article. In: Author of the book. *Title of the book*. Place published: Publisher. page; year.

Example:

Hussein, S. B., Jamaluddin, H., Mailah, M. and Zalzala, A. M. S. An Evolutionary Neural Network Controller for Intelligent Active Force Control. In: Parmee, I. C. ed. *Evolutionary Design and Manufacturing*. London: Springer-Verlag. 351-362; 2000

#### 4.3.2.3 **Journal articles**

Author. Title of the article. *Title of the Journal*. Year. Volume (number):page.

Example:

Billings. S. A. Identification of Nonlinear Systems: A Survey. *Proc. IEE Part D*, 1980. 127(6): 272-287

#### 4.3.2.4 **Conference articles**

Author. Title of the article. *Name of the conference*. Date of the conference. Place published: Publisher. Year. page.

Example:

Sheta, A. F. and De Jong, K. Parameter Estimation of Nonlinear Systems in Noisy Environments Using Genetic Algorithms. *Proceedings of the 1996 IEEE International Symposium on Intelligent Control*. September 15-18,1996. Dearborn, Michigan: IEEE. 1996. 360-365.

#### 4.3.2.5 **Thesis**

Author. *Title of the thesis*. Thesis award. Name of Institution; Year

Example:

Adnan bin Hassan. On-line Recognition of Developing Control Chart Patterns. Ph.D. Thesis. Universiti Teknologi Malaysia; 2002.

#### 4.3.2.6 **Standards**

Name of the Institution. *Title of the standard*. Place published, Standard number. Year

Example:

British Standards Institution. *Tongued and Grooved Software Flooring*.  
London, BS 1297. 1987

**4.3.2.7 Patent**

Owner's name. *Title of the patent*. Patent number. Year.

Example:

Lindgren, E. A. *Screen Room Air Inlet and Wave Guard*. V.S. Patent 2,  
925,457. 1960.

**4.3.2.8 Measured drawings**

Name. *Title*. Place published: Note. Year

Example:

Zairul Azidin Badri. *Rumah Kutai Ha}i Sahak, Kampung Tan}ung,  
Kampung Ga}ah, Perak*. VTM: Lukisan Terukur. 1980.

## **4.4 APA Reference**

The APA style is most commonly used to cite sources within the social sciences. The style is now in the 6<sup>th</sup> edition. Students are advised to check for the latest versions of references styles as the style are frequently updated. The figure below shows the core component of APA reference taken from Mendeley website.

Author Rules:

1. Initials are separated and ended by a period eg Mitchell, J.A
2. Multiple authors are separated by commas and an ampersand eg Mitchell, J.A., Thomson, M., & Coyne, R
3. Multiple authors with the same surname and initial: add their name in square brackets eg Mendeley, J. [James].

Date Rules:

1. Date refers to date of publishing
2. If the date is unknown 'n.d' is used in its place eg Mendeley, J.A. (n.d)

Title Rules:

1. The format of this changes depending on what is being referenced.

Author's surname, initial(s). (Date Published). Title of source. Location of publisher: publisher. Retrieved from URL

Publisher Rules:

1. If in the US: the city and two letter state code must be stated eg San Francisco, CA
2. If not in the US: the city and country must be stated eg Sydney, Australia

This is used if the source is an online source.

## **CHAPTER 5**

### **ELECTRONIC THESES AND DISSERTATIONS (ETD)**

#### **5.1 Introduction**

Senate meeting No.01/2002/03 dated 12 Jun 2002 has decided that all graduate students are to submit a copy of Thesis, Dissertation and Master's Project Report in digital form beside the normal bound hardcopy after approval. Students are required to submit three (3) bound hardcopies and three (3) CD containing digital thesis.

The main purpose of implementing digital thesis is to enable theses submitted to UTM be accessible through the Internet. This is in-line with development in digital technology and globalisation. With this implementation, UTM hopes to be projected as a leading university in research and graduate studies.

#### **5.2 Electronic Theses and Dissertations (ETD)**

Electronic Theses and Dissertations (ETD) are documents that record results of research or scholarship of graduate students. These documents are prepared in the form that can be accessed globally through the Internet. An ETD is the same as the original paper document that has been approved by the panel of examiners and Senate.

#### **5.3 Preparation Process**

A thesis that has been examined and approved by Examination Board of Graduate Studies (Senate Sub-Committee) and Senate should be converted into digital form and submitted to the School of Graduate Studies (SPS)/faculty. SPS will then forward both ETD and bound thesis to the Library for archive and access. An ETD must consist of two (2) files, namely pre-access file and full text file.

##### **5.3.1 Pre-access File**

Pre-access file is a file that contains information about the author, the panel of

examiners and a brief content of the thesis. By reading this file, a reader will be able to assess the relevance of the document to the reader's research interest. If a reader wishes to access the whole thesis, the reader should contact the librarian for the full text file. The pre-access file includes the first chapter in the bound thesis.

### 5.3.2 Full Text File

A full text file consists of all contents of the thesis that has been approved by the Senate. This includes all preliminary pages, the main contents of the thesis and all appendices as submitted to the panel of examiners and approved. Writing style as the original bound hardcopy must be retained as presented in Chapters 1 to 4. All these pages must be saved into one (1) file only.

## 5.4 Preparation Guideline

The following guidelines must be observed:

- i. The electronic version must be the same as the final bound thesis as approved by the Senate;
- ii. Convert the thesis in PDF format. Use the latest version of Adobe Acrobat PDFMaker.  
**Do not set the Document Security;**
- iii. All pages which contain signatures of the student and supervisor must be scanned;
- iv. If the status of a thesis is CONFIDENTIAL or RESTRICTED, electronic version is still required but must be properly indicated in the Thesis Status Declaration form;
- v. Two files must be generated. The first file is for the purpose of pre-access that will be made accessible to the public. The second file is the full text file. The files should be named as follows:

**<name><matricno><p><tt><ss><c>.pdf**

Where:

- a. <name> is the student's first name (without surname or father's name)
- b. <matricno> is the student's matric card number or staff ID



c. <p> is the university where the thesis was submitted

- d – UTM
- 1 - other than UTM

d. <tt> is the year approved

e. <ss> is the thesis status

- su - confidential
- th - restricted
- tt - open access

f. <c> is the file type

- p - pre-access file
- t - full texts file

Example 1:

Wan Ahmad Nazri bin Wan Abdullah, is a master's student at Faculty of Engineering. His thesis was approved in 2002. His matric card number is MM100123. The thesis is declared restricted.

Therefore, the file should be labelled as:

<name> = wan ahmad nazri

<matricno> = mm100123

<p> = d

<tt> = 02

<ss> = th

The files should be named as follows:

wanahmadnazrimm100123d02thp.pdf (pre-access file)

wanahmadnazrimm100123d02tht.pdf (full texts file)

Example 2:

Wong Ah Seng, is a UTM staff who studied for his PhD overseas. The thesis is approved in the year 2002 and declared open access. He is a staff of Faculty of Social Sciences and Humanities and his staff number is 1234.

Therefore, the file should be labelled as:

<name> = wongahseng

<degree> = is derived as defined in Table 5.1 below

<Faculty> = is derived as defined in Table 5.1 below

<mode of study> = is derived as defined in Table 5.1 below

<matricno> = 31234

<p> = 1

<tt> = 02

<ss> = tt

**Table 5.1 Degree, Faculty and Type of Study's code**

<b>DEGREE</b>	<b>FACULTY</b>	<b>TYPE OF STUDY</b>
P – Doctorate	A – Faculty of Engineering	1 – course work
M – Master	B – Faculty of Social Sciences and Humanities	2 – course work and research
U – Undergraduate	C – Faculty of Science	3 - research
	D – Faculty of Built Environment and Surveying	
	E – Azman Hashim International Business School	
	F - Razak Faculty of Technology and Informatics	
	G – Malaysia Japan International Institute of Technology	
	H – Other institutions	

The files should be named as follows:

wongahsengPB31234l02ttp.pdf (pre-access file)

wongahsengPB31234l02ttt.pdf (full texts file)

UTM staffs studying in other universities are still required to submit an ETD to the library and the file names for the above example should be follows:

norfaezahPH37171101sup.pdf (Pre-access file)

norfaezahPH37171101sup.pdf (Full text file)

- vi. If the status of a thesis is CONFIDENTIAL or RESTRICTED, the pre-access file must contain only information that can be distributed. A full text file is still required for archive.
- vii. ETD must be submitted using high quality CD with details of the file printed on a CD cover sticker and placed in a CD casing
- viii. Two (2) CD with three (3) copies of the bound thesis must be submitted to SPS together with the ETD Verification form. Example of ETD Verification form is shown in Appendix V.