



## THE TECHNICAL UNIVERSITY OF KENYA

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### School of Graduate and Advanced Studies

#### Doctoral and Masters' Thesis/Dissertation Format

##### Introduction

The requirements contained in these Guideline apply to the Master's and Doctoral theses and dissertations.

A thesis/dissertation is a report of original research and scholarly work that is shared with the academic community and is made available to the public. A thesis/dissertation becomes part of the collection of the university library collection and two copies of Doctoral thesis/dissertation are also made available to the National Library.

These format standards have been developed to ensure a degree of consistency in the written presentation of research across academic disciplines. Therefore the School of Graduate and Advanced Studies will not accept theses/dissertations that do not conform to these guidelines. This information is on our website: <http://www.tukenya.ac.ke>.

Research theses/dissertations contain different features depending on the subject discipline or faculty. It is therefore not possible to encompass all the peculiarities and features in one document. However, these guidelines will aim at providing all common salient features that are encountered across all the disciplines; which include:

The introductory/preliminary part

The main text

The references

Appendices(if any)

## **I. THE INTRODUCTORY/PRELIMINARY PART**

### **Word Processing Software**

Candidates are encouraged to use appropriate word processing software to type the thesis/dissertation. If another word processing programme is used, the thesis/dissertation format must be adapted to conform as closely as possible to these guidelines.

### **Language**

Must be either standard British or American English but not a mix of both. Editing for correct grammar and spelling should be done thoroughly with help from the Department/School/Faculty/University Library.

### **Binding**

For thesis/dissertation examination SIX (6) spiral bound copies, with transparent blue covers over the title pages, will be submitted to the School of Graduate and Advanced Studies. After successful defense and resubmission of revised thesis/dissertation, final EIGHT (8) hard cover copies of thesis/dissertation will be submitted. The final thesis/dissertation shall be hard bound with green buckram for Master's by dissertation, black for Master's by thesis and navy blue buckram for Doctoral thesis/dissertation.

### **Spacing**

Double space throughout, with the exception of the title page, captions, table or figure headings, extensive quotations, footnotes or endnotes, entries in the References section, entries in and appendices. For Tables, Figures, Figure captions and Mathematical formulae single spacing should be used. Abstract should be single spaced. In References section 1.5 spacing should be used. There should be no space left when starting a new paragraph. In the text, when starting a new title/subtitle, leave one empty space (still on Font 12, double spacing).

### **Font**

For Text: Times New Roman Font 12 in black colour; same font to be used throughout. Tables: to be inserted within the text, table heading to be above the table, Font 12; inside the table: Font 11 or 10, single spacing for data. Figures: to be inserted within the text, title (underneath the

figure): Font 12. The only exceptions to these font sizes are captions (not smaller than 9 point) and main headings (not larger than font 12 bold).

Fonts other than Times New Roman can be minimally used where necessary such as in mathematical formulae or in sequence alignments font can change. Fonts in other colours must only be minimally used if they convey a specific meaning in the thesis.

### **Page size and margins**

Default page size is A4 in the 'portrait' orientation as implemented in word processing 'Landscape' orientation should only be minimally used if the need arises such as in presentation of tables or figures. All A4 pages must have 1" top, bottom, left, and right margins. Thesis/dissertation should be printed in good quality, white A4 paper. Printing should be done on only one side of the paper. Coloured papers must not be used. (80gsm)

### **Preliminary Pages**

Preliminary pages are the required pages that appear at the beginning of the final document and include Title, Declaration page, Dedication, Acknowledgement, Table of Contents, List of Tables, List of Figures, List of Abbreviations, and Abstract, respectively. There are also optional pages which can be placed in this section., depending on discipline.

### **Page Numbering**

Title page must not be numbered. All preliminary pages are numbered with lower case Roman numerals (i, ii, iii, iv etc), centered at the bottom of the page, with the bottom of the number at least 1/2 inch from the edge of the page. Subsequent pages, starting from Chapter 1, are then numbered in Arabic numbers (1, 2...etc), centered and at least 1 inch from the bottom of the page. Page number 1 (Chapter 1) should begin on a new page leaf.

Preliminary pages, chapters, references and appendices, respectively, must all start on a new page leaf.

### **Paragraphs**

The first paragraph after the title/subtitle must not be indented or overhang. For subsequent paragraphs, paragraph alignment, using 'justified' is selected once. Paragraphs can also be used in the Abstract with no space left between any two paragraphs.

### **Selection of Titles/Headings/Subheadings and Numbering**

Main headings for chapters, references and appendices must be in upper case, bold and Font size 12 without underlining. Subheadings should not be floating at the bottom of a page without any accompanying text. If subheadings are not accompanied by at least two lines of text, they should be pushed to the next new page.

Level 1. Chapter headers must be in uppercase, bold and font size 12 without underlining

Level 2 headers must be in upper case, bold, font size 12, without underlining.

Level 3 headers must be in upper case, bold, font size 12, without underlining.

Level 4 headers must be in lower case, bold, font 12 and without underlining.

Headers lower than level 4 should be minimized but if used, lower case, italics with bold should be adopted.

*Example 1*

Level 1 (centered):

## **CHAPTER ONE**

Level 2

### **INTRODUCTION**

Level 3:

#### **1.1 BACKGROUND INFORMATION**

Level 3:

#### **1.2 THE SUGAR INDUSTRY IN KENYA**

Level 4:

### **1.1.1 Kenyan Position in Global Sugar Trade**

*Example 2*

Level 1 (centered):

## CHAPTER TWO

Level 2

### LITERATURE REVIEW

Level 3:

#### 2.1. PATHOGENESIS IN MAN

Level 4:

##### 2.1.1 Chronic Forms of Katayama Fever

---

Section Numbering should follow the format:

**1. HEADING**.....

Writing.....

Writing.....

**1.1. SUBHEADING**.....

Writing.....

Writing.....

**2.1. SUBHEADING**.....

Writing.....

Writing.....

**2.1.1. Subheading**.....

Writing.....

Writing.....

---

Lists should be numbered using either alphabets or Roman numbers:

e.g.

## 2.7 MAIN OBJECTIVE

- a) .....
- b) .....
- c) .....

OR

### 2.7.1. Specific Objectives

- 1. ....
  - 2. ....
  - 3. ....
- 

## Tables, Figures and Charts

Table should be numbered in bold from the first to the last, using the format “**Table 1.1.**”, “**Table 1.2.**” etc.

Table title must appear in the same line at the top of the table and in single space. Suitable tables should be drawn to fit neatly within the text using appropriate word processing software. Insert and appropriate Table Tools, depending on the size and type of data. Columns and rows of tables should not be bolded. Tables and data inside it should be single spaced, font size 11. Explanations of abbreviations, references or special terminologies used in the table must be provided at the bottom of the table in a row(s) as a footnote. Superscript numbers such as<sup>12</sup> should be used in the footnote to make references/ show source of information of specific data in the table. Tables must be comprehensive, stand-alone and must fit within the print margins of the page. Data presented in table should not appear in figure to avoid duplication. If borrowing a table or figure, mention source and permission must be sought.

e.g.

**Table 3.1.** The names and ages of children born in May 2018 in Marsabit County, North Eastern, Kenya.

Names	Ages in yrs	Date of birth	Name of	Other
-------	-------------	---------------	---------	-------

			hospital	comments
Mohammed	20	ND	Aga Khan	BTC
Abdul	--	Ab <sup>1</sup>	Nairobi	--

**Note:** ND: not determined; BTC: birth through caesarean section; <sup>1</sup>data obtained from Elnino et al. (2018); yrs: years.

Or

**Table 3.1.** The names and ages of children born in May 2018 in Marsabit County, North Eastern, Kenya.

Names	Ages in yrs	Date of birth	Name of Hospital	Other comments
Mohammed	20	ND	Aga Khan	BTC
Abdul	---	Ab <sup>1</sup>	Nairobi	---
.....	---	-----	-----	

**Note:** ND: not determined; BTC: birth through caesarean section; <sup>1</sup>data obtained from Elnino et al. (2018); yrs: years.

*(This is a table (Table 3.1.) to be found in Chapter 3 of the thesis/dissertation, the first table in that chapter)*

**Figures and charts** are also labeled according to chapters using Arabic numbers, but at the bottom of the figure/chart. Foot notes are used underneath the Figure/Chart caption, as stated for Tables. The Figures and Charts must be comprehensive, stand-alone and must fit within the print margins of the page. Minimum Font Size for Figures and Charts should be Font Size 9, Times New Roman. Equations should be numbered or as per the requirement of the discipline.

**Length of thesis/dissertation**

Title: not more than 20 words or three lines of Font Size 12, Times New Roman, Bold Uppercase, single spacing.

Abstract: Up to 1 page, single spacing, Font Size 12, New Times Roman.

Postgraduate Diploma projects: 50-80 pages.

Master's dissertation: 60-100 pages.

Master's thesis: 80-120 pages.

Doctoral Thesis/Dissertation: 150-300 pages.

Exemption to thesis/dissertation lengths can be given by Senate depending on subject discipline. Request for exemption to be sent in writing to Director, SGAS through Supervisors/Department/School/Faculty.

Commission for University Education regulations: Masters' thesis – 20,000 words

Commission for University Education regulations: Doctoral thesis/dissertation- 50,000 words.

## **REFERENCES**

The references must all be linked to the text, avoiding any forms of plagiarism in citations done within the text. The references must be mostly current published materials; as current as possible depending on the subject discipline. Appropriate referencing format should be used for both in-text citation and the references list. References should be listed according to Alphabetical order and year of publication, if the same authors are being cited more than once. Citing authors who have published more than once in one year, use a, b, c etc. to differentiate them in the text as well as in the references list, e.g. 1980a, 1980b, 1980c, etc. Font size is 12, Times New Roman, 1.5 spacing.

*Examples of APA referencing styles (the student should visit the website for more examples):*

Note: Faculties to submit their versions.

### **1. Book**

Each reference should include four elements: 1(1) author/edition/producer (2) date (3) title of the work and (4) publication information:

Author, A. & Author, B. (Year). Title of the work. Place name: Publisher.

Caulcutt, R. (1991). *Statistics in Research and Development* (2nd ed.) London: Chapman & Hall.

## 2. Edited Book

(a) Letheridge, S. & Cannon, C.R. (eds) (1980). *Bilingual Education: Teaching English as a Second Language*. New York: Praeger.

## 3. Periodicals/Journal Articles

Items published regularly, such as **journals**, **magazines** and **newspapers**, are known as serials or periodicals. Include the same elements as for a book, but **exclude** the **publication information** and **add** the **volume**, **issue** and **page number(s)** instead.

Each reference should include the following elements: (1) Author (2) Date (3) Title of article (4) Title of Periodical (5) Volume, Issue and Page numbers.

Author, A. & Author, B. (Year). Article title. *Title of Periodical*, x(x), pp-pp.

Horowitz, L.M., Post, D.L., French, R.S., Wallis, K.D. & Siegelman, E.Y. (1981). The prototype as construct in abnormal psychology: 2 clarifying disagreement in psychiatric judgements. *Journal of Abnormal Psychology*, 90(4), 575-585.

## APPENDICES

Appendices should be numbered using Roman numbers; **Appendix I**, **Appendix II** etc. and should include items such as research instruments, maps or other graphics, calibration curves, chromatographs, spectral data, photographs, raw data and research questionnaire forms, which the candidate feels should not be in the main text.

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### **Preliminary Pages Must Appear in the following Sequence:**

**Title page** – Required, see attached format/template in Sample pages. The title page is counted but not numbered. All items centered and TITLE, ALL IN CAPS. Use official degree names only. The date is the month and year of degree conferral. Single spacing.

**Declaration page** – required, on a new page. Must be signed by the student and all supervisors. Add academic rank and area of specialization (refer to sample)

**Dedication page** – required, on a new page. Double spacing.

**Acknowledgement page** – required, on a new page. Acknowledge people and organizations that helped you during your work, funding agencies and also include any permission sought to reproduce copyrighted material. Double spacing.

**Abstract** – Required. The abstract is a summary of the dissertation. Follow the format shown in the sample pages. Single spacing, one page, Font size 12, Times New Roman. Include keywords.

**Copyright page** – Optional. You may include this page even if you will not be formally registering for copyright. The format is shown in the sample pages. Double spacing.

**Some websites that provide information about copyright:**

[http://www.umi.com/assets/downloads/products/UMI\\_CopyrightGuide.pdf](http://www.umi.com/assets/downloads/products/UMI_CopyrightGuide.pdf)

<http://www4.uwm.edu/libraries/reserve/cresources.cfm> <http://lcweb.loc.gov/copyright/>

**Table of Contents** – Required, on a new page. The Table of Contents lists all sections that follow it (with the exception of an epigraph or frontispiece). Type **TABLE OF CONTENTS** centered at the top of the page, double space and then begin the entries. Use Uppercase and Lower Case as appropriate, as in the entries being made. See format in the sample pages. Double spacing.

**List of Tables** – Required, on a new page, if tables appear in the thesis. Type **LIST OF TABLES** at the top of the page, centered, and then begin. List the number, caption, and page number of each table. Tables should be numbered chapter wise throughout the thesis. Double spacing. See sample.

**List of Figures** – Required, on a new page, if figures appear in the thesis. Type **LIST OF FIGURES** centered at the top of the page, double space and begin. The term figures include various non-text items. List the number, caption, and page number of each figure. Figures should be numbered chapter wise throughout the thesis. Figures include graphs, photographic illustrations, maps, drawings etc.

**List of Abbreviations** – required and must be included if necessary. List the items down the page in alphabetical order. Double spacing. Optional include as necessary. Format heading the same as List of Figures.

**List of Scientific Symbols and Nomenclature or Units of measurements**– Should be included if necessary, on a new page. Double spacing.

**Definitions of Terms Used** –should be included if necessary, on a new page. Double Spacing

**Frontispiece (illustration) or Epigraph (quotation)** – Optional. The source of the epigraph is listed below the quotation, but is not listed in the bibliography unless it is also cited in the main text.

## **II. THE MAIN TEXT**

A candidate will choose one of the following options.

### **OPTION 1**

#### **CHAPTER ONE**

**INTRODUCTION** centered

**BACKGROUND** (main heading)

-Descriptions on background to the problem; can have subheadings

**STATEMENT OF THE PROBLEM** (a subheading)

**JUSTIFICATION (or RATIONALE)** (a subheading)

**MAIN OBJECTIVE** (a subheading)

**Specific Objectives** (a subheading)

**HYPOTHESIS or RESEARCH QUESTIONS** (a subheading) **Optional**

This chapter should be brief and very clear to give reader an overview/insight of the work. It should give either the scenario that culminates in including, provoking or creating the student's curiosity or urge to study the topic; or the historical development of whatever nature, scientific, sociological, economical etc. which have necessitated the study. A well laid down context of background information to the problem brings about a sound understanding of the problem.

#### **CHAPTER TWO**

**LITERATURE REVIEW** centered

Headings/subheadings

Descriptions of literature review

Theoretical Framework (**Optional**)

Can have subheadings e.g. 2.1 etc, and several paragraphs.

This is a selective and critical survey of the written works of the subject area or topic. It should include current research works and should be a critical analysis of selected works to reveal the work that is already done and identify the gaps in knowledge that require filling. It should be exhaustive, thorough and informative. References cited must contain name(s) of authors and the year, in brackets. Format according to the faculty/discipline.

**CHAPTER THREE**  
**METHODOLOGY** centered

Headings/subheadings

e.g. **Materials and Methods** (Depending on the disciplines)

This is a section where the results bring either failure or achievement. The student should describe as comprehensively and fully as possible, the procedure to be used in collecting data throughout the work to a final stage which also includes how data will be analyzed and presented. Should include descriptions of study area (in some cases, maps, scope, locations and population etc).

**CHAPTER FOUR**

Either

**RESULTS** (centered)

Headings/Subheadings

**DISCUSSION** (centered as Chapter 5)

Or just

**RESULTS AND DISCUSSION** (centered)

**CHAPTER 5**

**CONCLUSIONS AND RECOMMENDATIONS** (centered)

Descriptions.....

**CONCLUSIONS** (a subheading)

Descriptions.....

**RECOMMENDATIONS** (a subheading)

descriptions

**(Format according to Faculty)**

**BIBLIOGRAPHY (if applicable)**

**REFERENCES** (centered, new page)

**APPENDICES** (centered, new page)

## **OPTION 2**

### **CHAPTER ONE**

**GENERAL INTRODUCTION** (as in Option 1) centered

### **CHAPTER TWO**

**TITLE OF OBJECTIVE TO BE INVESTIGATED** (centered)

**GENERAL LITERATURE REVIEW** (as in Option 1)

**CHAPTER THREE, FOUR, and FIVE, etc.:** According to topics/experiments/objective or papers.

Each chapter consists of:

- **X.1. INTRODUCTION** - Brief introduction and literature relevant to the objective.
- **X.2. METHODOLOGY** (new page)
  - **X.2.1. MATERIALS AND METHODS**- all must be used to provide answers to the objective.
- **X.3. RESULTS** (new page)
- **X.4. DISCUSSIONS** (new page)
- **or X.3 RESULTS AND DISCUSSIONS** (new page) on the objective
- **CONCLUSIONS** (new page)

**CHAPTER XX** (next number after the Chapter of last objective) (new page)

**GENERAL DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS** (centered)

**REFERENCES** (for all chapters, new page)

**BIBLIOGRAPHY (Optional)**

**APPENDICES** (for all chapters, new page)

## **A Sample to guide the candidate**

Hard cover page (e.g. navy blue for Doctoral) etc

Font size 16? Times New Roman, Single Spacing, gold writing

See next page

**(LOGO OPTIONAL)**

**SCHISTOSOMIASIS TRANSMISSION DYNAMICS- A CASE STUDY OF MWEA  
IRRIGATION SCHEME, KENYA**

**(Font 14)**

**EDWARD OWITI OKONJO**

**PhD**

**2018**

Blank page

**SCHISTOSOMIASIS TRANSMISSION DYNAMICS- A CASE STUDY OF MWEA  
IRRIGATION SCHEME, KENYA (font size 14)**

**EDWARD OWITI OKONJO**

**B.Sc. (UoN); M.Sc. (UoN)**

**(Student Registration Number)**

**A Thesis Submitted in Partial Fulfillment of the Requirements for the Award of the  
Degree of Doctor of Philosophy in Parasitology**

**in**

**The School of Biological and Life Sciences**

**of**

**The Technical University of Kenya**

**(April 2018)**

**DECLARATION** (font size 12)

This thesis is my original work and has not been presented in any other institution for a degree award or other qualification.

**EDWARD OWITI OKONJO**

**REG. NO. XXXXXXXX/2012**

Signature \_\_\_\_\_ Date \_\_\_\_\_

This thesis has been submitted with our approval as supervisors:

Signature \_\_\_\_\_ Date \_\_\_\_\_

**PROF. DORCAS YOLE**

**PROFESSOR OF BIOLOGY (INCLUDE TITLE AND FIELD)**

**THE TECHNICAL UNIVERSITY OF KENYA**

Signature \_\_\_\_\_ Date \_\_\_\_\_

**PROF. DORINGTON OGOYI (INCLUDE TITLE AND FIELD)**

**THE TECHNICAL UNIVERSITY OF KENYA**

Signature \_\_\_\_\_ Date \_\_\_\_\_

**DR. SOSO A. SOSO**

**SENIOR LECTURER IN BIOCHEMISTRY (INCLUDE TITLE AND FIELD)**

**UNIVERSITY OF NAIROBI**

**DEDICATION** (font size 12)

## **ACKNOWLEDGEMENT**

I would like to acknowledge my supervisors.....

Font size 12, Double spacing

## **ABSTRACT**

1 page, Font size 12, Single Spacing, can be in paragraphs, include key words

Abstract should summarize the thesis/dissertation. The content of the abstract includes clear summary of statement of the problem, objectives, methodology, results, conclusions (linked to each objective) and impact/stake holder.

**COPYRIGHT** (optional)

Font size 12, Double spacing

**TABLE OF CONTENTS** (font size 12, Double spacing)

Declaration .....page number

The table of contents is most easily created automatically with REFERENCE tools within WORD. Click on the following sequence: insert, reference, index and tables, table of contents, okay. The chapter titles and section headers should have been set to create a table of contents. It is important that the styles laid out in this template are used to maximize the benefits of the template and appropriate word processing software options. The table of contents can be updated as you revise your thesis by using right mouse button and clicking on “update field.” With this approach, there is no need to copy and paste or retype your chapter and section titles.

## **LIST OF TABLES**

The list of tables is also easily created automatically with REFERENCE tools within WORD. Click on the following sequence: “insert, reference, index and tables, table of figures, (find “caption label” box set as – tables), okay.” This can be updated as you revise your thesis by using right mouse button and clicking on “update field.” With this approach, there is no need to copy and paste or retype your chapter and section titles. You need to also use the table captions within the body of your thesis (see examples below). The insertion of table captions in this manner also helps because word automatically renumbers the tables within the text when you insert another table in the middle. There is no need for you to renumber the tables manually

## **LIST OF FIGURES**

The List of Figures is most easily created automatically with REFERENCE tools within WORD. Click on the following sequence: insert, reference, index and tables, table of figures, (find “caption label” box set as – Figures), okay. This can be updated as you revise your thesis by using right mouse button and clicking on “update field.” With this approach, there is no need to copy and paste or retype your chapter and section titles. You need to also use the figure captions within the body of your thesis (see examples below). The insertion of figure captions in this manner also helps because word automatically renumbers the tables within the text when you insert another table in the middle. There is no need for you to renumber the figures manually

## **LIST OF ABBREVIATIONS AND ACRONYMS**

## **LIST OF SYMBOLS AND NOMENCLATURE**

## **DEFINITIONS OF TERMS USED**

## **EPIGRAPH**

(Optional)

# CHAPTER 1

## INTRODUCTION

### 1.1 BACKGROUND

Literature on aspects which are very fundamental to the study objectives, e.g. geographical and population distributions, statistics, health impacts, government visions and policy statements, previous works done in the subject area and gaps left unfilled.

-----

Can also introduce paragraphs and subheadings (e.g. **1.1.1**)

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## **CHAPTER 2**

### **LITERATURE REVIEW**

#### **1. 1. THE GENERAL FACTORS WHICH INFLUENCE CANCER**

Exhaustive, relevant to the study and related to each objective.

## **CHAPTER 3**

### **METHODOLOGY**

**1.1. THE STUDY AREA**

**1.2. MATERIALS AND METHODS**

**OTHER CHAPTERS AS IN OPTIONS 1 AND 2, RESPECTIVELY**

## **REFERENCES**

APA Format. Listing ranked according to alphabetical order of authors' names and year (date) of publication. Font size 12, spacing 1.5

## **APPENDICES**

### **APPENDIX I. ETHICAL APPROVAL**

etc.