

# Documentation — Presentation of theses and similar documents

## 0 Introduction

The rules set out in this International Standard are for the use of both editors and authors of theses.

The presentation, style and establishment of the bibliography of a thesis shall conform to the particular rules of the university to which it is submitted even if the thesis is distributed outside the university.

It is also recommended to register the bibliographic description of the document with the appropriate body, additionally indicating the form of presentation, availability and distribution list.

## 1 Scope and field of application

This International Standard gives rules for the presentation of theses and similar documents in all disciplines.

It is applicable to theses presented

- in book form;
- as parts of books;
- as periodical articles;
- as typescripts;
- as a set of separate publications.

The rules apply to theses reproduced in the following forms:

- composed and printed;
- in identical form or with reduction (for example from A4 to A5);
- in microform.

## 2 References

ISO 31 (parts 0 to 13), *General principles concerning quantities, units and symbols*.

ISO 214, *Documentation — Abstracts for publications and documentation*.

ISO 690, *Documentation — Bibliographical references — Essential and supplementary elements*.

ISO 999, *Documentation — Index of a publication*.

ISO 1086, *Documentation — Title-leaves of a book*.

ISO 2108, *Documentation — International standard book numbering (ISBN)*.

ISO 2145, *Documentation — Numbering of divisions and sub-divisions in written documents*.

ISO 2384, *Documentation — Presentation of translations*.

ISO 3297, *Documentation — International standard serial numbering (ISSN)*.

ISO 5966, *Documentation — Presentation of scientific and technical reports*.

ISO 6357, *Documentation — Spine titles on books and other publications*.

## 3 Definition

For the purpose of this International Standard the following definition applies.

**thesis; dissertation:** Document which presents the author's research and findings and submitted by him in support of his candidature for a degree or professional qualification.

## 4 Methods of production

**4.1** Theses shall be presented in a legible form in typescript or print. Typed characters shall be well formed and black. Drawings and sketches shall be in black ink.

### 4.2 Paper

Paper shall be white, of an opacity and quality that allows printing, reading and micro-reproduction.

### 4.3 Size

The typescript shall be of size A4 (210 mm × 297 mm). If the document is printed, a standard book size should be chosen.

### 4.4 Margins

Margins shall be sufficient to facilitate binding and reproduction.

#### 4.5 Numbering of sections, clauses, sub-clauses and pages

##### 4.5.1 Sections, clauses and sub-clauses

The numbering of sections, clauses and sub-clauses shall be in accordance with ISO 2145.

##### 4.5.2 Pages

The numbering of pages shall run consecutively, including blank pages, also if a thesis is published in several volumes, in arabic numerals, beginning on the recto of the first printed leaf. The title-leaves are counted but not numbered.

### 5 Order of elements

#### 5.1 Division

A thesis is considered to comprise the following major parts:

- a) front matter;
- b) body of thesis;
- c) annexes;
- d) end matter.

#### 5.2 Front matter

The front matter shall consist of the following, in the order given:

- a) outside and inside front cover (cover pages 1 and 2), if required (see clause 6);
- b) title leaf (see clause 7);
- c) errata page, if any (see clause 8);
- d) abstract (see clause 9);
- e) preface (see clause 10);
- f) table of contents (see clause 11);
- g) list of illustrations and list of tables, if any (see clause 12);
- h) list of abbreviations and symbols, if any (see clause 13);
- i) glossary, if any (see clause 14);

#### 5.3 Body of thesis

The body of the thesis shall consist of the following, in the order given:

- a) main text, with essential illustrations and tables (see clause 15);
- b) list of references (see 16.1 and 16.2).

#### 5.4 Annexes

Annexes are considered separately from the other end matter because, although not always required, they may form a substantial part of some theses (see 16.3 and clause 17).

In theses appearing in book form, as a periodical article or a typescript, the annexes follow the main body of the thesis. In theses consisting of a bound set of separate publications (to which the front matter and end matter has been added), the annexes directly follow the body of the publication to which they belong.

#### 5.5 End matter

The end matter shall consist of

- a) index(es) (see clause 18), if required;
- b) curriculum vitae of the author, if required;
- c) inside and outside back cover (cover pages 3 and 4), if required;
- d) accompanying material.

### 6 Cover

The use of a cover is optional. The front cover, if any, shall contain the essential elements of the title page. The title of the thesis, the name(s) of the author(s), and, if the thesis belongs to a serial, the title and numbering of the serial shall be given.

For spine titles, see ISO 6357.

### 7 Title-leaf<sup>1)</sup>

7.1 The title-leaf of each volume shall give, in the order shown, the following information (see ISO 1086):

- a) title of the thesis and the subtitle, if any;
- b) total number of volumes of the thesis if more than one and the number of the particular volume;
- c) title of the serial and the number of the volume in the serial publication;
- d) full name(s) of the author(s) followed by qualifications and distinctions, if desired. The form of the name(s) of the authors should clearly indicate the part of the name under which the author(s) should be entered in an alphabetical list. If the name(s) of the author(s) has (have) changed the legal name(s) should be mentioned first;
- e) name and place of the institution to which the thesis is submitted;
- f) department, faculty or organization in which research was conducted;
- g) names of the referees or the Committee;

1) In general, institutions of higher education have special regulations for the composition and wording of the title-leaf of theses. In such cases the approbation of the institution concerned is sought for the title-leaf of the thesis.

- h) degree which is applied for and the speciality;
- i) date of submission and defence;
- j) place and date of publication and publisher(s), if any, or availability.

**7.2** Sometimes a variant (commercial) edition of the thesis is published in addition to the formal thesis. In this case the title page or its verso shall indicate that the edition is based on the original thesis and shall give at least the following information:

- a) full title of the original thesis and the subtitle, if any;
- b) full name(s) of the author(s);
- c) name of the institution to which the thesis is submitted;
- d) the degree which is applied for and the speciality, or the degree which has been conferred on the author(s);
- e) date of submission or defence, or the date when the title was conferred;
- f) publisher, place and date of publication.

For this type of edition 7.4, 7.5 and 7.6 are also applicable.

### 7.3 Title

**7.3.1** The title shall clearly indicate the content. Every word should contribute specific information of practical use in title lists, indexing and information retrieval.

**7.3.2** The subordination of the subtitle should be made apparent.

**7.3.3** The title given on the title-page shall be the same in all places. However, it may be condensed in the running titles and in spine titles, if any.

**7.3.4** If the thesis is divided into several volumes and in order to identify each volume, the author(s) may use individual titles, while retaining the general title and subtitle.

**7.3.5** If the thesis is an edited translation or a translation with explanatory notes the title and the name of the author of the original work shall appear in the original language (or, if necessary, transliterated or converted in accordance with the relevant International Standards) after the translated title (see ISO 2384).

**7.3.6** The language of the title and/or subtitle shall be the language in which the thesis has been written.

### 7.4 Title(s) of serial publication(s)

**7.4.1** If the thesis is published in a serial publication, the title of the serial publication(s) shall be indicated on the title-leaf. If the thesis is published in several serial publications all the serial publication titles shall be mentioned.

**7.4.2** The serial number shall be given after the title of the serial publication. For a periodical, the volume, year and number shall be given after the title of the serial publication.

### 7.5 ISBN and ISSN

If a thesis is published as a monograph, it should carry an International Standard Book Number (ISBN) on the title page or its verso (see ISO 2108). If the thesis is published as a part of a serial publication, it should carry an International Standard Serial Number (ISSN) (see ISO 3297<sup>1)</sup>).

### 7.6 Copyright

The copyright owner and date shall be identified on the title page or its verso, in accordance with the relevant copyright laws.

## 8 Errata

**8.1** Errata, if any, shall be printed on one side of a leaf inserted after the title-leaf under the heading 'erratum' or 'errata'.

**8.2** The following information shall be placed at the top of the leaf:

- title;
- subtitle, if any;
- volume number, if any;
- name(s) of author(s);
- date of publication or submission;
- place of publication or submission.

**8.3** The layout of the text shall be as follows:

#### Example

Page	Line	Instead of	Read
82	4	publication	presentation

**8.4** The typeface and the length of the lines shall be the same as in the original text.

## 9 Abstract

Abstracts shall be in accordance with ISO 214.

Descriptors or keywords and/or subject classification notations such as UDC notations assigned to the thesis, if included, shall be placed above or underneath the abstract.

1) In addition to the ISBN or ISSN it is recommended to include in published theses the full Cataloguing in Publication (CIP) information.

## 10 Preface<sup>1)</sup>

The preface shall include *inter alia* the following information: reasons for undertaking the study, its subject, scope and purpose, as well as acknowledgement of assistance, for example support (grants, scholarships) and consultations and discussions with supervisors and colleagues.

## 11 Table of contents<sup>2)</sup>

11.1 The table of contents shall consist of the titles of the principal subdivisions of the theses and of any annexes, together with the page numbers on which these appear.

When a thesis comprises a set of documents, a list of these shall be given.

11.2 In a multi-volume thesis each volume shall have its own table of contents, but a complete table of contents shall also be included in each volume.

## 12 Lists of illustrations and tables

12.1 All illustrations (figures)<sup>3)</sup>, maps, plates, tables, etc., shall be given in respective lists.

12.2 Lists shall contain the number, the caption or legend of the figure, map, plate and table together with the number of the page(s) on which these appear.

The caption may be abbreviated, i.e. limited to the first sentence which shall be self-explanatory.

12.3 The sources of illustrations and tables shall be mentioned in the lists, if they are not included in the caption or in the acknowledgment (see clause 10).

## 13 Abbreviations and symbols

13.1 Abbreviations and symbols shall be in conformity with those specified in the appropriate International Standard. If the symbols required are not covered by the relevant International Standard reference may be made to national standards or to publications issued by scientific bodies competent in the field.

If the thesis contains signs, symbols, units, abbreviations or acronyms that may not be immediately understood by the reader they shall be explained in one or more lists.

13.2 Abbreviations and symbols shall be defined when they first occur in the text. If there are numerous abbreviations and

symbols, they shall be listed and defined separately from the text. This list shall be placed after the table of contents or after the list(s) of figures and/or tables if these are included.

## 14 Glossary

Terms which require explanation shall be defined in a glossary. The existence of a glossary does not justify the omission of an explanation in the text when a term first appears.

## 15 Main text

### 15.1 General remarks

The main text shall begin with an introduction and end with a conclusion. The introduction should relate the thesis to previous research in the field, as well as highlighting the aims and methods of the thesis.

15.1.1 The main text shall start on the recto of a leaf.

15.1.2 It shall be divided into numbered sections, clauses and, if required, sub-clauses. Further splitting-up is normally not recommended. The numbering shall be in accordance with ISO 2145.

15.1.3 Each section shall start on a new page.

15.1.4 The terms used to designate the various sections, clauses and sub-clauses shall be the same throughout the document.

### 15.2 Quotations

Quotations not integrated in the text of the clauses shall be clearly distinguished from the main text; sources shall also be indicated.

### 15.3 Citing publications

15.3.1 Citations in the text shall be distinguished by the author's name and year of publication or by a reference number corresponding to an entry numbered in the list of references. In the latter case the numbers should be typed as superscripts or on the line in parentheses after the relevant name, word or phrase (see also annex A).

15.3.2 Bibliographic references shall be in accordance with ISO 690. For the "list of references" see clause 16 and annex B.

1) Some institutions of higher education have special regulations for the contents of the preface.

2) In addition, it is recommended that the table of contents be translated in languages other than that of the thesis.

3) The term "illustration" includes graphs, line drawings, and photographs. All illustrations should be referred to as "figures" in the thesis.

## 15.4 Notes

Notes shall be kept to a minimum.

## 15.5 Equations and formulae

**15.5.1** Equations and formulae shall be indented from the margin and separated from the surrounding text by an extra space.

If the formulae are very short, they may be placed in the text, preceded and followed by an extra space.

**15.5.2** If there are several equations and formulae, they shall be identified by consecutive numbers placed in parentheses at the extreme right of the line.

### Example

$$w_1 = u_{11} - u_{12}u_{21} \quad \dots (5)$$

**15.5.3** Reference signs in the text to equations or formulae shall be in the form

eq. (1), form. (2), or equivalent in other languages.

**15.5.4** If the equations or formulae have to be broken owing to lack of space in the line, they shall be broken before an equals sign or after a plus, minus, multiplication or division sign.

**15.5.5** The numerator shall be separated from the denominator by a line equal in length to the longer of the two.

**15.5.6** Where it is necessary to include fractions in solid text, they shall, where possible, be reduced to a single level by using a solidus (/) or, where applicable, the negative index.

### Example

Instead of  $\frac{1}{\sqrt{2}}$  write  $1/\sqrt{2}$  or  $2^{-1/2}$

## 15.6 Verses

**15.6.1** Verses shall be distinguished from the main text.

**15.6.2** If there are verses of more than 15 lines each group of, for example, five lines shall be numbered.

**15.6.3** Verses shall be indented from the left-hand margin and separated from the surrounding text by extra space.

**15.6.4** In the case of facing page translations, the verses shall be arranged in such a manner that they correspond.

**15.6.5** If a line extends beyond the margin, the excess shall be indented and aligned on the right-hand margin.

**15.6.6** The source from which a poem has been quoted shall be given at the end of the quotation, preferably in the form of a full bibliographic reference (see ISO 690).

## 15.7 Illustrations and tables: layout and reproduction

### 15.7.1 Location

Illustrations, for example drawings, charts, photographs, maps and tables should be included near the first reference made to them in the text.

They shall, however, be placed in numerical sequence after the text, when a thesis contains only a few pages of text and numerous illustrations and/or tables, or when there are several references to the same table and illustration.

### 15.7.2 Presentation

Copies of illustrations and tables shall be legible even when reduced. Coloured lines shall be replaced by various dashed lines. Illustrations, which for technical reasons (for example colour reproductions) require separate duplication or printing, shall be presented as plates (*hors-texte*).

### 15.7.3 Captions and legends

**15.7.3.1** A short caption or legend, horizontal and unboxed, shall be given with each illustration or table.

**15.7.3.2** The caption of a table shall appear above the table and after the Arabic numeral assigned to it.

**15.7.3.3** The legend of an illustration shall be placed below the illustration. If the illustration occupies a full page, the legend shall be placed at the bottom of the facing page.

**15.7.3.4** The legend of an illustration shall be placed after the Arabic numeral assigned to it.

**15.7.3.5** When referred to in the text, the illustration or table numbers shall be preceded or followed by the words "figure" or "table", or their equivalent (or their abbreviations); the source of any non-original data in an illustration or a table shall be given.

### 15.7.4 Numbering

**15.7.4.1** Illustrations shall be numbered consecutively in Arabic numerals, generally without distinguishing between maps, drawings, graphs, diagrams, plates, etc. A separate system of numbering may however be desirable for maps.

**15.7.4.2** Illustrations and tables should be numbered separately and consecutively.

**15.7.4.3** Illustrations and tables in annexes shall be designated by the letter of the annex as well as by their own number.

## 16 List of bibliographic references

Entries in the reference list shall comply with ISO 690.

**16.1** All documents cited in the body of the text shall be listed under "References".

**16.2** The list of bibliographic references shall be placed on a new page immediately after the main text, and preceding illustrations and tables if these are grouped together (see 15.7.1).

**16.3** Documents not cited in the body of the text but given as supplementary information shall be listed in an annex with the title "Bibliography".

## 17 Annexes

**17.1** Annexes may include more detailed information, more extensive explanation of methods and techniques that are summarized in the text, suggested reading (bibliography), and other information that is not essential to the understanding of the main text.

**17.2** The pagination of the annexes shall be consecutive and continue the pagination of the main text.

**17.3** A capital letter of the alphabet, beginning with A, preceded by the word "Annex" shall be given for identification of each annex.

**17.4** The division into clauses and sub-clauses in the annexes shall be consistent with that of the main text. The numbering of these items shall start afresh with each annex, with each number being prefixed by the annex letter.

**17.5** Each annex shall start on a new page.

## 18 Index

The presentation of the index shall comply with ISO 999.

**18.1** Arabic numerals shall be used for all page references with the exception of page references from annexes. These page numbers shall be prefixed by the annex letter.

When there is more than one volume, the page number shall be preceded by and separated from the volume number, which shall be given in Arabic numerals.

**18.2** Each index shall start on a new page.

**18.3** The type of index shall be clearly indicated in the title of the index, i.e. general or specialized (by subjects, geographical names, etc.).

**18.4** For clarity, each entry shall have only a limited number of subdivisions.

## 19 Bibliography

ISO 4, *Documentation — Rules for the abbreviation of words and titles of publications.*

ISO 9, *Documentation — Transliteration of Slavic Cyrillic characters into Latin characters.*<sup>1)</sup>

ISO 30, *Documentation — Bibliographical identification (biblid) of serial publications.*<sup>2)</sup>

ISO/R 169, *Sizes of photocopies (on paper) readable without optical devices.*

ISO 215, *Presentation of contributions to periodicals.*<sup>3)</sup>

ISO 216, *Writing paper and certain classes of printed matter — Trimmed sizes — A and B series.*

ISO 233, *Transliteration of Arabic characters into Latin characters.*

ISO 259, *Transliteration of Hebrew characters into Latin characters.*

ISO 832, *Documentation — Bibliographical references — Abbreviations of typical words.*

ISO 843, *Transliteration of Greek characters into Latin characters.*<sup>4)</sup>

ISO 2014, *Writing of calendar dates in all-numeric form.*

1) At present at the stage of draft. (Revision of ISO/R 9-1968.)

2) At present at the stage of draft. (Revision of ISO/R 30-1966.)

3) At present at the stage of draft. (Revision of ISO/R 215-1961.)

4) At present at the stage of draft. (Revision of ISO/R 843-1968.)

## Annex A

### Citations in text

(This annex forms part of the standard.)

ISO 5966 being taken as basis for the establishment of citations, citations in the text are described as follows:

#### 7.5.3 Citations in text

The form of citation used in the text shall be one of two types, corresponding to the method chosen for ordering entries in the reference list:

a) A name(s)/date citation that corresponds with the name(s) of author(s) and a publication date in an alphabetically ordered reference list (see 7.5.1) and, where required for microform purposes, in a footnote (see 7.5.2).

or

b) A citation number that corresponds with a numbered entry in the reference list (see 7.5.1) and, where required for microform purposes, with a numbered footnote (see 7.5.2).

When name(s)/date citations are used they shall combine the name(s) of author(s) and the date of publication at an appropriate point in the text, either by combining the name(s) and date within parentheses or, when the name(s) form part of a sentence, by adding the date in parentheses after the name(s). It is also frequently desirable to include the specific page with the citation in the text.

#### Example

##### Citation:

. . . has been noted at altitudes as low as 2 500 m (MacFarland, 1974, p. 650).

or

. . . MacFarland (1974, p. 650) has noted this at altitudes as low as 2 500 m.

##### Corresponding entry in reference list:

MACFARLAND, R.A. Influence of changing time zones on air crews. *Aerospace Medicine* 45, 1974: 648-658.

*Corresponding entry in footnote (shortened version), if required:*

MACFARLAND, R.A. Influence of changing time zones. *Aerospace Med.*, 1974.

NOTE — The use of name(s)/date citations does not change the ordering of the elements of the bibliographic references from that required by ISO 690.

When reference is made to more than one publication by the same author or group of authors in the same year, the

name(s)/date citations shall carry a series of lower-case letters after the date.

#### Example

##### Citation:

. . . information from these sources [Farnfield, 1974 a] led to a proposal for the adoption of new terms [Farnfield, 1974 b].

##### Corresponding entries in reference list:

a) FARNFIELD, C.A. *ed.* 1974. A Guide to Sources of Information in the Textile Industry, Manchester, The Textile Institute, 1974: pp. 119-120.

b) FARNFIELD, C.A. 1974. Textile terms and definitions, Comm. Rpt. 23. Manchester, The Textile Institute, 1974.

When numbered citations are used they shall run consecutively through the text, except that when a reference source is cited more than once, referring to the same pages exactly, the same number shall be repeated. The numbers, enclosed in parentheses or typed as superscripts, shall be placed in the text at appropriate points and shall be of a different font from other numbers in the text. When it is not possible to use a different font for citation numbers, the abbreviation "Ref" shall precede the number inside the parentheses.

#### Example

##### Citation:

. . . has been noted at altitudes as low as 2 500 m (2).

or

. . . has been noted at altitudes as low as 2 500 m (Ref 2).

or

. . . MacFarland (2) has noted this at altitudes as low as 2 500 m.

##### Corresponding entry in reference list:

(2) MACFARLAND, R.A. Influence of changing time zones on air crews. *Aerospace Medicine* 45, 1974: 648-658.

##### Corresponding entry in footnote (shortened version):

(2) MACFARLAND, R.A. Influence of changing time zones. *Aerospace Med.*, 1974."

## Annex B

### Reference list

(This annex forms part of the standard.)

ISO 5966 being taken as basis for the establishment of citations, citations in the text are described as follows:

#### 7.5.1 Reference list

A list of all sources on which the report depends shall be given at the end of the body of the text and citations shall be made to this list at appropriate places in the text. General references on the broad subject of the report may be cited in the introduction and hence included in this list; however, supplementary literature not cited in the text but considered of interest to the reader shall be listed in a separate bibliography as an annex (see 8.2.2).

Entries in the reference list shall comply with ISO 690.

#### Examples

*Book:* PETERSSEN, Sverre. 1941. Introduction to Meteorology. New York, McGraw Hill, 1941: pp. 200-210.

*Paper in a collection:* HOWLAND, D. 1964. A Model for hospital system planning. In: KREWERAS, G. and MORLAT, G., eds. Actes de la 3ème conférence internationale de recherche opérationnelle, Oslo, 1963. Paris, Dunod, 1964: pp. 203-212.

*Article in periodical:* BACHMANN, Wolfgang. 1973. Verallgemeinerung und Anwendung der Rayleighschen Theorie der Schallstreuung (Generalization and application of Rayleigh Theory of scattering of sound). *Acustica* (28,4) 1973: pp. 223-228.

*Report:* LLOYD, John Charles. 1974. Application of electronic toning to shipbuilding, Vol 1: Anticorrosion, ELTON-TR-54. Birkenfield, U.K., Electronic Toning Laboratory, 1974.

Because of the large number of periodicals and the frequent changes in their titles, references to periodicals in the reference list should state their titles in full. If abbreviations are used they shall comply with ISO 4 and the International List of Periodical Title Word Abbreviations.

References to parts of books or long papers should state the specific page(s). (References to articles in periodicals are required to do this by ISO 690.)

Terms such as *op.cit.*, *loc.cit.*, *ibid.* and *idem*, or equivalent terms in other languages shall not be used.

When references are made to "personal communication" the full name and working address of the communicator shall be given, and also the date of the communication.

The ordering of entries in the reference list shall follow alphabetic order of the first author's name; when there are two or more entries by the same author or group of authors these shall be listed in the order of publication date. The name(s) of the author(s), the publication date and, where appropriate, the specific page number, shall serve as citations in the text (name(s)/date citations)."

NOTE — As follows from the additions to the examples of ISO 5966 the publication date of the cited document shall appear in any case immediately after the name of the author, regardless whether it is repeated at the end of the individual entry or not.



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