



University of
Massachusetts
Dartmouth

Requirements for Theses and Dissertations

**Requirements for the Preparation of Master's
Theses and Doctoral Dissertations for the
University of Massachusetts Dartmouth**

**Revised
Fall 2003**

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Chapter 1

INTRODUCTION

As a requirement in a student's graduate education at the University of Massachusetts Dartmouth, a thesis or dissertation serves the primary purpose of training the student in the processes of scholarly research and writing under the direction of members of the graduate faculty. After the student has graduated and the thesis or dissertation is published (in the sense of being made available to interested readers either as a bound volume or in microform), it serves additional purposes. It makes a contribution to knowledge and as such is useful to other scholars and perhaps a more general audience as well. Because it bears the university's name, it represents the instructional and research functions of the institution to the outside world.

In keeping with such considerations, the Office of Graduate Studies, the university library, and the faculty of the University of Massachusetts Dartmouth—like those of most other universities—have established format standards that a thesis or dissertation must meet before it receives final approval as a graduate requirement.

1. 1 An Overview of Requirements

Some thesis or dissertation requirements are purely technical; thus, specifications for paper, print, and margins are based on considerations of durability, legibility, and binding processes. Other requirements, such as those for the title page and the signatory page, have been established to ensure that this important information is presented in an orderly, uniform manner. A number of specifications simply reflect generally accepted conventions of writing, especially scholarly writing, that have developed as aids to communication between author and reader.

The requirements in this manual apply to all UMass Dartmouth theses or dissertations. They are, however, designed to allow maximum flexibility in matters in which standard practices vary among academic disciplines—for example, in citations of references. Thus, while you will need to comply with the specifications given here, you will also need to consult a specialized manual of scholarly style in your field, or perhaps the style sheet of a leading journal. Your thesis or dissertation advisor should advise you on the conventions for scholarly writing in your field. Appendix A lists specialized manuals for many of the scholarly disciplines.

You will find instances in which a specialized style manual recommends practices that seem to conflict with this manual. If so, the requirements in this manual take precedence. Sometimes you will be allowed choices in regard to matters of style—for example, the system you adopt for capitalization and underlining in headings. Whatever choices you make from acceptable alternatives, be consistent in all matters of form.

Special circumstances will occur that make some theses or dissertations unable to follow some of the stipulations in this manual. Chapter 8 discusses such circumstances and how they are to be approached. Colleges and departments have flexibility in determining such special circumstances, and you should consult the Office of Graduate Studies if these circumstances might modify your thesis or dissertation's compliance with the basic formatting requirements.

It is generally not a good idea to use another thesis or dissertation as a model for yours, because the other work will necessarily be at least one step removed from an authoritative style guide. In addition, manuals and journal style sheets—not to mention this manual—are revised from time to time.

It is expected that a thesis or dissertation will be written in clear, grammatically correct English; that words will be spelled correctly and divided, if at all, according to syllables; and that punctuation will be standard and appropriate.

1. 2 The Role of the Office of Graduate Studies

The Office of Academic Affairs/Graduate Studies is ultimately responsible for certifying that theses and dissertations have been prepared in accordance with the regulations in this manual. After a thesis or dissertation is formally submitted, it is carefully reviewed in the office. At this point it should be close to final form, because both content and format will already have been checked and approved by the faculty, department, and college. The purpose of review by the Office of Graduate Studies is to check final format and the physical preparation, not the content, of the thesis or dissertation. Theses or dissertations found with errors or improper format will be returned for further editing. Sufficient time must be allowed for this process.

You are welcome to call, write, or visit the graduate office with general or specific questions. We believe that format problems which occur in thesis or dissertation writing have solutions within the framework of the stated requirements, and we are happy to help you find these solutions.

1. 3 Responsibility for the Thesis or Dissertation

In writing a thesis or dissertation, you may call upon a number of people for different kinds of assistance. Your thesis or dissertation advisor and committee provide guidance throughout the process as to the content of the thesis or dissertation and the forms and conventions appropriate for your field. You may hire an editor or a typist to assist in the preparation of your work. In all cases, however, the thesis or dissertation author bears ultimate responsibility for meeting departmental, college, and graduate school requirements. Such procedures as paying the thesis or dissertation fee, activating the intent to graduate, meeting deadlines for submission and correction, and obtaining faculty signatures for the signatory page, if not carefully attended to, can present problems.

Key Points: Thesis or Dissertation Requirements

- This manual covers the university's thesis or dissertation format requirements and approvals process.
- You should follow the specific conventions for scholarly writing in your academic field.
- You should follow the general conventions for correct, effective scholarly writing.
- You, the author, bear ultimate responsibility for meeting all requirements.

Chapter 2

SUBMISSION OF THE THESIS OR DISSERTATION

This chapter presents an overview of the procedures for preparing and submitting the thesis or dissertation and of the forms to be submitted and approvals to be sought.

2.1 Four Main Preparation Stages

Although you may compile a number of different versions of the thesis or dissertation in the process of your research and writing, there are four late stages in particular that are of concern in this manual. The terminology used here will appear in the “Steps in the Submission Process and Degree Certification Process”; see 2.2.

Final draft. This version is approaching finished content and should reflect a good attempt at using the required formats. It has been worked on in close consultation with the advisor and may also have involved other members of your committee. Although close to the finished form, it will be subject to further changes, possibly extensive ones, during the “formal submission” stage.

Draft for formal submission. This version is the one submitted to your graduate committee and should use the correct formats. Revisions required either after the committee’s review or from criticisms or suggestions that surface during your thesis or dissertation defense are to be incorporated. When your advisor and committee are satisfied that all of their stipulations have been met, they will sign your signatory page to indicate that the conditions for “formal submission” have been met.

Master copy. This version is the one submitted for approval to the academic officials beyond those on your thesis or dissertation committee: Department Chairperson and/or Coordinator of the Graduate Program (as determined by your college), Dean of the College, and Associate Vice Chancellor for Academic Affairs & Graduate Studies. As stated above, all corrections that you know of, including any specified by the graduate committee, will have been made, but if any revisions are required by the officials who review your work, these will be incorporated (in consultation with your advisor and committee if appropriate) before your master copy is deemed completely prepared. (At each step, the academic officials will sign your signatory page when satisfied that their stipulations, if any, have been met.)

Final or official copies. These are the high-quality photocopies or laser-printer copies, on appropriate paper, of the accepted master version after it has been approved as being in final form by the Office of Graduate Studies. At UMass Dartmouth, two of these copies are bound and placed in the library collection. Additional copies may be required by the college, department, committee, or wanted by the author for personal use.

**Follow carefully the steps in the submission
process described here!**

2. 2 Steps in the Submission Process and Degree Certification Process

1. Review the guide and a style manual for your field; seek any clarification you need.
2. Complete the process to achieve a final draft as defined above. This process encompasses steps 3-6 here.
3. Prepare a signatory page carefully, in final form, and copy the unsigned pages onto thesis or dissertation-quality, rag-content paper (see 3.1) using a high-quality reproduction process. Make two or more copies of this

page—for as many official copies as you will ultimately want—two for the final copies for the library and one each for any copies required by your department or wanted for your own use. Every bound copy should have a signature page with original signatures on thesis or dissertation-quality paper. The type face and margins that you use must be those of the final or official copies. Be very careful about this step; if the signatory page does not meet requirements, you will have to redo it and obtain the signatures all over again!

4. Submit copies to your thesis or dissertation advisor and committee members. Normally, your defense will occur at this step.
5. Make any changes required by the advisor and committee. If you (or your committee) are not sure about some aspects of correct formatting, you may consult the Associate Vice Chancellor for Academic Affairs and Graduate Studies (ext. 8029) at this stage. Such early consultation can save time in preventing the need for extensive later changes.
6. Receive committee approval. Obtain the committee members' signatures in dark ink on all copies of the signatory page.
7. You will now begin the process toward completion of the master copy (steps 8-11 here). Proofread the manuscript carefully and do all other necessary checks.
8. Prepare a copy of the work on regular paper that is cleanly photocopied or legibly printed. Sequentially, submit this copy along with required supporting materials (see the following section of this chapter) to the officials on your signature sheet, starting from the departmental level and on to the dean of your college. At each step, obtain the official's signature on all copies of the signatory page and make any corrections needed.
9. Once the dean of your college has signed, you will begin the process of converting your master copy into final or official copies. Submit the thesis or dissertation to the graduate office—still on regular paper and not the final-form copy. You should drop the copy off for the Associate Vice Chancellor

for Academic Affairs and Graduate Studies to review in the next few days. Bring the signatory pages with you; they should have all signatures on them except that of the Associate Vice Chancellor for Academic Affairs and Graduate Studies.

10. Your copy of the thesis or dissertation will be returned showing any changes needed. If relatively few changes are required, step 11 may also occur at this time. If there are many corrections, you will be asked to resubmit another final draft.
11. This step gives authorization to prepare the actual final or official copies.

The graduate office will give you two things: the signatory pages signed by the Associate Vice Chancellor for Academic Affairs & Graduate Studies, and a memorandum authorizing submission of the final thesis or dissertation for library binding. Make any required final revisions. Now, finally, you will move to the step of making your final pages. Copy or print the final-form thesis or dissertation onto the required grade of paper—as stipulated in subsequent chapters—preparing the pages for the two library copies and for any other copies you are required to make or desire for your own use.
12. Be sure that all pages are present and in order, including the signatory pages, and that there are no printing errors (e.g., spots or lines on the paper). Also be sure that special inserts or photographs, if any, are properly in place in all copies that are to have them and are of high quality.
13. Submit the unbound pages for two final copies to the library (and for any additional copies that you will have bound by the library), accompanied by the library binding memorandum from the graduate office. At this time, as well, sign the “permission to copy” page if you have not done so already. You will pay a thesis or dissertation binding fee that covers the university’s costs in binding the library copies and any other bound copies that you may order. This fee is in addition to the graduation fee that all students pay. Finally, a copy of the approval memorandum, now signed by the library’s representative to verify that the final copies have been accepted, will need to be returned to the graduate office by you or your representative, and that

office will then notify the Registrar of your completion of this degree requirement.

The library's officer may require you to correct inadequate pages or graphics and may refer questionable instances back to the graduate office.

2.3 Forms and Verifications for Degree Completion

Early in your final semester, you should file your Intent to Graduate form in the Office of the Registrar and pay the graduation fee.

In parallel with the process of submitting a thesis or dissertation, you should be sure that your department has initiated the degree certification process. Your department must submit a Certification for Degree form that indicates your completion of all department and college requirements for graduation—courses, examinations, presentations. Your department and then the college dean sign to indicate approval and then forward this form to the graduate office, which coordinates a review and gives final approval.

Your academic record probably shows the grade “IP” (“in progress”) for your thesis or dissertation course work. When your department accepts your work as finished, the department chairperson or your advisor must change the grade on your thesis or dissertation courses to a permanent grade, through a form submitted to the University Registrar. This step should occur after successful completion of the graduate examination and at about the same time as the committee and department signatures are placed on the thesis signatory page.

The graduate office encourages departments not to wait for final thesis or dissertation approval before submitting the degree certification form, but instead to allow the two processes to move in parallel. The department should view the formal signing of your official signature pages by the department chairperson as comprising their approval of the thesis or dissertation, note that approval on the degree certification form, and then send that form forward for final approvals. Once the department and dean have signed your thesis or dissertation pages, the graduate office takes over responsibility to monitor the final approval and the preparation and

submission of final copies for the library. However, some departments will hold the degree certification papers until they receive the copy of your thesis or dissertation (if required) for the departmental archives. As stated before, the student is responsible to know about departmental procedures and requirements for the thesis or dissertation approval process.

2.4 Timing

Keep the following principles in mind: (a) each step is likely to take longer than you think it should take, (b) the closer you are to a final deadline for degree completion, the more of a “traffic jam” there will be because other people’s theses and dissertations will also need review and approval, (c) those responsible for review and approval, at all levels, have both the right and the responsibility to require revisions that are needed, and (d) although everyone should strive to be prompt so that you may meet your goal of a timely completion of all requirements, that goal shall always be of less consequence than the goal of achieving an acceptable, quality work.

At any level, when a thesis or dissertation is found to require major revision and the author must resubmit it in an acceptable form for a new review, it may not be possible for the student to produce a final, approved copy in time for graduation in a particular semester or session.

The date of your completion of all degree requirements, including the final approval of the thesis or dissertation, is the date that will determine the period of the official posting of your graduation, which may be either May/June (dependent which), September, or January. We do not back-date approvals to allow for an earlier posting. If you need documentation that you have met the requirements for the degree before your degree is actually conferred but after all requirements have been met, you may apply to the Office of the University Registrar for a letter of certification. The Registrar's Office will show the title of your thesis or dissertation on your official transcript after all final approvals are obtained.

2.5 Copies in Addition to Those for the Library

You should check with your department for the number of additional copies it or the college requires (if any). This manual has no information in it about such department- or college-level requirements. However, in addition to the final official copies for the library, you will probably need a copy for your departmental library, your advisor, and yourself. Some authors give a copy to each committee member. However, library binding may or may not be required (or desired) for these copies. If appropriate, you may have the additional copies bound elsewhere in a less expensive format.

The following checklist may prove useful.

- Receipt of all departmental and college approvals
- Application for Diploma form filed in the Registrar's Office
- The signatory page, prepared and signed in the process described
- Grade for thesis or dissertation course changed to permanent grade(s)
- Certification for Degree form prepared by your department and sent forward for approvals; arrives in graduate office
- Approval for binding obtained; final copies submitted and fee paid at the library; approval memo returned to graduate office

At this point, the graduate office gives your Certification for Degree and library binding memo forms to the Registrar, to authorize your graduation posting. That concludes the process. Congratulations are in order!

Chapter 3

TECHNICAL REQUIREMENTS: PAPER, PRINT, AND WORD PROCESSING

Key Technical Requirements

Many details of good practice and specific requirements are presented in this chapter. A few, however, should be highlighted.

- The thesis or dissertation is printed on one side of the page, not both sides.
- Text pages may be single- double- or one-and-a-half-spaced, depending on requirements set for your specific program.
- The entire thesis or dissertation will use the same type style (e.g., Ariel, Times) throughout, with very few exceptions.
- A high-quality, professional appearance is essential, with consistent application of all formats.

3.1 Paper

Both library copies of the thesis or dissertation must be submitted on uniform white paper of at least 25% cotton content and 20-pound weight and in the standard 8 1/2 x 11 size. Acceptable paper will have a watermark indicating the cotton (rag) content. Paper meeting these specifications is available in a number of different brands. Many copy centers supply appropriate paper as part of the copying fee. This paper is also available in the Campus Store.

Exceptions are allowed in the quality and weight of paper for these final copies only in the case of photographic plates and “pocket material” (see 6.3).

Do not use the kind of paper sometimes sold as “thesis or dissertation paper” that shows marginal rulings in light, colored ink. “Erasable” paper also must not be used.

You should make certain of your paper supply for the final copies before the first submission of the thesis or dissertation, because the signatory pages required at this time should match the paper to be used for final submission.

Why is rag-content paper needed for the library copies?

It's a matter of preservation. Only rag-content paper holds up well over time. Other papers, with a higher acid content, will darken and become increasingly brittle. One bound, rag-content copy of your thesis or dissertation will be placed in the library's permanent archive and will not be allowed to circulate. The other copy will be shelved for use by the library's patrons.

3.2 Print and Photocopy Quality

The final copy of the thesis or dissertation must be “letter quality,” as produced on a laser printer.

For the final copy, superscripts and subscripts must be typed and equations and symbols must be typed/word processed; a different typeface may be used for such special cases if it is uniform throughout.

Most thesis/dissertation final copies are produced individually by a quality laser printer. If you will submit photocopies, these should be—and must be, for the final submission—clear, uniform, medium-dark copies without spots, lines, smudges, or “shadows,” with print on one side of the paper only. The print must be permanently

fused to the paper. It is a good idea to test this while you are still at the copy shop by rubbing a sample of the print with your finger or an eraser. If the print rubs or flakes off easily, the reproduction is not thesis or dissertation quality. The print quality and darkness of the final copy should match that of the signatory page previously produced.

Inserted illustrations for both copies should be photographs or graphics-quality photo-reproductions (see section 6.3).

3.3 Word Processing

In word processing a thesis or dissertation, the cardinal principle is consistency of format, along with adherence to the specific instructions given within this manual.

If you will be having someone else word process your thesis or dissertation, special considerations need to be taken into account. You should feel free to ask for references or samples of previous work. You should establish in advance the terms of your agreement—the exact work to be done, time frame, rates, schedule for payment, and the like. By clarifying the nature of the work to be done, this process can be advantageous to both parties. Make certain that the typist you hire has a copy of the current version of this manual and the specialized style manual you are following. Remember the rule that no matter who helps you with preparation of your thesis or dissertation, you are the one responsible for all details of its final content, format, and appearance.

3.3.1 Type Size and Style

Use a standard type face of 11 or 12-point size. Point sizes differ depending on the type face and design. (A commonly used type-face, 12-point Times New Roman, illustrated in this sentence, has a particularly small format; your thesis or dissertation should not use a type face smaller than that shown in this sentence.) Use italic (script) print only for foreign words, book and journal titles, and special emphasis.

You may use type of somewhat larger sizes for chapter headings, but do not use sizes larger than 14 point. Do not overdo the use of different type sizes. Boldface type may also be used on the title page and for headings, as well as in the text for special symbols or for emphasis.

You must use a single type face for the entire thesis or dissertation: the front matter, text, references, display pages, and appendix—including page numerals. You may use different type faces only within tables, figures, and appendices. The thesis or dissertation will be more attractive if variation in type styles is minimal; you should seek to have your tables, figures, and appendices use the same type faces as the text unless a good reason prevents it. The same type face must be used for all table numbers and titles and for all figure numbers and titles; however, in both cases this may differ from the text type face.

Reduced type may be used within tables, figures, and appendices, but, in part because of microfilming requirements, it should be at least 9 points in height and must be completely legible. (This is an example of 9 point type.) If you are photocopying an illustration from another source and the copy is not clean and sharp, you will need to paste in typed material for further copying or devise some other method of producing clear print of the specified size.

3. 3. 2 General Formatting Rules

Begin each chapter on a new page. Do the same with each element of the front matter—list of tables, acknowledgments, etc.—the references or bibliography section, and each appendix. Continue the text to the bottom of the page in other cases. Do not type a heading near the bottom of a page unless there is room for at least two lines of text following the heading. Instead, leave a little extra space on that page and begin the heading on the next page.

Text pages may be single- double- or one-and-a-half-spaced, depending on requirements set for your specific program. If double- or one-and-a-half-spacing is used for your text pages, the following may use a closer spacing: items in table of contents or list of figures/tables (within but not between entries), table titles, figure

captions, body of tables, and body of appendices. Legibility will be considered in evaluating the final version for approval of library submission. Many programs will determine a specific choice, such as double-space, that all thesis or dissertation writers must use; others may allow the student to make the choice. We will attempt to maintain a web posting that indicates each program's choices.

We strongly suggest that you **not** divide words at the ends of lines, except in cases where not doing so would produce an extraordinarily short line. The presence of many hyphen-divided words significantly reduces legibility. Carefully check all end-of-line word divisions with a dictionary. We will return incorrect word divisions for correction.

We strongly suggest that you **not** use right justification—the process used in printed books that makes both the left and the right-hand margins even. Even with contemporary word processing software, this usually results in distracting gaps or other unevenness in spacing. A somewhat ragged effect along the right-hand margin, as in the present publication, is preferable to excessive or incorrect end-of-line hyphenation and to the spacing irregularities within lines caused by “right justification.” If, in our judgment, a thesis or dissertation's right-justification distracts legibility, we will return it for correction.

3. 3. 3 Margins

A margin is a blank space surrounding the text and extending to the paper's edges, in which nothing appears, not even page numerals.

The left margin of all pages must be at least 1 1/2 inches. This applies to all pages—tables, figures, and appendices as well as text. (The extra wide left margin allows for sewing the sheets; it will not look excessive when the copies are bound.) The other three sides should have a margin of 1 inch. Page numbers also must be on or within these margins. In typing the title page and headings, center lines on the typed page, not the paper, allowing for the extra half-inch of margin on the left.

3. 3. 4 Pagination

Page numeration is indicated with lower-case roman numerals (iii, iv, etc.) for the front matter and a sequence of Arabic numerals (1, 2, etc.) continuing through the text, bibliography/references, and any appendices. More detail on page numeration for the items of the front matter is given in Chapter 5. The preferred style for placement of page numbers, is “On front matter pages and the first page of each chapter or section, the page number will be placed in the center of the text at the bottom of the page, with the bottom of the number resting on the one-inch margin. On all other pages, the page number will be placed at the top of the page, one inch from the right side, so the bottom of the number rests on the top one-inch margin.”*

Other page number placements are possible, such as all occurring centered at page bottom on the margin line, as long as the format is used consistently throughout.

Do not type a number on the title page or signatory page. Page numbers must be in a consistent location and be within the page margins.

Just show the page numeral itself. Never embellish page numbers with punctuation such as dashes or periods or the typed symbol “p.” or the word “page.”

* Miller, Joan I, and Bruce J. Taylor, The Thesis Writer’s Handbook (West Linn, Oregon: Alcove Publishing Company, 1989), 62.

Chapter 4

THE TEXT OF THE THESIS OR DISSERTATION

A thesis or dissertation typically has three major parts: the front matter, the text or body, and the back matter. The text or body of the thesis or dissertation is the subject of this chapter.

4. 1 Organization and Headings

Because a thesis or dissertation is a relatively long and complex piece of writing, it is important to organize it logically and to make its structure clear to the reader. Thus the body of the thesis or dissertation is usually divided into chapters and provided with introductory and concluding sections, which can be designated as chapters.

The chapters of the thesis or dissertation have titles indicating their content. You will probably also use subheadings within the chapters to indicate the orderly progression of topics and their relation to each other. In any case, you should decide on an appropriate system of headings and apply it consistently throughout the work, including front and back matter.

The headings system used in this manual is an example of a suitable heading scheme. You should select the most appropriate schemes both for the particular demands of your subject and the conventions used in your academic field. Whatever system you choose, follow it exactly and consistently. All chapter headings must be typed in the same way, as well as all first-level subheadings, and so on. It is not necessary to subdivide each chapter to the same degree; you might have first- through third-level headings in one chapter but only first- and second-level headings in another. Also, keep in mind the principle that a unit cannot be divided into a single

part: “you can’t have an A without a B.” If you have, say, only one second-level heading under a given first-level heading, you should incorporate it into the first level, or, if subdivision is really called for, create another second-level heading to accompany the first one.

4.2 Documentation of Sources in the Text

Source citations are required in the text whenever you use a direct quotation, reproduce a diagram or illustration prepared by another person, paraphrase another author’s words, or include specific information that is not common knowledge and is not the result of your own research reported in the thesis or dissertation. All University of Massachusetts Dartmouth theses and dissertations will be held to this standard. Refer to the *Graduate Catalogue* statement on Academic Ethical Standards.

Systems of source citation fall generally into three categories, one of which you will use: (1) parenthetical author-date-page documentation; (2) footnotes or endnotes; (3) citation by number, keyed to a numbered reference list. The first and second of these are illustrated briefly below, the third in more detail. The system you select should be that preferred or required for scholarly writers in your academic field, and there may be departmental and college-level standards that you are expected to follow. You should use one particular system throughout the work.

Consult the style manual used specifically by writers in your field. Appendix A lists common manuals for some of the fields. Whichever style of documentation you use, the references in the text must correspond exactly to the listing of sources at the end of the thesis or dissertation. You should make certain that all items cited are included in the bibliography or reference list, that authors’ names are spelled consistently, and that the dates are the same in both text and list.

4. 2. 1 Author-Date-Page Citations

The author-date-page system indicates, in parentheses at the end of a statement, the author's last name, year of publication, and pertinent page number(s). Those citations correspond to a bibliography/reference section at the end; it is arranged alphabetically by author, so that a reader can easily locate the complete source.

The report claims, "The 'placebo effect' . . . disappeared when behaviors were studied in this manner" (Smith 1982, p. 276), but more recent research calls this result into question.

Bransford and Johnson propose an approach that "focuses on the relation between new information and the general knowledge available to the subject" (2001, pp. 45-46).

CAUTION: Punctuate parenthetical citations correctly in your text!

Study the examples just above for the correct placement of the period and the quotation marks.

In the running text of your writing, the parenthetical matter is not a part of the quotation but it is a part of the sentence. Therefore, the period to end the sentence (or some other mark of punctuation to continue it) does not appear until after the parentheses of the citation. The quotation marks are at the end of the quotation, and no period is shown there.

However, when block quotations are used, the parenthesis is viewed as not being part of your sentence. In that case, the terminal punctuation is shown at the end of the block quotation and the parenthesis follows after two spaces and has no period after it. With block quotations, quotation marks are not used.

Your thesis or dissertation will be returned for correction if parenthetical citations are punctuated incorrectly.

Accepted practices for the author-date-page type of documentation vary in regard to punctuation and how to handle variations such as more than one author, works written by the same author(s) in the same year, and multiple sources cited together. Use the particular style for your academic field.

4. 2. 2 Numbered Reference System

A form of the numbered reference system is used in many science and technical fields. Follow the specific style manual for your field or utilize an approved model; be sure you consult your faculty advisor on this matter.

In this system, numbers enclosed within parentheses or brackets or typed as superscripts correspond to a numbered bibliography or reference list at the end of the text.

The list is numbered by order of citation, and it must be precisely in that order. That is, the numbers in the text begin with 1 and continue consecutively throughout. The numerical sequence used in the text varies from sequential order only when the same item is cited more than once; in that case the number is the same as for its first citation. For example, if you cite the second reference again after the fifth, the sequence of citation numbers would be 1, 2, 3, 4, 5, 2. The next new source would be numbered 6. If more than one reference is cited at the same given point in the text, put the different numbers together separated by commas, as illustrated at the end of this sentence, like this [21, 22, 23]—or this.^{21, 22, 23}

Parenthetical or bracketed numbers should be placed before periods, commas, and the like in the text, but they follow quotation marks. Superscripts follow all punctuation marks except dashes.

The numbered reference system is most often used in scientific or technical fields where new research publication takes the form of short journal articles. For this reason it is usually not necessary to cite specific page numbers. When they are needed, however, they can easily be included in the parentheses or brackets: [32, pp. 27-28] or [32: 27-28].

4. 2. 3 Notes (Foot- or End-) System

Footnote or endnote systems are less and less used. This system uses superscript numbers in the text to indicate notes that may be placed at the bottom of the page, the end of each chapter, or the end of the complete text but preceding the bibliography—which uses alphabetical order. The superscript numbers should appear one-half space above the line, not flush with the line, and not be placed within parentheses. They may be shown in a one-point reduced type size.

4. 2. 4 Notes Used in Combination With a Parenthetical System

Parenthetical systems are suited to citing references, not to making comments. It is, however, possible to indicate very brief notes about a citation. The following will illustrate this practice:

As the report claims, “The ‘placebo effect’ . . . disappeared when behaviors were studied in this manner” (Smith 1982, p. 276; see also Jones 1995).

Bransford and Johnson propose an approach that “focuses on the relation between new information and the general knowledge available to the subject” (1972, pp. 45-46; but also note Garcia 1991, p. 61).

Place longer comments of this sort in the text, not within the citation parenthesis:

Bransford and Johnson propose an approach that “focuses on the relation between input information and the general knowledge available to the subject” (1972, pp. 45-46); however, Carlos Garcia finds this proposal untenable (1991, p. 61).

If a comment is desired but would distract significantly from the flow of the text, a footnote at page bottom or an end note can be used in combination with one of the parenthetical systems; in a numbered reference system, the indicator in the text would be a mark such as an asterisk to distinguish it from a reference citation.

Chapter 5

FRONT AND BACK MATTER

This chapter stipulates the UMass Dartmouth thesis or dissertation format and thus supersedes stipulations in other guides.

Front matter items always appear in the order shown here

Title page	page i*
Permission-to-copy page	not numbered
Signatory page	page ii*
Abstract	page iii (or iii-iv)
Dedication or note of indebtedness (optional)	next page number
Table of contents	next page number(s)
List of figures or illustrations (if any)	next page number(s)
List of tables (if any)	next page number(s)
Preface (optional)	next page number(s)

*Numeral never actually shown on the page

5. 1 Front Matter

The front matter of the thesis or dissertation includes certain items, some mandatory and others optional. Each is explained in detail in this chapter, and samples of many are given in Appendix B.

Other special items (e.g., a list of maps or slides, or a glossary) may also be included as needed in an appropriate place after the table of contents. However, an “Introduction” (as distinguished from a Preface) to your thesis or dissertation is part of the text, not the front matter, regardless of whether it is listed as chapter 1 or precedes chapter 1, opens the text or body of the work and it begins as page 1.

5. 1. 1 Title Page

The title page is the first page of the front matter. The required format is illustrated in Appendix B, which should be consulted as you read this section.

The upper margin on the title page should be at least 1 1/2 inches, with the lower margin about the same—in other words, center the material vertically. Use appropriate vertical space between the individual items on the page so as to produce an attractive format within these specifications. Center all lines horizontally on the typed page, remembering that the left margin for the entire thesis or dissertation is 1/2 inch wider than the right margin.

If the title occupies more than one line, double-space between lines. Word your title carefully so as to convey as precisely as possible the content of the work, and include terms that would be useful for purposes of information retrieval. Avoid excessive length, however, and unwieldy piling up of phrases. Express formulas, symbols, and abbreviations in words if possible, even if the “shorthand” forms are conventional in your field and are used throughout the work itself.

Check with your department for the correct title of your graduate program.

Use your legal name as it appears on your records in the Registrar’s Office. If you have changed your name in any way, have the records corrected before you submit your thesis or dissertation.

If you include a copyright line, you may begin it with either the word “Copyright” or the copyright symbol ©. Do not include this line without a thorough understanding of what it means; see Chapter 7. You should also consider whether you wish to register your copyright.

Designate correctly, and spell out, the degree you will be receiving; for example:

Master of Arts (not Masters)
Master of Fine Art (not MFA)
Master of Science
Master of Art Education

Indicate the month and year of degree conferral (not of the defense or when you submit your thesis or dissertation); do not indicate a day. Degrees are conferred in May/June (dependent which), September, or January.

The title page “counts” as page “i” in your front matter, but that page numeral is never shown on the page.

5. 1. 2 Permission-to-Copy Page

A statement granting the University the right to make single copies of the thesis or dissertation appears following the title page. This occupies a separate page, but it is not included in the pagination system for the thesis or dissertation (and no page numeral will be shown). Type this page as shown in Appendix B and sign it in dark ink for the library submission. The form of your name, both as signed and as typed below the signature line, must be exactly the same as that used on the title page.

In signing the permission statement you are not relinquishing any rights as author, but making it legally possible for the university to produce a photocopy if the circulating copy is ever lost.

5. 1. 3 Signatory Page

When you submit your thesis or dissertation, you must include a signatory page bearing the original signature (in dark blue or black ink) of all who are required to approve your thesis or dissertation.

Which signatures are required? Signatures are shown for the following: each thesis or dissertation committee member including the thesis or dissertation advisor; Department Chairperson or Graduate Program Director (see next sentence for clarification); the dean of your college; and the Associate Vice Chancellor for Academic Affairs and Graduate Studies. The thesis or dissertation advisor's name should head the list. You must include the name of the department chairperson (if your graduate program resides within a single department) or, in the instance of college-wide programs which cut across two or more departments (Nursing, the MAT, and Artisanry, Fine Arts or Design), instead you must list the college representative for graduate programs.

The following is the official policy:

". . . the candidate will prepare two sets of signatory pages that show the signatures of at least the following: the thesis or dissertation committee members, the department chairperson—or, in the instance of college-wide programs, the college representative for graduate programs (as determined by the dean)—the Dean of the College, and the Associate Vice Chancellor for Academic Affairs and Graduate Studies."

Type the page as shown in Appendix B. Space the signatories' names proportionally on the page, and include for each, in single-spaced list form, the professional title and then other pertinent designations as indicated. Be sure that all signatories are identified by their correct professorial titles. However, do not use such designations as "Ph.D." or "Dr." with the names.

Your name in the approval line at the top must match exactly your name on the title page. If one of the signatories has a dual role (e.g., thesis or dissertation advisor and head of the department), give only one signature blank and list both roles under the professorial title. The final name is that of the Associate Vice Chancellor for Academic Affairs and Graduate Studies (currently Richard J. Panofsky).

Be sure to prepare one of these for each copy of the thesis or dissertation that you will make (two minimum). A photocopy of a signed signatory page will not be accepted for either library copy.

Each signatory should fill in the date as well as sign. Proxy signatures are not allowed. In cases of great difficulty regarding availability of a signatory, the department, dean of the college, and graduate office will confer to find an appropriate resolution.

The signatory page follows the permission-to-copy page. It is always page ii, though the number does not appear on it.

5. 1. 4 Abstract

The thesis or dissertation must contain an abstract—a concise summary of the thesis or dissertation intended to inform a prospective reader about its content. It usually includes a brief description of the problem investigated, the procedures or methods used, the findings, and the conclusions. It may use one or a few paragraphs; however, it is very rare that an abstract should use more than two pages, and many use just one page. Like the text, it must be double spaced.

The approved abstract format shows the title of the thesis or dissertation and the author's name, as shown in the model in Appendix B. In this way, a photocopy of one's abstract is a self-contained unit. An abstract does not include internal headings nor should it contain parenthetical citations of items listed in the bibliography or reference section. Diagrams or other illustrations should be avoided; for technical fields, key formula(s) may appear.

The abstract follows the signatory page and has the heading "Abstract" (typed in the same style used for all section headings). It begins on page iii, though the number may or may not appear on the page depending on the system you are using throughout for chapter and section heading pages. If the abstract has a second page, it is numbered iv.

5. 1. 5 Dedication or Note of Indebtedness (optional)

Short statements of dedication or acknowledgments of indebtedness (e.g., thanks to one's thesis or dissertation advisor, to other professors, to people who have given support) may appear on a separate page right after the abstract. The page may have an appropriate heading in the style used for headings (e.g., "DEDICATION"), or such heading may be absent.

This page is different from the also optional "Preface" and "Acknowledgments" (see 5.1.8 and 5.1.9): the page described here is used for short statements or pure-and-simple dedications, such as "The author expresses many thanks to . . ." or "Dedicated to my parents, who"

This page will be numbered appropriately for following right after the abstract; whether that page numeral shows depends on the style you are using.

5. 1. 6 Table of Contents

The table of contents is essentially a topic outline of the thesis or dissertation. It is compiled by listing the headings in the thesis or dissertation down to whichever level you choose. Keep in mind that there is no index in a thesis or dissertation, and thus a fairly detailed table of contents can serve as a useful guide for the reader.

Type the heading "Contents" or "Table of Contents" at the top of the page, using the style you have selected for chapter headings throughout the work. The table of contents lists all the items that follow it including front matter and then continues to list divisions through the text and all items of the back matter (except the optional vita). It never lists itself or items preceding it.

Various conventions are possible. One way a table of contents can be done is shown in Appendix B, and the front of this publication shows another.

From the text, list all chapter headings and other major divisions. Be sure that the headings as listed in the table of contents match the headings in the text. In listing

appendices, indicate the title of each appendix as well as its number (e.g., “Appendix B: Human Subjects Approval”).

Line your page numerals up properly; with a word processor, use a “decimal tab” or right-justified tab. If you choose a style that uses “dot leaders,” use them consistently.

Line up columns of words or numbers properly

Pay special attention to correct tabulation of the page number references that appear in the table of contents, lists of tables and figures, and tables themselves. Columns of numbers are properly lined up with a right-justified tab. Examples are shown here:

Words are left-justified	But numbers are <u>right-justified</u>	These are incorrect !
Philosophy	8	8
Phrenology	9	9
Poetry	10	10
Prestidigitation	11	11

Use tabs! Never attempt to use the space-bar to line up your columns; spacing from the printer seldom reproduces what the screen visualizes.

5. 1. 7 List of Figures and List of Tables (if any)

Include a list of figures (or illustrations) and a list of tables if you have one or more items in these categories. Use a separate page for each list even if both would fit on the same page. Either list may precede the other. See Chapter 6 for explanations of the proper usage of the terms “figure,” “table,” and “illustration.”

Type the heading—for example, “Tables” or “List of Tables”—in the format that matches your chapter titles. List the number, caption (title), and page number of every figure and table in the body of the thesis or dissertation. You must also list any figures and tables in the appendix if they have individual numbers and captions. List captions exactly as they appear in the text if they are relatively brief. If they are long, you should stop when you reach the first period (or other logical stopping spot) in the caption. Your practice must be consistent and you should list the captions word for word and letter for letter up to the stopping point. Capitalize as in the text.

Individual entries in the list can be single-spaced. Double spacing must be used between entries.

As discussed in Chapter 6, oversized or unusual graphic or illustrative matter may appear at the end of the thesis or dissertation rather than in the text or an appendix. Some theses include plastic sheets in the back to hold photographic slides. For such material, a special List of Slides is given, as explained in section 6.4.

Format Note: You should use a style that is customary for your academic field. But the styles used for the contents and figures/tables lists must be consistent with each other and with other sections of your thesis or dissertation.

5. 1. 8 Preface (optional)

Most theses or dissertations will not have a Preface, which is called for only for unusual reasons, e.g., when the genesis of the work needs to be explained or when the author’s contribution to a multiple-authored work must be noted. If there is a preface, however, it would incorporate any acknowledgments (see next section) instead of those appearing as a separate section.

5. 1. 9 Acknowledgments (optional)

An acknowledgments section is required if the author has received permission to use previously copyrighted material or is obliged to acknowledge grant sources. This section is not present in most theses or dissertations. If included, it is used to express a very specific professional or personal indebtedness. For example, significant instances of collaboration with one or more others in one's thesis or dissertation work would probably need acknowledgment in a Preface or in this Acknowledgments section—for example, research undertaken together with another student or use of much material from some other investigator (but not the customary collaborations that exist in the mentoring/supervisory role between a faculty thesis or dissertation advisor and the student). The heading is typed the same as other items in the front matter.

Preface and Acknowledgments sections are rarely used

The first chapter (sometimes called “Introduction”) in the text section is the appropriate place for explanations of the context or the motivations that underlie the research, the research problem, the background of previous scholarship, notable contributions by other scholars, and so forth. Use a “Preface” and “Acknowledgments” section only for special purposes beyond such purposes as these; examples of such a special purpose are covered in sections 7.4 and 8.5.

The acknowledgments should be written in a professional manner. When writing the acknowledgments, be sure that your use of “person” is consistent. If you begin with references to yourself as “the author,” continue to use third person throughout. If you begin with first person (“I,” “me,” “my”), use first person consistently. There are two accepted spellings of the word “acknowledgments” (the other is “acknowledgements”); be sure to spell this word consistently.

5. 1. 10 Epigraph or Frontispiece (optional)

Some authors include a quotation (epigraph) or illustration (frontispiece) as the last of their preliminary pages. Neither should be listed in the table of contents, although a frontispiece may be included in the list of illustrations. The source of an epigraph is indicated below the quotation but is not listed in the bibliography or references unless it is also cited in the text. A page number need not be shown, but the page is counted in the sequential page numbering.

5. 2 Back Matter

The back matter contains one required element (bibliography) and may include other elements, as well, such as appendices and/or vita. Page numbering of back matter pages is done in Arabic numerals and follows on from the sequence of numbers on the text pages.

Appendices may either precede or follow the bibliography. Presuming that you will have both, which will you place first, appendix(ices) or bibliography? One circumstance answers this question easily: if any sources are cited in an appendix that would therefore show up in your bibliography, the bibliography goes after the appendix(ices). Otherwise, use your judgment or follow a departmental standard.

The back matter contains . . .

- Bibliography or references (required)
- Appendix or appendices (optional—may precede bibliography)
- Your résumé or vita (optional)

5. 2. 1 Appendix or Appendices

Material that is considered important but tangential (samples of a survey used, special documents, a full computer program, an extra analysis or subsidiary

findings), or that is very detailed (“raw” research data, quoted material too long for the text, procedural explanations), may be placed into an appendix or appendices.

If there is one only, it is called “Appendix” (not “Appendix A”). If there are more than one, each is identified separately as “Appendix A,” “Appendix B,” and so forth. The titles of each appendix are listed in the table of contents. Each appendix begins with an appropriate heading that is similar to that used for chapter or section headings throughout, with the addition of the “appendix” label:

Appendix
TITLE OF THE APPENDIX

or, if more than one,

Appendix A [B, C, etc.]
TITLE OF EACH APPENDIX

Each appendix begins on a new page. Sometimes an appendix consists entirely of documentary material that itself fills a page or pages, so that there is no room at the top for the required heading. In such cases, a separate, initial “display page” is inserted (and given its own page number) that serves like a title page for the appendix material that follows. The page number of this “display page” is the one that is listed in the table of contents.

In general, margin and print-size requirements are the same as for the rest of the thesis or dissertation. Variations may be acceptable, however, if required by the nature of the material. Oversize items may be included as pocket material (see section 6.2). Headings and page numerals should be in the same type face as is used throughout. When feasible, appendix contents should use a matching type face and the customary double spacing. But there are instances when the nature of the material makes such retyping inappropriate or unrealistic: one would include in original form a sample of a survey questionnaire; computer print-outs of results; many kinds of diagrammatical or tabular material; indeed, anything that by its format and appearance exemplifies or contains some of the information that is to be understood.

When reproduced material has its own page numerals or headings from a source that you are using, these must be carefully removed and replaced by the page numerals and any headings or titles for your own thesis or dissertation. These materials should fall in the same positions you are using throughout and not be in the margins. And be sure you are not violating provisions of copyright law in reproducing such material (See Chapter 7).

5. 2. 2 Bibliography or References

A thesis or dissertation must include a bibliography or reference section listing all works which are referred to in the text, and in some cases also other works consulted in the course of research and writing. This section may either precede or follow the appendices (see 5.2). At the discretion of the committee, references may be listed at the end of each chapter. Usually, however, a single section is more convenient and useful for both author and reader.

The forms used for listing sources in the bibliography/reference section are detailed and complicated and vary considerably among academic disciplines, as previously discussed in 4.2. Again, refer to a style manual for your particular field.

The heading—usually “Bibliography” or “References”—is typed like the chapter and section headings used throughout the thesis or dissertation. A bibliography sometimes has subsections called “Primary Sources” and “Secondary Sources”; a references section may be divided into “Works Cited” and “Other Works Consulted.” Other terms may be used as appropriate. However, if the author-date-page system of citation is used in the text, or if the sources are assigned numbers, the list of sources must not be separated into different types of publications.

If sources are cited by number in the text, the bibliography/reference list is numbered; otherwise, it should not be numbered. Sources must be listed alphabetically in the bibliography/reference section when a parenthetical author-date-page format or a system of notes (footnotes or endnotes) is used for documentation in the text.

5. 2. 3 Vita (Optional)

A vita or professional résumé is optional in UMass Dartmouth theses or dissertations. The vita is the last page of the thesis or dissertation, but it does not have a page number and is not listed in the table of contents. It may be headed “Vita,” “Résumé,” or “Curriculum Vitae.” A vita, usually contains such information as the following:

Name

Place and date of college graduations, with degrees and majors

Employment record (professional or career positions)

Scholarly publications or creative work or shows

Membership in professional organizations and honorary societies

It may use type face and format conventions different from those of your thesis or dissertation proper.

Trivia note: “Vita” and “Curriculum Vitae” are Latin: “The life” and “The course of a life.” The first of these is in the Latin nominative case, thus ending in *a*. In the second the word *vitae* is in the genitive or possessive case, meaning “of a life,” thus ending in *ae*. In modern usage, the simpler “Vita” or “Résumé” have come to be preferred to “Curriculum Vitae.”

Chapter 6

TABLES AND FIGURES

6. 1 General Specifications

A table is a columnar arrangement of information, often numbers, organized to save space and convey relationships at a glance. You may need to consult a style manual in your field as an aid in preparing tabular material.

A figure is a graphic illustration, such as a chart, graph, diagram, map, photograph, or plate. Strictly, the word “figure” includes the word “illustration,” so that those theses and dissertations that combine various forms of graphics would list all of them together in a single “list of figures.” On the other hand, some theses—notably, those in the visual arts—use illustrations but not other kinds of figures; it is appropriate to identify the list of these as a “list of illustrations,” with the individual items still headed “Figure 1,” “Figure 2,” and so forth.

You may have figures professionally prepared, or you may draft them yourself if the final product is of high quality, and you may use transfer materials, lettering guides, or very careful hand lettering when typing. Today, usually, word processing or a specialized computer program will serve your needs. Color is allowed in tables or graphs, but to the extent possible, please organize the colors and labeling so that one can read the graphic in a black and white photocopy. If you choose to use color in graphics, the library copies of those pages must both be printed in color.

The following points give the standards required for this University:

Each table and each figure in the text will have a number and caption (title and, if appropriate, brief explanatory information). Tables and figures must be numbered in

separate sequences according to the order of their appearance in the thesis or dissertation (consecutively throughout beginning with 1). A decimal system by chapters is an alternative: the first table in chapter 2, for example, would be Table 2.1, the second Table 2.2.

Position the labeling for tables and figures correctly

Type table numbers and captions at least two lines above the table. Type figure numbers and captions at least two lines below the figure.

The margins required for pages with figures and tables are the same as for the rest of the thesis or dissertation. (See 6.2 for methods of handling oversize material). Page numbers should appear in the same position as on other pages—although rotated pages can have page numerals rotated as well.

Tables, figures, and illustrations should be included only if mentioned in the text and functional for the work as a whole. They are to be referred to in the text by number (not by a phrase such as “the following table”) and in the same form that the title/caption uses: “This result is shown in Figure 2” or “. . . research findings (see Fig. 2)”—depending if “Figure 2” or “Fig. 2” is the style being used. Place a table or figure near or soon after the first mention of it in the text. (Some format systems place all tables or figures at the end of the text of the work; these would still be mentioned in the text wherever the reader is to refer to them.)

A small table or figure may appear on the same page with text surrounding it, but a table or figure that is half a page or more in length must be placed on a separate page. A table or figure must appear complete on one page, if it will fit. See section 6.2.2, for how to handle ones that are too long for a page. Some authors (or their advisors) will prefer to label each graphic illustration or figure not on the page itself but on a “display page” preceding it, as discussed in 6.2.3. You may adopt this style throughout your work.

If an illustration, figure, or table is taken from another source, indicate the source, either using the documentation system of your thesis or dissertation or in a note at the bottom beginning “Source: . . . “ If a figure or table is photocopied from its source, the same standards of type size and legibility apply as for the work in general. The number and caption (if any) are deleted from the original, and a new number and caption are added in the same typeface used for other figures or tables.

6.2 Oversized Materials

If you have difficulty fitting a large table, illustration, or figure within the margins, consult the following options and select the method—or combination of methods—that is most effective, or easiest and least costly.

1. Place the table or figure sideways on the page, rotating it 90 degrees counterclockwise from its normal position. Place the table or figure number and caption sideways also so that all parts can be conveniently read together. You may place the page number in the rotated position as well. In the binding of rotated pages, be sure that the bottom of the sideways figure points outward rather than in toward the binding.
2. You may continue the table or figure on succeeding pages. Type “(cont. on next page)” (without the quotation marks) at the bottom right of a figure or table to be continued. In the case of a table, the following page should have the heading “Table 4 (cont.)” (substitute the appropriate number; spell out the word “continued” if you like). If a figure is carried over to another page or pages, the complete caption should appear at the bottom of the first page. The next page then reads, at the bottom, “Figure 3.4 (cont.)” (for example). Any column headings should be repeated on the new page.
3. You may use the entire area within the margins for the table or figure but place the number and caption on a separate “display page” preceding the table or figure. In the list of tables or illustrations, refer to the page number of this inserted “display page” to identify this item. Type the number and caption so that they will read in the same direction as the table or figure; e.g., if you place the figure sideways, type the number and caption sideways. You should not

use the reverse side of the page; those are always blank in UMass Dartmouth theses and dissertations.

4. You may photo-reduce the body of the table or figure to fit within the margins, leaving room for a caption on that page or using a “display page” as above. But do not reduce the table/figure number and caption or the page numeral.
5. You may place oversized material on a foldout page. The left edge of the foldout page should be even with the other pages of the thesis or dissertation. Folds on the right must be at least 1 inch from the right edge of other thesis or dissertation pages (to avoid damage to the foldout when pages are trimmed for binding), and those on the left should be at least 1 1/2 inches in from the left side (so as not to be caught in the sewing).
6. You may place folded oversized items in a pocket. When the thesis or dissertation is bound, the material will be placed in a pocket attached to the inside back cover of the thesis or dissertation. If the material is an appendix, list it in the table of contents; if it is a table or figure, list it as such in the front matter. Use the designation “in pocket” in place of the page number in the table of contents or list of figures or tables. For a related aspect, see “Slides or a CD of the Author’s Work,” 6.4.

6.3 Photographs and Reproductions of Images

Photographic illustrations to be used in a thesis or dissertation—color or black and white—must be either original photographs or high-quality reproductions. Do not use unprocessed photocopies made from a photograph. List and caption the photographs as figures unless you wish to have a separate list of illustrations, photographs, or plates.

Today, photographic images for theses or dissertations can be adequately presented by using a high-quality color printer. Alternatively, the author may prepare those pages with high-quality color photocopier. A professional copy center should have the equipment needed. Copies made using these high-quality processes can be cut to size and then mounted (see next paragraph) onto sheets of

thesis or dissertation paper upon which you have printed the page numeral, caption, and any other text. Alternatively, you can prepare a white sheet with the page numeral, caption, and other text, position your photograph on it, and then produce a high-quality color photocopied image of that whole page, for binding with the thesis or dissertation pages. Thesis or dissertation preparers have found that the rag-content paper does not hold a good high-quality color photocopied image. You may therefore use any appropriate quality paper that the copy shop provides—usually, it will have a shinier finish than the rag paper.

You may use actual photographic prints. If you dry-mount photographs, be sure that they are permanently attached to the page. Use dry-mounting tissue (applied with a warm iron), adhesive sheets, or spray adhesive. Do not use tape, rubber cement, or adhesive corners. If an entire 8 1/2 by 11 sheet of photographic stock is to be bound in, use as thin a stock as is available.

Prepare these quality-image pages for both library copies and for any other formal copies of your thesis or dissertation.

Copyright law is stringent regarding copyrighted images. Chapter 7 discusses this matter.

6. 4 Slides or a CD of the Author's Work

If photographic slides of your work are to be incorporated in the library copies of your thesis or dissertation (as occurs for many theses in the visual arts), they are inserted in one or more plastic slide-holder sheets that are bound into the work against the rear cover. Each slide is to be labeled appropriately, according to specifications from your department. We have found that the standard slide-sheet is somewhat larger than the 8 1/2 x 11 size of a sheet of paper, and will not fit conveniently in the binding; therefore the innermost column of slide pockets should not be used. In planning for the number of slides that can be accommodated, therefore, one must not count on using that first column of slide pockets; the standard sheet thus will hold only 15 slides, not 20. Each slide should be hand labeled and numbered so it can key into the list of slides included in your thesis or dissertation.

Material such as a CD or folded map will be handled similarly, using a pocket in the back. A videotape, being thick, might use a separate box, properly labeled; however, CDs, easily prepared, are preferred. You should consult both the Office of Graduate Studies and the library before making your final plans when unusual material will be included.

You should indicate in the thesis or dissertation itself that this material is present, handling the matter similarly to how “pocket material” is handled (see section 6.2.6). For example, in the front matter, list “Slides of the Author’s Work” at the end of your List of Illustrations, with the designation “inside rear cover” in place of a page number; or, in the absence of illustrations, place a List of Slides in its place, annotated as being located inside the back cover. The List of Slides would show numbered items listing names and other data for each item, corresponding to the labels on the slides themselves.

Both library copies should have a set of identical slides, graphics, CDs, and so on.

Chapter 7

COPYRIGHT and AUTHORSHIP

Copyright is a complex and evolving field. References may be consulted, such as Chapter 12 of The Thesis Writer's Handbook (listed in Appendix A). University Microfilms International (see 7.7 and Chapter 11) offers various flyers that give good information.

7. 1 Copyright for your Work

Copyright is legal protection of intellectual property—in this case your thesis or dissertation. This protection, in accordance with the U.S. Copyright Act of 1976, exists automatically as soon as a work is created. It is up to you to decide if you wish to maintain or register your copyright; the University of Massachusetts Dartmouth has no requirement that you do either.

Your copyright gives you the exclusive right to print, reprint, copy, and sell your work and to prepare derivative works based on the copyrighted work. It protects an author against anyone's infringement of these rights. There are, however, limitations on your exclusive right:

1. Others may excerpt portions of your thesis or dissertation for scholarly work or research without obtaining your permission, provided the borrowing follows the principles of "fair use".

Fair use, according to Section 107 of the 1976 Copyright Act, is defined as follows:

The fair use of a copyrighted work, including such use by reproduction in copies or phonorecords or by any other means specified [in Sec. 106] for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. In a fair use the factors to be considered shall include:

- (1) the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational uses;
- (2) the nature of the copyrighted work;
- (3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
- (4) the effect of the use upon the potential market for or value of the copyrighted work." (The Thesis Writer's Handbook; see Appendix A)

Of course, they must credit you as the source. Any borrowing beyond this "fair use" can be done only with your permission.

2. The University of Massachusetts Dartmouth has the right to make single copies of the thesis or dissertation for nonprofit purposes, e.g., to maintain the library collection.

In order to assert your copyright, you may insert a copyright notice on the thesis or dissertation title page, according to the model title page shown in Appendix B and instructions in Chapter 5. In this case, the Copyright Office of the Library of Congress has the right to require you to submit deposit-copies of your thesis or dissertation. However, you would need to do so only in the event of a demand from that office for the copies.

If you include a copyright notice, you may also choose to register your copyright. Registration is a legal formality that makes a public record of your copyright. It is not a requirement for protection, but it can be helpful if you should become involved in a copyright lawsuit. If you can foresee taking someone to court for using your work unlawfully—for example, if you have developed a separately marketable item such as a testing scale or computer program—you may want to complete this procedure. Be certain that you have included a copyright notice on the title page of the thesis or dissertation if you plan to register your copyright.

7.2 Use of Materials Copyrighted by Others

You do not need permission to use works in the public domain, that is, works on which a copyright never existed and those on which the copyright has expired; however, you must properly acknowledge such works.

If you use copyrighted works, you must not only acknowledge the source, but unless such use falls within the doctrine of “fair use,” you may not include the material without the written permission of the copyright holder.

Permission should be gained in all cases in which your borrowing exceeds fair use. In addition, each such use should be listed in your source citations, with a full listing in your bibliography and a note or parenthetical citation at the appropriate point in the text.

You are exceeding “fair use” if you quote extensively from a source or borrow an entire creation such as a photograph, a cartoon, or a testing scale. If you include photographs of copyrighted whole works (e.g., art plates from a book), you have exceeded “fair use” and so must secure permission to reproduce them. Your letter of permission should accompany the submission of your thesis or dissertation to your committee, and you should keep a copy of the permission as a protection.

7.3 Special Copyright Problems for Art Theses

We are aware that adherence to the strict regulations will present difficulties for thesis writers in the arts. Musical excerpts present no problem, being handled similarly to quotations from verbal texts (a standard is that the excerpt must not be longer than 10% of the whole or comprise in itself a performable whole unit). Reproduction of whole works of art (e.g., art plates from a book, as noted in 7.2) is not permissible if the thesis is seen as a form of publication. The inclusion of bound thesis copies in a library collection may not be seen as constituting publication, however. Clearly, judgment and discretion are called for. When permission can be sought easily, and if the reproduced work is that of a currently practicing artist, the effort should be made.

Special problems can occur if the art thesis is “published” through University Microfilms International (see Chapter 11). University Microfilms International permits one to include copyrighted illustrations without securing permission if one also sends a letter to them identifying the copyrighted material and requesting that it not be microfilmed; the microfilm copies will thus be incomplete.

You are responsible if you violate copyright law; the University will not be held liable.

7.4 Translations by the Author of Material Used

Material that you translate is still the intellectual property of the author. It must be documented fully (its original-language source cited properly and included in the bibliography). An appropriate note indicates by whom it has been translated, by you or someone else. If a thesis or dissertation will have extensive use of such material, this might be an occasion for an explanation in a Preface. Usually, translators of published works will be indicated in the standard documentation of your notes and/or bibliography.

7. 5 Work Published by the Thesis or Dissertation Author

Work by the author which is published prior to thesis or dissertation submission may be accepted as (or as part of) the thesis or dissertation, provided that the committee approves the work and that the published material was written specifically to fulfill graduate degree requirements. In no case may work used for a previous degree be submitted. If you submit previously published work that is under copyright and you are not the copyright holder, a letter of permission from the copyright holder must accompany the submission of the thesis or dissertation.

7. 6 Classified or Patentable Material

You may not restrict public access to your thesis or dissertation. Therefore, do not use in your work any information that is restricted or cannot be disseminated to the public world. One of the primary intentions of the work is to communicate the results of the authors' research to the scholarly community. Work in detail with your committee for an appropriate procedure if your research involves proprietary material.

7. 7 Listing and Publication through University Microfilms International (UMI)

UMass Dartmouth does not require listing or publication of master's theses with UMI. If you wish to list or publish your master's thesis, see Chapter 11.

UMass Dartmouth does require UMI listing of dissertations, as explained in Chapter 11.

7. 8 Internet Dissemination

Some UMass Dartmouth graduate students have made their work available over the internet. This is a matter of individual choice. However, you are cautioned that the thesis or dissertation must be presented in the same form as the library copies, if it is identified as representing the UMass Dartmouth thesis or dissertation which was a requirement for the master's or doctoral degree.

Chapter 8

OTHER REQUIREMENTS AND SPECIAL CASES

8. 1 Use of Human Subjects in Research

The university has a comprehensive policy on the Protection of Human Subjects, as required by responsible, ethical practice and federal law. Students as well as faculty whose research involves human subjects should become familiar with the university's policy and receive appropriate, required approvals from their department, college, or the university's Institutional Review Board for the Protection of Human Subjects (IRB). One may obtain information on the process, forms and instructions at http://www.old.umassd.edu/org/Grants_contracts/FundingGuides/Policies/Policies.html or by calling the Office of Grants and Contracts, 508 999-8953.

If your thesis or dissertation research is conducted under IRB permission, that should be mentioned in acknowledgments and the permission document can be included as an Appendix.

8. 2 Thesis or Dissertation in a Foreign Language

With the recommendation of the student's college dean, department/program, and committee, and approval of the graduate office, a thesis or dissertation may be written in a foreign language, but only if that language is integral to the content and purposes of the thesis or dissertation - for example, written in Portuguese for a thesis or dissertation about the literature of the Portuguese world. English translations of the title page and the abstract are required. These translations should

be placed before the corresponding pages in the foreign language. They are not numbered or counted in the pagination of the thesis or dissertation.

Use of a language other than English will never be approved if the motivation is difficulties in using English. Receipt of a graduate degree from UMass Dartmouth implies competence in English, which is therefore required.

8.3 Original Works

In some programs, thesis or dissertation requirements may be satisfied by an original work of a fictional, poetic, rhetorical, editorial, or report nature. In such a case, the term “Original Work”—or another, appropriate term—should be substituted for “Thesis or Dissertation” on the title and signatory pages. The Abstract would explain the fact of the work rather than seek to summarize it—for example, if the thesis or dissertation presents a work of fiction, the Abstract would indicate that it is a fictional work and describe its type or form.

8.4 Special Considerations for Some Arts Theses

Special circumstances will occur that make some work unable to follow some of the stipulations in this manual. At this university this occurs principally in some—but by no means all—of the theses prepared in the visual arts. An example would be a thesis or dissertation topic in typographical design for which the author wishes the layout and physical construction of the thesis or dissertation itself to exemplify the design principles being presented. A thesis or dissertation in printmaking might use printmaking techniques for some pages. In such cases as these, the college will be the principal arbiter of what is acceptable, with approval from the graduate office and the library if there are issues of binding or permanency.

8.5 Collaborative Work That Will Appear in a Thesis or Dissertation

A thesis or dissertation must represent work done principally if not entirely by the author. When there are minor instances of research collaboration, an appropriate

citation may be used. If extensive, however, the committee must approve it in detail and an explanation in a Preface or Acknowledgments section is called for (see sections 5.1.8 and 5.1.9).

Once or twice recently two graduate students at UMass Dartmouth have considered submitting fully collaborative work in one joint thesis or dissertation. Although such a project has not yet been carried to completion, it is not, as a concept, prohibited. Both the dean of the college and the Office of Graduate Studies would be consulted and would have to approve.

8. 6 Format for Journal/Book Publication; Thesis or Dissertation Presentation of an Actual Publication

Some authors (or departments) will wish to use for the thesis or dissertation a format consistent with preparation for journal or book publication. This can be accomplished within the requirements of this manual, with some adjustments. The front matter pages would still appear as stipulated without running heads or other unapproved features. The main body of the thesis or dissertation can use a for-publication format within a reasonable interpretation of the stipulations of this manual for legible and attractive presentation. Including a thesis or dissertation in the library itself is an act of publication, to be distinguished from preparation of copy that is easy for publishers, editors, or typesetters to handle.

A work that actually has been published could possibly be presented as a thesis or dissertation. This can only occur if the published article was prepared specifically to meet the thesis or dissertation requirement for the degree; see section 7.5. A quality copy of this material would be copied onto thesis or dissertation paper, accompanied, as above, by front matter and other standard pages.

Students and faculty should discuss particular cases with their college dean and are advised to consult the Office of Graduate Studies about format.

Chapter 9

FORMAT FOR MFA THESES IN ARTISANRY, FINE ARTS, OR DESIGN

MFA theses use a somewhat different format and process for approvals than do other theses.

9. 1 Annotated Table of Contents

Which sections of the *Requirements for Theses and Dissertations* apply? That question is answered through the following shortened and annotated Table of Contents:

Chapter 1: INTRODUCTION —*applies*

Chapter 2: SUBMISSION OF THE THESIS OR DISSERTATION —*applies, except for a shortened signature process*

Chapter 3: TECHNICAL REQUIREMENTS: PAPER, PRINT, AND WORD PROCESSING —*applies*

Chapter 4: THE TEXT OF THE THESIS OR DISSERTATION — *follow as applicable*

Chapter 5: FRONT AND BACK MATTER— *do NOT follow all of Chapter 5; implement the modifications that are explained in the present chapter*

Chapter 6: TABLES AND FIGURES —*applies as appropriate.*

Chapter 7: COPYRIGHT AND AUTHORSHIP —*applies*

Chapter 8: OTHER REQUIREMENTS AND SPECIAL CASES —*not applicable*

Chapter 9: FORMAT FOR MFA THESES IN ARTISANRY, FINE ARTS, OR DESIGN
–applies

Chapter 10: GRADUATE PROJECTS/CAPSTONES TREATED LIKE THESES —
not applicable

Chapter 11: REQUIREMENTS FOR A DISSERTATION – *not applicable*

Chapter 12: SOME COMMON TYPING AND FORMAT PROBLEMS:
A FINAL CHECKLIST — *generally applicable*

Appendix A: REFERENCE WORKS FOR THESIS OR DISSERTATION
PREPARATION — *use as needed or desired*

Appendix B: SAMPLE PAGES— *use the special sample pages in this chapter that
modify the Title Page and Signatory Page*

9.2 Overview of the Modified Process and Requirements for MFA Theses

The material in the text or body of MFA theses tends to be somewhat shorter and less formally structured than in other theses. For this reason, MFA thesis authors may choose not to use an organization with chapters and subheadings and therefore do not need a Table of Contents. Similarly, lists of tables or figures are probably not required.

In addition, a shorter list of individuals will approve the final MFA thesis. It is approved by the committee itself and then submitted to the Office of Graduate Studies, receiving there a signature permitting library submission. This modification to the customary approvals is facilitated by the fact that MFA students take a course that assists them with proper thesis preparation, and their thesis committees hold them to rigorous expectations for final preparation. For this reason, the review by the Office of Graduate Studies is almost always rapid, and rarely results in the need for any corrections.

9.3 Approval Process for MFA Theses

Follow Chapter 2 for the general procedure regarding final revisions and the matters related to declaring intention to graduate. As suggested in Chapter 2, see the Graduate Program Director to be sure that degree certification papers are in order, and see your thesis advisor to have a final grade submitted for your thesis. Be sure your signatory pages are prepared on required paper stock. Be sure the correct date of degree conferral is shown on the thesis title page; consult the graduate office if there is any doubt about what is correct.

It is the responsibility of your thesis advisor and thesis committee to approve both the contents and the final form and format of your thesis; therefore, the approval process is shortened for Artisanry/Fine Arts/Design theses. Signatures of the graduate program director and dean of the college are not obtained.

Thesis submission is therefore modified, as follows:

- [] prepare drafts and make corrections as specified by your thesis advisor and committee; receive their approval to prepare final version;
- [] obtain signatures of thesis advisor and committee members on the official signatory pages;
- [] when you are sure everything is correct with the text, prepare final pages on required thesis-quality paper. Prepare two complete theses for the library, with the additional copy/ies required for your department or for your own use;
- [] prepare your slides, and be sure they too have been approved by your thesis advisor and committee;
- [] bring the prepared pages, slides*, and signatory pages to the Office of Graduate Studies for signature. If the Associate Vice Chancellor for Academic Affairs & Graduate Studies is available when you arrive, he/she will sign the signatory pages and provide the library binding memo. However, if he/she is not available, you should leave your thesis with a member of his/her staff and you will be contacted when the signatures are obtained; and

- [] take the thesis, slides, and approval memo to the library, along with the fee payment; once the library sign-off is obtained, return the approval memo to the graduate office.

* It is not required that the slides be ready when the signatory pages are signed, but they must be prepared when the thesis is submitted to the library.

9. 4 Checklist of Items in the Modified Thesis

- [] Title page — *required*
- [] Permission to copy page — *required*
- [] Signatory page — *required*
- [] Abstract — *required*
- [] Other front matter pages — *optional; use as appropriate*
- [] Text of the thesis. Follow page format instructions for length, content, style as approved by thesis advisor and committee.
- [] Bibliography, Appendices — *optional; use as appropriate*
- [] Vita or Résumé — see 5. 2. 3 — *optional*
- [] Slides (in plastic slide-holder sheets, with list of slides — see 6.4) or CD — *required*

9. 5 Sample Pages

The following sample pages have two purposes:

- 1) to reflect what is different from the standard thesis requirements; and
- 2) to use an exact standard, so modified MFA theses will be consistent and professional in format.

Please follow the format and contents as shown. For the required Permission-to-Copy and Abstract pages as well as the optional items, follow the usual instructions.

For order and page numeration use the following chart, a modification of that on page 24 of this manual.

MFA thesis front matter items always appear in the order shown here

Title page (required)	page i*
Permission-to-copy page (required)	not numbered
Signatory page (required)	page ii*
Abstract (required)	page iii (or iii-iv)
Dedication or note of indebtedness (optional)	next page number
Table of contents (optional)	next page number(s)
List of figures or illustrations (optional)	next page number(s)

*Numeral never actually shown on the page

[Sample title page for MFA theses]

University of Massachusetts Dartmouth

College of Visual and Performing Arts

BLACK HOLES AND GREEN VALLEYS:

VISUAL EXPRESSIONS OF THE

LIFE OF THE EARLY UNIVERSE

A Thesis in

Artisanry

by

May B. Credible

Submitted in Partial Fulfillment of the

Requirements for the Degree of

Master of Fine Arts

May 2003

[Sample signatory page for MFA theses]

We approve the thesis of May B. Credible:

Date of Signature

I. C. Starr
Professor of Visual Design
Thesis Advisor

Elizabeth B. Yond-Gazer
Assistant Professor of Fine Arts
Thesis Committee

Luke Skywalker
Associate Professor of Visual Design
Thesis Committee

Thesis approved for deposit in University of Massachusetts Dartmouth Library:

Richard J. Panofsky
Associate Vice Chancellor for Academic Affairs and Graduate Studies

Chapter 10

GRADUATE CAPSTONES/PROJECTS TREATED LIKE THESES

Some master's programs require students to write a thesis, while others offer a project or capstone option. This chapter concerns master's programs at UMass Dartmouth that have decided to treat their capstone or project similar to a thesis as regards final preparation, approvals, and library submission.

Currently, the MS in Nursing is the only program to do this, although others are considering it. Current information is available from your Graduate Program Director.

For the MS in Nursing, the capstone is initiated in a formal written proposal, prepared under direction of a committee, and given an oral defense. Approval of the capstone is indicated in a modified version of the thesis/dissertation signatory page.

At this time, specific instructions may be obtained from the MS in Nursing program representatives. Further details will be provided in the next edition of this manual.

Chapter 11

REQUIREMENTS FOR A DISSERTATION

Doctoral dissertations are to be prepared just as are master's theses, using the stipulations of this manual and also following the points covered in this chapter.

11. 1 Changes to the Wording of Front Matter Pages

Title Page: the title page uses the word "Dissertation" in place of the word "Thesis" (approximate middle of the page), and the correct text is "Submitted in Partial Fulfillment of the Requirements for the Degree of Doctor of Philosophy" just above the date at the page bottom.

Signatory Page: the correct text at the top of the signatory page is "We approve the dissertation of..." The first names will be labeled as "Dissertation Advisor" and "Dissertation Committee."

A sample dissertation Title Page and Signatory Page are inserted following this page.

University of Massachusetts Dartmouth

Department of Astronomy

BLACK HOLES AND GREEN VALLEYS:
ECOLOGICAL APPROACHES TO THE FIRST MINUTE IN THE
LIFE OF THE UNIVERSE

A Dissertation in

Astronomy

by

Mehitabel L. Archie

Submitted in Partial Fulfillment of the
Requirements for the Degree of
Doctor of Philosophy

May 2003

We approve the dissertation of Mehitabel L. Archie

Date of Signature

I. C. Starr
Professor of Astronomy
Dissertation Advisor

Elizabeth Ohm Watt
Associate Professor of Electrical and Computer Engineering
Dissertation Committee

Luke Skywalker
Assistant Professor of Astronomy
Dissertation Committee

Allison L. Alembic
Graduate Program Director, Department of Astronomy

B. G. Dipper
Chairperson, Department of Astronomy

Farhad Azadivar
Dean, College of Engineering

Richard J. Panofsky

Associate Vice Chancellor for Academic Affairs and Graduate Studies
11. 2 Listing with UMI Dissertation Services

UMass Dartmouth requires each PhD candidate to list the dissertation in UMI Dissertation Abstracts International (a service of ProQuest Information and Learning). Virtually all accredited institutions in North America that award doctoral degrees submit their dissertations to ProQuest Information and Learning for publication or listing in DAI. The listings provide: Bibliographic citations that include title, author name, degree-granting university, year awarded, number of pages, and ProQuest Information and Learning order number; name of the dissertation adviser, committee chair, etc.; and 350-word abstracts, written by the authors.

Doctoral students must complete agreement forms for UMI Dissertation Abstracts submission as one step in the final dissertation approval process in the Office of Graduate Studies. UMass Dartmouth reserves the right to withhold official transcripts and/or diploma until this submission is verified. One may also publish one's dissertation through the UMI program.

Authors of master's theses may wish to list or publish with UMI but are not required to do so.

UMI contact information:

300 North Zeeb Road
PO Box 1346
Ann Arbor, MI 48106-1346
U.S.A.

Phone: 734.761.4700
Toll Free: 800.521.0600
Email: info@il.proquest.com
Homepage: <http://www.umi.com/>

To learn about the process of preparing a dissertation (or thesis) for UMI listing or publication, see "Information for Thesis and Dissertation Authors" at <http://www.umi.com/hp/Support/DServices/prepare/>

That page contains links as follows:

Hints on writing a thesis or dissertation

<http://www.umi.com/hp/Support/DServices/prepare/hints.htm>

Copyright questions? Some answers

<http://www.umi.com/hp/Support/DServices/prepare/copyrigh.htm>

Publishing Packets and Forms--Free How-To Instructions

<http://www.umi.com/hp/Support/DServices/prepare/packets.htm>

Submitting your dissertation or master's thesis in electronic form

<http://www.umi.com/hp/Support/DServices/prepare/submit.htm>

11. 3 Academic Policies for Doctoral Dissertations

The current *Graduate Catalogue* gives degree requirements for doctoral level study at UMass Dartmouth. It also specifies requirements for the dissertation committee, proposal and defense as well as explains procedures and policies.

11. 4 Professional Standards

As presentations of original contributions to scholarship in their field, dissertations must meet especially high standards for accuracy, professional appearance, and format and style.

Chapter 12

SOME COMMON TYPING AND FORMAT PROBLEMS: A FINAL CHECKLIST

The graduate office will check for these problems (among others) and will require corrections of errors found.

Insufficient margins. The left margin must be at least one and a half inches; the others, at least one inch. A margin is a blank space around the text going out to the edge of the paper, in which nothing may appear, not even page numerals (see next item).

Page numerals that fall outside the margins. Arrange your pages so that the page numerals are not in the margin. When your page numerals are at the page's top, show the page numeral one-inch down and at or just within the right-hand margin, and then begin the first line of text one double-space below that. The same principle follows for page numerals at page bottom: place the last line of text one double-space above the margin, so the page numeral can fall at or just above the margin line. Format your page number "header" or "footer" carefully, paying attention to position on the page (within margins), consistent type size and style, and appropriate distance from text.

Page numerals that are not in sequence. We advise you to learn your word processor's method of automatic pagination. If your work was more than one file, be sure you set the page number sequencing correctly.

Page numbers listed on the table of contents, list of figures, or list of tables that do not match the text's actual page numbering. Additions or deletions to the text will shift where pages start and end. Because of this, unless your word processor uses

automatic pagination of the tables, prepare the pages that list page numbers after the text is entirely prepared.

More than one type style used. All textual pages, front-matter and back-matter pages, page numerals, and headings must use the same type style. All pages in the front (from title page until the start of the text) and the back pages such as those for bibliography and appendixes must use the same type style as the text.

Inadequate checking for spelling errors. (Be especially sure you have spelled and typed correctly all names on the signatory page!)

Inconsistent typographical format in chapter and section/subsection headings. Consistency includes type size, capital/small letters; underlining/italic/plain type; spacing with regard to the text; and placement on the page. All chapters and any appendixes should use the same formatting system.

Columns of words or numbers that are not lined up properly. Pay special attention to correct tabulation of the page number references that appear in the table of contents and lists of tables and figures (see 5.1.6). The same principle holds for information presented in tables: columns of words are lined up with a left-justified tab, while columns of numbers are properly lined up with a right-justified tab or decimal tab. Headings should have the same justification as the material in the columns below the headings. Correct examples are shown here:

Left-justified	Right-justified	Decimal tab
Philosophy	8	31.10
Phrenology	9	900.00
Poetry	10	2.80
Prestidigitation	11	69.85

Learn the proper use of these different kinds of tabs. Never attempt to use the space-bar to line up your columns in word processing; spacing from the printer seldom reproduces exactly what the screen visualizes.

Inconsistent cross-references. Section and chapter headings as shown in the table of contents, and names of figures and tables on the list of figures and list of tables, should match the actual headings and names in the body of the paper. (The only exception is that quite long entries may be appropriately shortened in the table of contents or the lists, as explained in Chapter 5). Similarly, references in the text such as “see Fig. 3” should match what they are pointing to; for example, this citation is correct for “Fig. 3” but doubly incorrect for “Figure iii.”

Inadequate rereading for errors and inconsistencies in text and both front and back matter. Read through one more time; perhaps have an acquaintance read as well. In addition, check by pretending to use the thesis the way you might use an actual publication: look up some chapters from the table of contents, and some figures or tables from the lists of figures and tables, to see that their titles are correct and that page numbers are indicated correctly; while reading the text, look up some of the citations in your bibliography or footnotes/endnotes to see that names are exact and numbers and dates match; follow some of your cross references to see that they indicate what they should correctly; and so forth. These are some of the checks that the graduate office will perform!

And the biggest “error” of all . . .

Preparing the final copies prematurely.

All the way from final drafts and committee/college approvals through to the reading by the graduate office, changes will be required. Do not waste a lot of time in extensive formatting before your text is close to final form. Above all, do not print it on the thesis paper before all approvals have been given. If you prepare final copies too soon, you’ll most likely just throw away the expensive paper and waste the printing and photocopying.

Appendix A

REFERENCE WORKS FOR THESIS OR DISSERTATION PREPARATION

The works listed below are among those most frequently consulted—along with a good dictionary—as guides in thesis or dissertation writing. The *Chicago Manual of Style* is the most comprehensive guide, widely regarded as the authoritative general style reference for books and journals. It is not authoritative, however, about the specific style and format conventions used by scholarly writers in individual academic fields, reference works for some are listed below in section A.2.

Note: We are working to update the items in this appendix.

A. 1 General Manuals

Campbell, William, Stephen Giles, Vaughan Ballou, and Carole Slade. *Form and Style: Theses, Reports, Term Papers*. 8th ed. Boston: Houghton Mifflin, 1990.

Chicago Manual of Style. 14th ed. Chicago: University of Chicago Press, 1993.

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. 6th ed. Chicago: University of Chicago Press, 1990.

United States Government Printing Office Style Manual. Washington, D.C.: Government Printing Office, 1984.

Miller, Joan I. and Bruce J. Taylor. *The Thesis Writer's Handbook*. West Linn, Oregon: Alcove Publishing Company, 1989.

A. 2 Specialized Manuals

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Style Manual. 4th revised ed. New York: American Institute of Physics, 1992.

A. 3 Handbooks of Grammar, Usage, and Writing Style

Ebbitt, Wilma R., and David R. Ebbitt. *Index to English*. 8th ed. Glenview, I.L.: Scott, Foresman, 1990.

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Fowler, H. W. *A Dictionary of Modern English Usage*. 2nd revised ed., rev. by Sir Ernest Gowers. Oxford: Oxford University Press, 1987.

Strunk, William, Jr., and E. B. White. *The Elements of Style*. 3rd ed. New York: Macmillan, 1979.

Appendix B

SAMPLE PAGES

This appendix shows what might be called “format-sample pages” followed, in some cases, by an actual example. At the same time as exemplifying the format, the examples provide information or explanations. Items of variable content, such as “[Author’s name],” are shown in brackets. For this reason, the initial pages do not have exactly the look of actual thesis or dissertation pages, although they do show the margins, spacing, and other features that each page will need to have. The pages are shown slightly reduced from actual page size, with the page edges drawn around.

Following most “format-sample” pages are examples of an actual, but hypothetical page to give you a more visually exact model.

B. 1 Title Page

University of Massachusetts Dartmouth

Graduate Program, Department, or College

THESIS TITLE GOES HERE:

IF THE TITLE IS LONG, DIVIDE IT ACCORDING TO SENSE

AND DOUBLE-SPACE IT

A [Thesis or Dissertation] in

Graduate Major

by

[Author's full name: first, middle, last]

Copyright 2003 by [Author's Full Name]*

Submitted in Partial Fulfillment of the

Requirements for the Degree of

[Name of Degree]

[Month, Year of Conferral]

*Optional

University of Massachusetts Dartmouth

Department of Astronomy

BLACK HOLES AND GREEN VALLEYS:
ECOLOGICAL APPROACHES TO THE FIRST MINUTE IN THE
LIFE OF THE UNIVERSE

A Thesis in

Astronomy

by

Mehitabel L. Archie

Submitted in Partial Fulfillment of the
Requirements for the Degree of

Master of Science

May 2003

B. 2 Permission-To-Copy Page

I grant the University of Massachusetts Dartmouth the non-exclusive right to use the work for the purpose of making single copies of the work available to the public on a not-for-profit basis if the University's circulating copy is lost or destroyed.

[Author's Name as on Title Page]*

Date _____

*Typed name here, without the brackets. Author signs name on the line above, and writes in the date. Note absence of a page numeral.

I grant the University of Massachusetts Dartmouth the non-exclusive right to use the work for the purpose of making single copies of the work available to the public on a not-for-profit basis if the University's circulating copy is lost or destroyed.

Mehitabel L. Archie

Date _____

B. 3 Signatory Page

We approve the [thesis or dissertation] of [Author's name]

Date of signature

 [Name of Professor]*
 [Academic Title]*
 [Thesis or Dissertation]* Advisor

 [Name of Professor]*
 [Academic Title]*
 [Thesis or Dissertation] Committee

 [Name of Professor]*
 [Academic Title]*
 [Thesis or Dissertation] Committee

 [Name of Professor]*
 [Academic Title]*
 [Graduate Program Director, Department of [—————]]*

 [Name of Professor]*
 [Chairperson, Department of [—————]]*

 [Name of Dean of College]*
 Dean, College of [—————]*

 Richard J. Panofsky
 Associate Vice Chancellor for Academic Affairs and Graduate Studies

*Insert the appropriate information, without the brackets. Professors/officials sign names above the line and write in the date (month, day, and year) when signed. See Chapter 11 for the correct wording for doctoral dissertations.

We approve the thesis of Mehitabel L. Archie

Date of Signature

I. C. Starr
Professor of Astronomy
Thesis Advisor

Elizabeth Ohm Watt
Associate Professor of Electrical and Computer Engineering
Thesis Committee

Luke Skywalker
Assistant Professor of Astronomy
Thesis Committee

Allison L. Alembic
Graduate Program Director, Department of Astronomy

B. G. Dipper
Chairperson, Department of Astronomy

Farhad Azadivar
Dean, College of Engineering

Richard J. Panofsky
Associate Vice Chancellor for Academic Affairs and Graduate Studies

B. 4 Abstract

ABSTRACT

[TITLE OF THE THESIS OR DISSERTATION, SAME AS ON TITLE PAGE:
IF LONGER THAN ONE LINE, DIVIDE APPROPRIATELY]*

by [Author's full name]*

The text of the abstract must be double-spaced as is the text or body of the work. Use the same paragraphing style as is used throughout the thesis or dissertation.

If your abstract has more than one paragraph, simply paragraph it (as shown here). If it is long enough to extend over onto a second page, just go on over to a second one, and arrange that page the way you would any second or successive page of a chapter or section. Instructions for placement of page numerals are given in Chapters 3 and 5.

*Insert the appropriate information, without the brackets.

ABSTRACT

Black Holes and Green Valleys: Ecological Approaches to the First Minute in the Life of the Universe

by Mehitabel L. Archie

Recent important theoretical work in physics, by such noted researchers and thinkers as Stephen Hawking, has drawn attention to the physics of the early universe. Recent experiments have duplicated conditions of the first few minutes of the life of the universe. However, no students of the subject have yet attempted a direct contact with the early universe, through the medium of time travel. This thesis has undertaken that difficult task, with results that are summarized in a concluding chapter.

The editor of this manual has, of course, invented this thesis topic from his own imagination. The purpose is only to illustrate the approved format of an abstract.

B. 5 Table of Contents

TABLE OF CONTENTS	
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LIST OF TABLES	vi
INTRODUCTION	1
CHAPTER I: TITLE OF FIRST CHAPTER	5
First First-Level Subheading	6
First Second-Level Subheading	9
Second Second-Level Subheading	14
Second First-Level Subheading—Long Headings Can	
Run Over Onto a Second Line if Needed	20
Third First-Level Subheading	26
First Second-Level Subheading	28
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CHAPTER II: TITLE OF CHAPTER	46
<u>[continue as necessary]</u>	
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APPENDIX B: TITLE OF APPENDIX B	78
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Second First-Level Subheading	81
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This shows a format using double-spacing throughout and no “dot-leaders.” The various levels are exemplified in just one possible set of instances. This manual’s table of contents itself shows an alternative format, using a decimal heading scheme, with “dot-leaders.”

A FINAL NOTE

You may feel overwhelmed . . . especially if you have now arrived at this note after your first reading of this manual! We may seem to have gone out of our way to make the process seem difficult and the details seem multitudinous.

One prepares a thesis or dissertation as one does other complex projects, one step at a time. As you proceed, the obstacles will slowly lessen and you will make more and more progress. You should approach the writing and preparation in fairly distinct phases, concentrating earlier on the content, next on the style, and only as you near completion of the writing on the intricacies of formatting, preparing front and back matter, and arranging for final-form printing.

Remember that many others have managed to survive this process with few or no permanent scars. And remember, too, that your thesis or dissertation advisor, department, college, and the Office of Graduate Studies staff will help with special problems that may arise as you attempt to follow the principles and standards in this manual.

Best Wishes!

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