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

<table>
<thead>
<tr>
<th>Item</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title page</td>
<td>i*</td>
</tr>
<tr>
<td>Permission-to-copy page</td>
<td>not numbered</td>
</tr>
<tr>
<td>Signatory page</td>
<td>ii*</td>
</tr>
<tr>
<td>Abstract</td>
<td>iii (or iii-iv)</td>
</tr>
<tr>
<td>Dedication or note of indebtedness (optional)</td>
<td>next page number</td>
</tr>
<tr>
<td>Table of contents</td>
<td>next page number(s)</td>
</tr>
<tr>
<td>List of figures or illustrations (if any)</td>
<td>next page number(s)</td>
</tr>
<tr>
<td>List of tables (if any)</td>
<td>next page number(s)</td>
</tr>
<tr>
<td>Preface (optional)</td>
<td>next page number(s)</td>
</tr>
</tbody>
</table>

*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.
The following signatures are required: the thesis advisor and the Associate Vice Chancellor for Graduate Studies. The thesis advisor's name should head the list. 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.

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### 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:

<table>
<thead>
<tr>
<th>Words are</th>
<th>But numbers are</th>
<th>These are</th>
</tr>
</thead>
<tbody>
<tr>
<td>left-justified</td>
<td>right-justified</td>
<td>incorrect !</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Philosophy</th>
<th>8</th>
<th>8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phrenology</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td>Poetry</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>Prestidigitation</td>
<td>11</td>
<td>11</td>
</tr>
</tbody>
</table>

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

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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.

<table>
<thead>
<tr>
<th>The back matter contains . . .</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Bibliography or references (required)</td>
</tr>
<tr>
<td>• Appendix or appendices (optional—may precede bibliography)</td>
</tr>
<tr>
<td>• Your résumé or vita (optional)</td>
</tr>
</tbody>
</table>

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.”