UNIVERSITY OF MASSACHUSETTS LOWELL

THESIS AND DISSERTATION GUIDE

A web version of this guide is available at http://www.uml.edu/admin/registrar/forms.html

Revised Spring 2008
Approved by GPAC, April 2008
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Introduction

This guide outlines the required thesis/dissertation format, technical specifications, and submission procedure to be followed by master’s and doctoral candidates at the University of Massachusetts Lowell. If the author of a thesis or dissertation has a question regarding a point not covered in this guide, he or she should confer with his or her thesis/dissertation advisor, as the query may be one common to students in that discipline.

The main intent of this document is to ensure that the University of Massachusetts Lowell theses and dissertations are presented in a conventional form, following universally accepted standards for academic papers, and that they are written in a manner which will provide maximum utility to readers who may use them in their research. This guide does not deal with detailed information on how to research or write a dissertation or thesis.

Thesis/Dissertation Submission Check List

1. Make certain that **ALL MARGINS**, including those for figures and tables, are a minimum of 1 ½” on the **LEFT** and 1” on the **OTHER THREE SIDES**. The first page of a new chapter should begin 2” from the top. The goal in spacing should be to make the page layout pleasing to the eye, without crowding the text onto the page. More white space makes reading easier.

2. **Plan enough time to make revisions to your thesis/dissertation after your oral defense. Do not assume that you will be able to submit the thesis/dissertation immediately afterward.**

Once the thesis/dissertation has been successfully defended, you must submit the following to the Registrar’s Office, Dugan Hall, UML South:

   a. One clean COPY, **do not use original**, of the signature page only, dated and with signatures of the thesis/dissertation advisor and all committee members. *The original signature page is needed for the archival bound copy, and*

   b. Signed and completed Graduation Clearance Form.

   c. In addition, doctoral students must also submit a completed “Survey of Earned Doctorates” at the time of graduation clearance. The form is available at the Registrar’s Office, Dugan Hall, UML South.

**The signature page, dated and signed by all committee members, must be turned into the Registrar’s Office on or before the “last day to submit clearance forms” in the Graduate Academic Calendar. You will not be eligible to graduate unless the Registrar’s Office receives this page which verifies that you have successfully defended your thesis/dissertation**

3. The binding and publishing of all theses and dissertations is currently done through Lydon Library, UML North. Office hours are Monday through Friday, 8:30 a.m. to 4:00 p.m.

   After your oral defense and final corrections, call (978) 934-5905 to arrange a time to bring a completed and signed copy of the UMI Thesis/Dissertation Agreement Form (The form is available at the Registrar’s Office, Dugan Hall, UML South) and one copy of your thesis/dissertation to the North Campus Library for binding and publishing. This copy will be given to your department. At this time, you may bring any additional copies that you wish to have bound for your own use.

   The binding fee is $15.00. There is also a required publishing fee of $55.00 for a master’s thesis and $65.00 for a doctoral dissertation. Students may order additional bound copies at $15.00 each. These fees are payable to the UML Library Trust Fund and may be paid by check, money order, or exact change. Students may register their copyrights on their theses/dissertations for $55.00, payable to ProQuest by check or money order. It is not mandatory to register copyright. Students retain their copyright without registering, however, should a student’s copyright be infringed upon, only copyright holders who have had their copyrights registered would be eligible for statutory damages and attorney fees. Unregistered copyrights only allow for actual damages and not attorney fees. These costs are subject to change (Charges listed are as of 1/24/12).
### Summary of Thesis/Dissertation Charges and Number of Copies

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<thead>
<tr>
<th>ITEM</th>
<th>COST</th>
<th>REQUIRED/OPTIONAL</th>
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<td>Required by the Registrar’s Office in order to graduate</td>
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<td>Complete Copies of Thesis/Dissertation printed on regular printer paper</td>
<td>$\text{--------}^2$</td>
<td>One Required</td>
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<tr>
<td>Complete Copies of Thesis/Dissertation printed on archival bond paper</td>
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<td>Thesis/Dissertation Abstract</td>
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<td>One Extra Required</td>
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<td>Required Agreement Form</td>
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<td>Publishing Fee</td>
<td>$55.00^3 \text{ Master’s}$</td>
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<td>$65.00^3 \text{ Doctoral}$</td>
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<td>Departmental Copy Binding</td>
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<td>Additional Copies Binding</td>
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1. Required by the Registrar’s Office in order to graduate.
2. One Required.
3. Master’s $55.00, Doctoral $65.00.

Updated, Spring 2012
Technical Specifications

**Paper**

The one required copy of the thesis/dissertation should be on 8½ by 11 inch plain, white, acid-free, watermarked, archival bond paper of at least 20-lb weight and a minimum 25% rag content. Some brands that meet these requirements include:

- Permalife Bond (Fox River)
- Crane’s thesis 100% pH Neutral
- Gilbert NEU-Tech 25% cotton bond
- Archival Bond XXV
- Nuanse-text (Mohawk)
- Archival Permdura
- Southworth 25% or 100% cotton fiber

This copy will be sent out for binding and sent to the department. Students are responsible for making additional copies for their thesis/dissertation advisor, committee members, and for their own use. These copies may be on regular printer paper.

**Typing**

The thesis/dissertation should be printed in black on one side of the paper only using a letter quality printer. The thesis/dissertation should be double-spaced except for tables, headings, footnotes, quotations, and title pages. The first sentence of a paragraph should be indented ten spaces. Times New Roman font is recommended; be consistent throughout the main text. A 14-pt. font size should be used for all major headings (Introduction, Methodology, etc.), and 12-pt. for the remainder of the document.

**Corrections**

Corrections must be made by retyping and reprinting the entire page. Corrections made with correction fluids, handwritten notations and other methods are not acceptable.

**Margins**

Margins must be a minimum of 1½ in. on the left and 1 in. on the other edges. If large sheets are used for tables or illustrations, then they should be photocopied and reduced to 8½ x 11 in. size. Nothing is to protrude beyond any margin of any page of the thesis/dissertation (page numbers may be within the 1-in. bottom margin, but must not fall within the side margins). This applies to subject matter, reference numbers, equation numbers, any part of a graph or diagram, photographs, or anything else contained in the thesis/dissertation. The first page of a new chapter should begin 2 in. from the top of the page.
**Page Numbering**
For the preliminary pages (Abstract Title Page, Abstract, Acknowledgment, Table of Contents, List of Tables, and List of Illustrations), small Roman numerals are used centered at the bottom of the pages. The numbering should begin with ii, on the first page of the Abstract. The abstract title page counts as page i, but it is not numbered.

For the remainder of the thesis/dissertation, Arabic numerals are used. Each page must be numbered. Do not use letter suffixes such as 10a, 10b, etc. The Arabic numbering should begin with 1 on the first page of the Introduction and run consecutively to the end of the thesis/dissertation at the right top.

**Tables and Figures**
Follow the style for tables and figures that is standard for your discipline. The format and styles must remain consistent throughout your thesis or dissertation.

Tables and figures should be numbered consecutively and consistently in Roman or Arabic numerals. The numbering system must be consistent with what is listed in your List of Tables or List of Figures. The table number should be centered and underlined. Margins for Tables and Figures must be the same as for the rest of the manuscript.

**Headings**
All major headings (Introduction, Methodology, etc.) and their Roman numeral designations should be capitalized, centered from left to right on the page, and underlined. Each major section should start a new page.

**Equations**
All equations should be numbered consecutively by means of Arabic numerals placed within parentheses at the right margin.

**Footnotes and Quotations**
Both footnotes and quotations should be single-spaced, using side margins 5 spaces narrower than those used in the regular text. Footnotes which appear at the bottom of the page should be referenced by a superscript small letter. Footnotes are inserted by double spacing after the last line of page type, moving five spaces in from the left margin, then single-spaced below this for the beginning of the footnote.

**Bibliography**
The bibliography should be single-spaced with double-spacing between entries. Follow the standard citation format for major journals in your field and the style manual recommended by your department.
Photographs
When used, photographs should be clear and contrast should be sharp. Acceptable methods for including photographs in a thesis or dissertation include scanning and dry mounting.

Scanning photographs or drawings into digital form avoids the problems of mounting images and allows you to include the page number on the image before copying. For mounting photographs to a page, acceptable adhesives include:
Dry mounting adhesive sheets such as: Scotch Brand #567, Perma/Mount 2 (Falcon Products), or 3M Positionable Mounting Adhesive #568, 3M Double Sided Tape #415. (This material is sold in 1/4" wide rolls. Two vertical strips of double-sided tape should be applied to the back left and right sides of the photograph.)

Diagrams and Graphs
All diagrams and graphs must be printed on the same kind of paper as the rest of the thesis with black drawing ink if done by hand, rub-on, or computer print-out, if possible. Please keep in mind some photocopying processes reproduce in black and white only; therefore, any colors in original diagrams will appear as gray or black. Avoid the use of pastel shades in diagrams, as these generally do not offer enough contrast.

Some diagrams may not reproduce well if scanned or photocopied. If this is the case, an original diagram will be required for each thesis/dissertation copy. If you dry mount photos, diagrams or graphs yourself, be sure they are permanently fastened to the page. Do not use any of the following methods: tape, spray adhesive, rubber cement, dry mounting corners, glue or glue sticks, tape (other than 3M #415), staples, or transparent tape. The correct adhesives are generally sold in rolls and must be cut to the size of the illustration. The photograph or illustration can be positioned until pressure is applied.

Odd-sized materials, illustrations, and photographs that cannot be secured may be submitted as pocket material. This method should be considered a last resort, since materials are not secured within the binding and risk falling out of the bound volume.
Formats

Traditional Format

The content of the traditional thesis/dissertation is to be assembled in the following sequence:

TITLE (Signature) Page
ABSTRACT TITLE PAGE
ABSTRACT (ii)
ACKNOWLEDGEMENTS (iii)
TABLE OF CONTENTS (with page references) (iv)
LIST OF TABLES (with titles and page references) (v)
LIST OF ILLUSTRATIONS (with titles and page references) (vi)

TEXT

I. INTRODUCTION
II. METHODOLOGY
III. RESULTS
IV. DISCUSSIONS
V. CONCLUSIONS
VI. RECOMMENDATIONS
VII. LITERATURE CITED

Appendix (if necessary)

Biographical Sketch of Author
Multi-Monograph (Alternative) Format

The Multi-Monograph thesis/dissertation has at its core a set of monographs (commonly three, but this might range from two to six) each judged by the thesis/dissertation committee to be of a quality and form suitable for publication in the peer reviewed literature of a relevant field. In addition, comprehensive introductory and concluding chapters are required and, when appropriate, supplementary supporting materials are to be presented in appendices.

The purpose of the introductory chapter is to explain the background or context in which the research is set, and to lay out its significance for the field. This chapter serves as an overview to connect the individual monographs together. It provides an argument justifying the choice of thesis/dissertation topic and would typically include a literature review demonstrating that the research was needed, not yet performed by others, and has a reasonable chance of achieving its stated objectives.

The monographs, which form the body of the thesis/dissertation, are of “publishable quality” but they are often longer than the currently acceptable length of papers in most journals. This permits the thesis/dissertation to serve its archival value, documenting the detailed research methods and results more fully than journal publication will permit. The level of detail in the monographs will be agreed upon by the candidate and the thesis/dissertation advisor and/or committee.

The thesis/dissertations concluding chapter provides the opportunity to present the broad conclusions of the body of work because it focuses on implications for the field as a whole, rather than simply on the next steps in the research process. In addition, this chapter presents the necessary opportunity to discuss the interdependence of the individual monographs.

The following outline presents the format for the multi-monograph thesis/dissertation. The outline illustrates its basic similarity to the traditional format. It differs in only minor ways, chiefly that methods, results, references, etc. may be presented in smaller units relevant to the various aspects of the work, rather than being collected together in single, large chapters.
Multi-Monograph Thesis/Dissertation Format Sequence

TITLE PAGE (signature page)
ABSTRACT TITLE PAGE
ABSTRACT
ACKNOWLEDGEMENTS
TABLE OF CONTENTS (with page references)
LIST OF TABLES (with titles and page references)
LIST OF ILLUSTRATIONS (with titles and page references)

Text: Introduction (Overall)
   Body (each monograph contains the following)
   METHODOLOGY
   RESULTS
   DISCUSSIONS
   CONCLUSIONS
   RECOMMENDATIONS
   LITERATURE CITED

CONCLUSION (OVERALL)
Appendix
Biographical Sketch of Author

NOTE: Although formats for citations vary from journal to journal, literature cited in each monograph must conform to that of the traditional format. Each reference must include complete authorship, title, journal name, date of publication, volume, and inclusive page numbers.

In either format, traditional or multi-monograph, the work must be logically connected and integrated into a thesis/dissertation in a coherent manner. Binding reprints or collections of manuscripts together is not acceptable as a thesis/dissertation in either form or concept. The thesis/dissertation must also meet the requirements of the department and the University; these include originality, creativity, and demonstration of mastery of the subject area, which are discussed further below.

When master’s/doctoral research is part of a larger collaborative project, it is crucial that an individual student’s contribution be precisely delineated. Candidates must demonstrate the uniqueness of their contributions and define what part of the larger project represents their own ideas and individual efforts. The candidate should be the sole or first author on the manuscripts included in the thesis/dissertation.
Parts of a Thesis/Dissertation

Title (Signature) Page
The form and contents of the title page must follow the examples in this guide. Scientific formulas and abbreviations should be avoided in titles whenever possible. The year listed on the abstract title page is the year in which one’s degree is conferred. It may or may not be the same as the year the manuscript is submitted.

Choose your title carefully as scholars and researchers will use keywords to search databases for published works. The title should represent the content of your thesis/dissertation as accurately as possible.

Abstract
The abstract should give a succinct account of the work so that readers can quickly decide if he/she wants to read the complete thesis/dissertation. It should contain a clear statement of the problem/issue, the procedure and/or method followed, the results, and the conclusions. Although 150 words is the maximum length allowed for a master’s thesis and 350 words for the doctoral dissertation, all abstracts should be shorter if possible.

Diagrams and illustrations are not appropriate for the printed abstract. Remember that the abstract is published for the convenience of potential readers who are doing research in your field. Tell them what they can learn from reading your thesis/dissertation. Have a friend not in your field read the abstract. If they can understand it, then all of your potential readers will probably also be able to do so.

Acknowledgements
An acknowledgement page is optional. On this page you would note professional and personal thanks to specific individuals for special assistance and/or permission to use previously copyrighted material. Use care to express yourself professionally and to be consistent in your use of first or third person references.

Table of Contents
The table of contents should list all parts of the manuscript other than the Title Page, Abstract, and Acknowledgments, indicated in the preceding sections of the “sequence of the traditional and multi-monograph formats” and should include the major divisions and first level of subdivisions of the thesis. Page numbers for each heading are to be shown in a column at the right margin, headed “Page”. It is therefore obviously not possible to prepare the Table of Contents until after the rest of the thesis/dissertation has been typed. As with the rest of your manuscript, be consistent. Make sure the numbering format, headings, and capitalization match exactly.
List of Tables
This should be a complete list of all tables and the respective page number on which they appear.

List of Illustrations
This should give a complete list of all figures and the respective page numbers of all illustrations, including photographs, maps, and charts.

Text

Introduction
This should give a statement of the problem, the motivation for the research, and its importance and relevance. The history and literature should be reviewed with appropriate comments. It is essential to reference all material thoroughly to avoid plagiarism.

Methodology
This section should describe the work done in enough detail so that another person in the same academic discipline could repeat the work by following the description. Any apparatus or equipment specially designed for the thesis/dissertation work should be described in complete detail. All materials should be described and identified carefully. Techniques should be described thoroughly.

Results
This section will normally contain all data collected, examples of any calculations required, and results from the data and calculations. Wherever appropriate, graphical analysis is very beneficial.

Discussion
The material covered and the method of presentation in this section will vary with the nature of the thesis/dissertation. In general, there should be an exhaustive explanation and interpretation of all results presented which should be related to the previously published literature in the field.

Conclusions
This section should give a concise narrative of the significant conclusions drawn from the thesis/dissertation.

Recommendations
This section should include suggestions for future work on the thesis/dissertation topic or analogous problems.
Notes

The notes or footnotes may be at the bottom of pages, at the end of each chapter or at the end of the main body of the text immediately preceding the literature cited. Use a consistent style throughout your thesis/dissertation.

Literature Cited

Warning about PLAGIARISM:
All ideas and concepts that do not represent your original thoughts must be referenced. Direct use of someone else’s words must be set off with quotation marks and properly referenced. Use of another person’s ideas, even if paraphrased, or word-for-word copying of all or part of the work of another without due acknowledgment constitutes plagiarism and is strictly prohibited.

The format for references must include: complete authorship (last name and initial of first name), journal abbreviation, full title of the article, beginning and ending page numbers, as well as the volume of the journal and the year when the article was published. References to books must include the author and/or editor, the name of the book, date of publication, publisher, city of publication, and inclusive page numbers. References to unpublished technical reports should explain as fully as possible where the document can be found. In all cases, use appropriate abbreviations for journal names consisting of multiple words. Never abbreviate single title journals such as Science or Nature.

It is essential that all text references appear in the section titled “LITERATURE CITED” and that all references listed be cited in the text.

The numerical referencing system is recommended for your thesis/dissertation. Cite the first reference [1] or multiple references [1-4] at the end of sentence within parentheses. Abstracts do not contain references. Subsequent references are listed as [2], [3], [4], etc. in numerical order throughout the remainder of the text. Compile your references in numerical order at the end of your thesis/dissertation under the heading “LITERATURE CITED.” Each reference should be single-spaced with a double-space between references. Only materials actually cited in the text are to be listed under the, “Literature Cited.” Additional sources used but not cited should be added under the heading “Additional References Used But Not Cited.”

Examples of acceptable format for journal and book citations listed below.

JOURNAL:

BOOK

Appendix
Appendices are not always necessary in a thesis/dissertation. Its inclusion is largely a matter of judgment on the part of the author and his or her advisor. It is generally used when there are materials such as extensive data, involved derivations, and the like, which do not conveniently fit into the main body of the thesis/dissertation. Each appendix should be a self-contained document.

Biographical Sketch of Author
The required brief biographical sketch should include the names of schools attended, the exact designation of diplomas and degrees awarded, the title and nature of any post-collegiate employment, together with the name and location of the employing organization, and a description of any previous graduate study or related research, publications, or special professional interests.
A 10-MEGACYCLE CALIBRATED
PHASE SHIFTER USING A STABILIZED
TRANSISTOR OSCILLATOR

BY

JOHN DOE SMITH
B.S. UNIVERSITY OF WISCONSIN (1991)
M.S. UNIVERSITY OF MASSACHUSETTS LOWELL (1993)

SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS
FOR THE DEGREE OF DOCTOR OF PHILOSOPHY
ELECTRICAL ENGINEERING
UNIVERSITY OF MASSACHUSETTS LOWELL

Signature of
Author: ____________________________ Date: ______________

Signature of Dissertation Chair: ________________________________
Name Typed: ________________________________________

Signatures of Other Dissertation Committee Members

Committee Member Signature: ________________________________
Name Typed: ________________________________________

Committee Member Signature: ________________________________
Name Typed: ________________________________________

Committee Member Signature: ________________________________
Name Typed: ________________________________________
A STUDY OF THE EFFECT OF DAILY EXERCISE PROGRAMS ON LONGEVITY OF PATIENTS IN CLASS B NURSING FACILITIES

BY

MARY ANN SHANAHAN
B.S. BOSTON UNIVERSITY (1991)

SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE OF MASTER OF SCIENCE DEPARTMENT OF NURSING UNIVERSITY OF MASSACHUSETTS LOWELL

Signature of Author: ____________________________ Date: __________________________

Signature of Thesis Supervisor: ____________________________
Name Typed: ____________________________

Signatures of Other Thesis Committee Members:

Committee Member Signature: ____________________________
Name Typed: ____________________________

Committee Member Signature: ____________________________
Name Typed: ____________________________

Committee Member Signature: ____________________________
Name Typed: ____________________________
Format for a Doctoral Abstract Title Page

SOME AZO-TRIAZINE DYES (14pt.)
CONTAINING SILICON

BY
WILLIAM Q. JONES (12pt.)

ABSTRACT OF A DISSERTATION SUBMITTED TO THE FACULTY OF THE
DEPARTMENT OF CHEMISTRY (12pt.)
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS

FOR THE DEGREE OF
DOCTOR OF PHILOSOPHY
POLYMER SCIENCE
UNIVERSITY OF MASSACHUSETTS LOWELL
1996

Dissertation Supervisor: Joseph F. Shea, Ph.D.
Associate Professor, Department of Chemistry
Format for a Master’s Abstract Title Page

A SURVEY OF CLASS B NURSING FACILITIES
IN WACO, TEXAS
1888-1990

BY

LINDA SOUTHWORTH

ABSTRACT OF A THESIS SUBMITTED TO THE FACULTY OF THE
DEPARTMENT OF NURSING
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS
FOR THE DEGREE OF
MASTER OF SCIENCE
UNIVERSITY OF MASSACHUSETTS LOWELL
1996

Thesis Supervisor: John S. Doe, Ph.D.
Associate Professor, Department of Nursing
Style Manuals and Resources


Additional Tips for Thesis and Dissertation Writers

1. It is not advisable to use software specifically designed for industrial or technical purposes to prepare the thesis or dissertation.

2. Include your prior degrees, and the institution and the year you received them on the signature page.

3. Include the year you are receiving a diploma for this current degree (master’s or doctorate) on the abstract title page. Make sure you correctly note the degree you will be receiving. For example, the correct degree title is Master of Science in Engineering, not Master’s of Science in Engineering.

4. Begin the Table of Contents with “List of Tables…………v” and “List of Figures…………vi” (or appropriate page number) if these tables/figures are included in your thesis/dissertation. Otherwise, begin the Table of Contents with “Introduction…………..1.”

5. If you use colors in graphs and tables, choose colors, line styles, line widths and symbols that are discernible after black and white copying. Lines on graphs should be identified by labels or symbols rather than by colors.

6. Make sure that the text does not run into the page numbers on any pages of the thesis or dissertation.

7. Use inclusive page numbers in LITERATURE CITED for both books and journal articles.

8. Before you print the entire manuscript, print a single page and double-check for accurate margins and good quality of print.

9. Proofread your final manuscript carefully before submission. Plan enough time to read it through several times and not necessarily in one sitting. Make sure there are no missing pages and that all pages are numbered consecutively.