



THE GRADUATE SCHOOL

GUIDE TO THE PREPARATION OF THESES AND DISSERTATIONS

2022-2023

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Fall 2022

This guide supersedes all previous editions.

ACKNOWLEDGEMENTS

The University of Maryland Eastern Shore Graduate School graciously acknowledges the work of Dr. Terry Smith Kundell as the editor of the 2015-2016 edition, Dr. Derry Stufft as the editor of the 2013-2014 edition, and of Dr. Dean Cooledge as the editor of the 2009-2010 edition of this manual. They established many of the standards utilized and refined in the current revision.

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CHAPTER 1: INTRODUCTION AND GENERAL INFORMATION

Purpose of this Guide

This guide is intended to be used by students in UMES graduate degree programs that require a thesis or dissertation. Since the guidelines are the same, this guide will refer to the dissertation in all instances. Graduate degree programs with the non-thesis option or professional doctorate may have their own formats for the master's project, the research project, and the seminar paper.

This guide is designed to be a basic source of information for the dissertation preparation and approval of the final document, not of the dissertation content. This guide sets the technical parameters of the final document within which all students should work, to ensure consistency in format and appearance among dissertations as a subset of academic publishing.

An original of each approved dissertation is bound and placed in the campus library. Dissertations become part of the library's general collection of printed materials. Increasingly, they are also submitted to the ProQuest Dissertations and Theses database, making them accessible internationally in digital form. Therefore, they must be accurate in content; correct in style, grammar, punctuation, and mechanics; and professional in appearance. Following is a prescribed format for writing the dissertation, which is also useful if the dissertation is adapted for subsequent publication in a scholarly or professional journal.

Faculty advisors, committee members, the Graduate Writing Center, and the Graduate School staff will all assist students in bringing their dissertations to fruition. It is important for students to be aware that dissertations that do not comply with the standards specified in this guide, or with chair/committee technical and/or grammatical editing requirements or recommendations, will not be accepted by the Graduate School, and graduation may be delayed. In addition to the guide, the individual graduate programs may impose additional technical requirements for the dissertation, e.g., the number of chapters presented and organization of data, etc. Please refer to the accepted style manual for your field of study. This guide follows the *Publication Manual of the American Psychological Association*, 7th edition (2020). If your program does not specify a style guide, this is the one to use. However, some of the programs in the sciences specify one of the science style guides. You must use a specific style guide and follow it in all matters not designated in this guide.

Requirements for All Students Submitting Dissertations

Doctoral Candidacy

Doctoral students must have been advanced to doctoral candidacy by the Dean of the Graduate School at least two semesters prior to the defense of the dissertation.

Registration for Credit

Dissertating students must register for at least one credit in the semester or session in which they expect to complete the dissertation (i.e., submission of the final approved version for binding). Doctoral students advanced to candidacy must register each semester, excluding summer and winter sessions, until their degree is awarded. Students have seven years from the initial enrollment to complete and defend the dissertation. At the point of defense of the dissertation, the student must have registered for at least 12 dissertation credits.

Deadlines for Submission of the Dissertation

Information concerning deadlines may be obtained from the Office of the Registrar, e.g., Commencement, and from the Graduate School for semester deadlines for each Commencement. The exact dates for submission of materials vary from year to year. Failure to meet the deadlines will result in postponement of graduation.

Preliminary Drafts

The Graduate School does not set deadlines for preliminary drafts of the dissertation to be reviewed by the student's chair and committee. It is expected that students and their chairs will set a reasonable timetable for preparing the dissertation manuscript for the committee's review, the final oral examination/defense, and the final approved version. The timeline shall be sent to all other members of the committee for a final approval so that everyone knows what is expected and when to expect it. Any dates agreed upon must be in line with established deadlines set by the Graduate School.

Submission of the Final Dissertation

In order to participate in Commencement activities, *two* final, corrected versions of the dissertation are due in the Graduate School generally *no later than two weeks prior* to the last day of classes in the semester.

Certification of Completion of the Doctoral Degree

The student must have Regular Admission Status, be in good academic standing, and have fulfilled all program of study requirements for the degree, such as core courses, oral/written comprehensive examinations, internships (as applicable), the dissertation, its defense and acceptance by the committee and Graduate School, a minimum 3.0 Grade-Point Average, and the removal of "incomplete" (I) grades.

The Graduate Dean is the final signatory on the Certification of Completion of Degree Form, a copy of which is sent to the Registrar's Office.

The Graduate Dean reviews, with the Department Chair and the Program Coordinator, the final program of study audit and clearance of each student who has been certified to have the degree released to the student. Students are advised to obtain a copy of their transcript in the semester or session prior to the expected completion of the degree to make certain that approved transfer credit courses appear on the transcript, any outstanding incomplete (I) grades have been removed, and there are no missing credits.

Graduation and Commencement

Graduation is the receipt of the degree, whether or not the actual diploma is received at Commencement. Commencement is the ceremony in which degree candidates are publicly recognized. If the student has been certified and cleared for graduation in time, the application for degree is also submitted on time, and there are no financial obligations due, the student should be eligible to be awarded the degree at Commencement. Outstanding tuition and fees, bills, and library or parking fines can create delays.

CHAPTER 2: ACADEMIC HONESTY AND ETHICAL CONSIDERATIONS

Introduction

Since receipt of a graduate degree implies personal integrity and knowledge of scholarly methods, there are four areas in which you, as graduate students, should be particularly cautious:

- Understanding and complying with research requirements;
- Properly conducting and reporting of work;
- Appropriately using copyrighted material;
- Properly acknowledging cited works.

Each area involves academic honesty and ethical considerations in research.

The Publication Manual of the American Psychological Association, 7th edition (2020), defines plagiarism as, “The act of presenting the words, ideas, or images of another as one’s own: it denies authors credit where credit is due. Whether deliberate or unintentional, plagiarism violates ethical standards in scholarship and has profound real-world effects” (p. 21). They caution that to avoid plagiarism, one should provide appropriate credit to the source whenever one paraphrases, directly quotes the words of others, refers to data or data sets, reprints or adapts a table or figure, or reprints a long text passage or commercially copyrighted test item (p. 255). Failure to credit the source under these circumstances constitutes plagiarism. Plagiarism will be investigated when suspected and can be prosecuted if established. Plagiarism can lead to dismissal from the University. Increasingly, committees are using resources such as Turnitin to check for plagiarism.

Understanding and Complying with Research Requirements

Compliance with federal regulations governing the use of human subjects, animal care, radiation, legend drugs, recombinant DNA, or the handling of hazardous material in research is monitored by a number of federal agencies. Because of these regulations, research compliance is another area of importance to you and to the conduct of your research, i.e., to verify that you have complied with the appropriate approval procedure(s) prior to the initiation of the dissertation-related research, if approval is relevant to the research.

Properly Conducting and Reporting of Work

All dissertation research must be conducted in accordance with the Board of Regents and University System of Maryland policies. For research involving human subjects, vertebrate animals, or biohazards, you should seek information and guidance from the

campus Office of Research and Sponsored Programs. UMES has established an Institutional Review Board (IRB) to review the aforementioned types of research protocols for compliance with established standards and regulations, including those established by federal agencies. The IRB forms utilized by UMES can be found on the UMES website and need to be submitted according to the established guidelines.

Appropriately Using Copyrighted Material

If you use copyrighted material in a limited way, permission to quote is usually not necessary. If, however, you use extensive material from a copyrighted work, you must obtain written permission. In determining the extent of a written work that may be quoted without permission, you should consider the proportion of the material to be quoted in relation to the substance of the entire work. According to *Publication Manual of the American Psychological Association*, 7th edition (2020), “You may need written permission from the owner of copyrighted work if you include lengthy quotations (usually more than 800 words) from it in your work. Quotations from shorter works (e.g., poems, songs) may also need permission” (p. 277). They also define key terms regarding copyright and permission guidelines, such as copyright attribution, reprinting, and adapting. They state, “*Copyright attribution* is a brief statement providing details of the original work and naming the copyright holder. *Reprinting* means reproducing material exactly as it appeared originally, without modifications, in the way in which it was intended” (p. 384). Lastly, “*adaptation* refers to the modification of material so that it is suitable for a new purpose” (p. 384).

Requirements for obtaining permission to use copyrighted material may vary. It is your responsibility to follow proper procedures to obtain written permission to use copyrighted materials. The publisher usually has the authority to grant permission to quote excerpts or use graphics from the copyrighted work or can refer requests to the copyright owner or designated representative. The copyright owner may charge for permission to quote excerpts or use graphics. You should include, in an appendix of the dissertation, the actual letters or printed emails granting permission to use copyrighted materials. Further, the sources should appear in the References. The UMES library staff can assist you with questions about what constitutes fair use in copying and other copyright concerns, including the Internet.

Properly Acknowledging Cited Works

In-Text Citations

In-text citations usually consist of information in parentheses within the text. In APA style, the common method of referencing is to use the author’s name and date of

publication, as in (Brightbill, 2010). If the citation is also a direct quote, include the page number as well (Brightbill, 2010, p. 4).

The purpose of the in-text citations is threefold:

- To serve as an acknowledgement of sources;
- To give readers sufficient information to locate the source; and
- In the case of personal interviews or correspondence, to save readers the trouble of attempting to locate material that is not available.

If an in-text citation to a source appears in the main body of the document, it must have a complete citation for that source in the References with the exception of personal communications. If a complete citation appears in the References, at least one in-text citation must appear in the main body of the document. The format for in-text citations must be used consistently throughout the text. Authors must refer to the latest edition of the *Publication Manual of the American Psychological Association* or to the selected science style manual for guidance when using in-text citations. There are many detailed guidelines for various situations.

References

References must include all the in-text citations in the text. They are to follow the *Publication Manual of the American Psychological Association* or the selected science style manual. Consult the manual for guidance when completing references.

Do NOT just copy references from someone else's references list. They might not follow your style guide, and they might not be correct. Get the information for each of your references directly from your source. You used it, so you should have access to it as you generate your references.

Redundancy and Consistency between the In-Text Citations and References

Although this is stated clearly above, it is very important that you understand that you must have redundancy and consistency between the in-text citations and the references. Every entry in an in-text citation must have a corresponding entry in the References, and every entry in the References must have one or more corresponding in-text citations.

Avoiding Automatic Citation Generators

If you use an automatic citation generator program, make sure you input the information correctly and check all output to make sure it follows your style guide. If you know how to use one well, it can be a time-saver, but you must use it well and make manual

modifications as necessary. Automatic citation generators can actually make it more difficult to manage the in-text citations and references if you make mistakes in the data within them. In general, it is better to avoid using automatic citation generators. Further, one of the skills you are supposed to be exhibiting in your dissertation is the ability to create correct citations.

Example Reference to a Journal Article

Brightbill, D. L. (2013). The art of making art from scraps of fabric: A guide for the novice. *Home Fabric Art*, 10(9), 19-51. doi: 1234567890098.

Endnotes (if used)

Use endnotes sparingly. If you do use them, place them in a section after the references and number them according to how they appear in the body of the document.

Conclusion

In summary, understand and comply with research requirements; properly conduct and report your work; appropriately use copyrighted material; and properly acknowledge cited works.

The goal of the Graduate School, as well as your dissertation committee members, is to ensure that a manuscript has been produced that will reflect positively on you, your committee, the department/school, and the University.

CHAPTER 3: STYLE AND DESIGN GUIDELINES

Student as Author

It is important for you, the student writing the dissertation, to understand your role as producer and author of your own study. In addition to the technical content of the dissertation, the use of the proper language, format, style guide, and word-processing design are all the ultimate responsibility of you: the author. The dissertation chair and the committee members act as mentors, not editors, in the process. You are allowed to hire an editor if you choose to do so, but the responsibility for your dissertation belongs to you.

Language

The language of the dissertation is standard written American English. Adherence to rules of standard written American English style, grammar, punctuation, and mechanics is required. International graduate students, whose first language is not English, are advised to have their dissertation drafts reviewed for correct standard written American English in addition to the content.

Brief text, e.g., a sentence or paragraph, may be quoted or referenced in a language other than English as long as the translation in standard written American English immediately follows. Foreign quoted material should be used sparingly and only as directly pertinent to the technical content of the dissertation. The dissertation chair and committee must approve the usage and be satisfied with the accuracy of the translation. This rule does not apply as restrictively to dedication and acknowledgement pages, where international students may provide expressions in both their native language and standard written American English.

Style Guide

You must follow a published style manual, and you may not mix and match style manuals. If your graduate program does not specify a certain style manual, use the latest edition of *The Publication Manual of the American Psychological Association*. This guide follows the 7th edition (2020) of that manual. Most of the UMES programs support use of this style, but some of the science programs specify one of the style guides in that discipline, such as the following:

- American Chemical Society, *The ACS Style Guide: Effective Communication of Scientific Information*, 3rd edition
- Council of Science Editors, *Scientific Style and Format: The CSE Manual for Authors, Editors, and Publishers*, 8th edition.

While you may view previously accepted dissertations for applications of a particular

style or usage, they should never be used as the style guide. Examples taken from other dissertations may be out of context or employ outdated or incorrect usage. Students who are using an editor should provide that person with a copy of this guide and the graduate program's desired style manual, and, if applicable, a list of correctly spelled and hyphenated scientific/technical terms and foreign words that may not always be included in standard dictionaries or computer spell-check utilities. Consult the Graduate School in the case of a conflict of a style manual with this guide.

Word Processing Design

The dissertation must be prepared on a word-processor. The special characters and formatting features needed in a dissertation are found in most standard software packages. Word-processing applications contain formatting aids to assist you in document design. Since UMES utilizes Microsoft® products, you should use Microsoft Word® to write your dissertation to make sharing with your committee members easier. If you are not skilled in word-processing techniques, have an experienced person prepare all drafts and the final copies.

Margins

Set the margins for the entire dissertation at the following:

- Left: 1.5”
- Top, right, and bottom: 1”

You need the extra space on the left margin for the binding of the final copy. In order to plan placement of tables and figures, it is best to use these margin settings from the beginning.

Justification

Use left justification for the entire dissertation unless your chair requests full justification. Remember that full justification can leave rivers of white space as it expands spaces between letters to reach to the right margin.

Typeface

These are primary guidelines for typeface:

- Use Times New Roman 12-point font for the text, including table and figure titles.
- For tables and figures, you have the following options, according to the preference of your chair, but you must be consistent across all tables and all figures:
 - Use the same font: Times New Roman 12-point.
 - Use the same font, Times New Roman, in 11-point or 10-point font.

- Use a sans serif font, such as Arial, from 10-point to 12-point. Many readers prefer the clean and simple lines to enhance visual presentation.

Vertical Spacing

These are primary guidelines for vertical space:

- Double-space the text of the dissertation. This includes the References and Endnotes (if used).
- For tables and figures, you may double-space or single-space according to which you prefer. However, you must be consistent across all tables and across all figures.
- For material in appendices that was previously single-spaced, you should leave it single spaced. Appendices also retain the font and design of the original document with one exception: you must retain the margins of the rest of the document since the 1.5” left margin is necessary for binding. You will need to insert a section break before and after each appendix that contains different design to retain that design.
- You may use extra vertical space before and after headings. Rather than leave an entire empty line, use the “before” and “after” spacing options, along with “styles” in MS Word, to achieve consistent spacing for levels of headings and text.
- If you use “styles” in MS Word, it is easy to automatically generate and update an automatic Table of Contents that is professional. You can also use styles to automatically generate your List of Tables, List of Figures, and List of Plates.

Widow and Orphan Control

Control “widows” and “orphans” in your dissertation. A widow is the last line of a paragraph or subheading that appears by itself at the top of the page. An orphan is the first line of a paragraph or subheading that appears by itself at the end of a page. You can set MS Word to prevent these automatically.

Pagination

These are primary guidelines for pagination:

- Place the page numbers consistently in either the top right of the page or the bottom center of the page.
- Use Times New Roman 12-point font for page numbers.
- Use lower-case Roman numerals (i, ii, iii . . .) for the preliminary pages.
- Insert a section break after the last preliminary page, usually the List of Figures but the List of Plates, if included.
- Use Arabic numerals (1, 2, 3 . . .) through the remaining pages. This includes the References, Endnotes (if included), and the Appendices.

Running Headers

Use running headers in a dissertation, but do not use the phrase “RUNNING HEADER” within the running header.

Divisions and Headings

You must divide the dissertation into a logical scheme that you follow consistently throughout the work and that you indicate by headings. Chapters are the common major divisions, but there can be up to 5 heading levels below that division. Number each chapter consecutively using words (one, two, three, etc.), Arabic numerals (1, 2, 3, etc.), or uppercase Roman numerals (I, II, III, etc.) consistently. Start each chapter on a new page by inserting a page break.

All headings from levels 0-4 should be in boldface. Here are the 6 possible levels of headings in APA style. You may start with level 0 and then proceed with levels 1-5, or you may start with level 1, according to the preference of your chair. Most universities designate level 0 for chapter titles of dissertations since they typically involve 2-5 heading levels after the chapter title.

You will find it much easier to keep your chapter headings consistent in design if you use the “styles” feature of MS Word. You will also then be able to generate automatically your Table of Contents from the styles.

- Level 0 (not used in APA articles but used by most universities for dissertation chapter titles)

CENTERED, BOLDFACE, ALL UPPERCASE

- Level 1

Centered, Boldface, Uppercase and Lowercase Heading

- Level 2

Flush Left, Boldface, Uppercase and Lowercase Heading

- Level 3

Flush left, Boldface, Italicized, Uppercase and Lowercase Heading

- Level 4

Indented, Boldface, Uppercase and Lowercase Heading Ending with a Period.

- Level 5

Indented, Boldface, Italicized, Lowercase Heading Ending With a Period.

CHAPTER 4: COMPONENTS OF THE DISSERTATION

Preliminary Pages

Preliminary pages, also known as front matter, serve as a guide to the contents and nature of the manuscript.

Use lower-case Roman numerals for preliminary pages. The title page should count as page i, but the “i” should not be printed on it. When you “insert”/ “page numbers,” select “different first page” to suppress the page number on the first page.

You should include the following preliminary pages in the following order:

- Dissertation Approval Sheet (no page number; it goes on top of the dissertation)
- Title page (i but not visible)
- Copyright page: optional and leave a blank page if you don’t include it (ii)
- Abstract (iii)
- Dedication Page (optional but no blank page if omitted)
- Acknowledgements (optional but no blank page if omitted)
- Preface or Foreword (optional but no blank page if omitted)
- Table of Contents
- List of Tables (if any are included)
- List of Figures (if any are included)
- List of Plates (if any are included)

Dissertation Approval Sheet

Include the Dissertation Approval Sheet to confirm acceptance of the manuscript by the dissertation committee members acting on behalf of the graduate faculty. An example appears in Appendix A: Dissertation Approval Sheet.

Each of the two official copies of the final approved dissertation submitted to the Graduate School and all additional/required copies for the program must have a Dissertation Approval Sheet. The name used on the approval sheet and on the title page must be that under which the student is registered at UMES. Two original approval sheets must have the dissertation committee members’ original signatures. Black ink is recommended for the original signatures. The approval sheet is not numbered; it goes on top of the dissertation. This sheet will be provided to the student after the successful defense of the dissertation.

Title Page

Assign this page Roman numeral “i,” but do not include the page number on the page. Use the month and year of expected graduation, with no comma between them, as the date. Use your name as it is currently registered at UMES. Use the wording and format as shown in Appendix D: Sample Title Page, including the standard degree statement.

Copyright Page or Blank Page

Assign this page Roman numeral “ii.” Include this page if you plan to copyright the manuscript as explained in Chapter 6. Otherwise, include a blank page. Your name on the copyright page should match your name on the title page. The following information must appear centered on the copyright page:

Copyrighted 20XX by Name of the Author

All rights reserved

Abstract

Assign this page Roman numeral “iii.” Your dissertation must have an abstract to be submitted to the graduate school. An abstract is a synopsis of the dissertation intended for those who may not wish to read the full text, and you write it after you have completed the dissertation. Although the content of the abstract is determined by the student and dissertation committee, the following information is appropriate: (1) a short statement concerning the area of investigation, (2) a brief discussion of methods and procedures used in gathering the data, (3) a condensed summary of the findings, (4) conclusions reached in the study. See Appendix E: Sample Abstract. However, note that the sample is single-spaced to save space in this document.

Dedication (optional)

If you wish to dedicate the manuscript, you do so in a dedication. If there is no dedication, exclude this page.

Acknowledgements (optional)

If you wish to thank those who have helped in the process of obtaining the graduate degree or completing the dissertation, you do so in an acknowledgement. Also, you list permissions to quote copyrighted material here, as well as acknowledgements for grants and special funding. Include the actual letters granting permission for using copyrighted material as an appendix, and cite them in the References. Acknowledgements are to be professional in nature. If there are no acknowledgements, exclude this page.

Preface or Foreword (optional)

If you choose to include a personal statement about the dissertation project, do so in a Preface. If you choose to include a statement about the work by someone other than

yourself, do so in a Foreword. The preface and/or Foreword must be academic and appropriate to a scholarly work. If you choose not to include one or both of these pages, exclude them.

Table of Contents

You must include the following in your Table of Contents: List of Tables (if needed), List of Figures (if needed), List of Plates (if needed), chapter titles, 2 levels of headings after the chapter titles, other levels of headings if desired and used consistently, References, and Appendices. It is very important that the headings in the Table of Contents match exactly the headings in the text. If you use “styles” to generate automatically the Table of Contents, you will have this exact match and be able to update the Table of Contents with ease.

List of Tables/List of Figures/List of Plates (if needed)

If you incorporate one or more tables, include a List of Tables. If you incorporate one or more figures, include a List of Figures. If you incorporate one or more plates (a series of photographs), include a List of Plates. Any tables or figures appearing in the appendix are also included in the appropriate list of tables or figures.

Each title of a table, figure, or plate must be different from the other titles. All titles must be entered in the lists worded exactly as they appear on the table, figure, or plate in the body of the text, and all titles of these must be numbered consecutively throughout the dissertation (e.g., Table or Figure 1, 2, 3, etc.). In APA style, titles for tables and figures are above the table and figure. Titles start at the left margin. Roman numerals are assigned to these pages and are printed. If there are no tables, figures, or plates, then these pages are excluded. Most dissertations, however, contain tables and figures.

Body of the Dissertation

The specific components of the body of the dissertation will vary according to the discipline and according to whether the dissertation represents qualitative or quantitative research. However, the following gives a general guideline.

Chapter 1

Chapter 1 is normally labeled as the “Introduction to the Study” or “Statement of the Problem” and sets the tone of the entire study. It is designed to give the reader the rationale for everything that will be coming in subsequent chapters.

Chapter 2

Chapter 2 is normally labeled as the “Review of the Literature.” In Chapter 2, the student presents all the relevant literature that deals with the focus of the study.

Chapter 3

Chapter 3 is labeled as the “Methodology of the Study.” This chapter deals with the procedures that were used to conduct the study. All the methods of data collection and data analysis would be discussed. The purpose of this chapter is to give the reader all the information necessary so that the reader could replicate the study.

Chapter 4

Chapter 4 is labeled as “Results of the Study” (quantitative) or “Findings of the Study” (qualitative). This chapter is where the student reports the results of the data that were collected. It is nothing more than that. There is no analysis and no commentary about the data that were collected. It is simply stating the data gathered based on the methodology that was used in the study.

Chapter 5

Chapter 5 is normally labeled as “Discussion and Conclusions.” This is the section of the dissertation where the results are discussed, and conclusions are drawn. It is here that the student will look back to the Review of the Literature to either support or contradict what the collected data indicate. Recommendations for future study would also be presented in this chapter.

Verb Tenses in the Dissertation

Using the correct verb tenses in the various components of the dissertation can be challenging. However, dissertations are primarily reports of research performed in the past, so the primary verb tense used will be the past tense. Here is some clarification regarding each chapter as described above.

- Chapter 1: You will write this primarily in the present tense. However, when incorporating portions from Chapter 2, the Review of Literature, you will use the past tense since you are describing studies that are already completed in works that are already published.
- Chapter 2: Although some researchers argue that you can describe the published words of the authors in present tense, for example, “Johnson and Jones state,” you must use past tense when describing the study they performed. Therefore, it is easiest to use past tense through this chapter: “Johnson and Jones studied 15 first-graders, and they stated. . . .”
- Chapter 3: In the dissertation proposal, you used future tense to describe your methodology, but, in the dissertation, you have completed the study, so you must use past tense.
- Chapter 4: In the results or findings section, you use past tense to describe the findings specific to your study. If you use present tense, you are making it sound as

if the findings are always true and are universal. Since you cannot make that claim, use past tense. However, you will use present tense to introduce past-tense findings: “Table 4 shows [present tense] how the first-graders responded [past tense] to the question.”

- Chapter 5: Discussion of your study will usually be in the past tense because you are describing the study you performed. Conclusions could be in the past tense or the present tense, but realize that use of the present tense indicates that the conclusions not only were true in your study but also are always true. So make sure that you are comfortable with claiming universality when using present tense. The only appropriate use of the future tense in a dissertation is to describe how results will be applied or to describe what additional research will be done. This could occur in the discussion chapter.

References

References include all the sources cited in the body of the document. They are to follow the latest edition of the *Publication Manual of the American Psychological Association* or the selected science style manual. Consult the manual for guidance when completing references because there are very specific details of requirements for various types of sources.

Appendices

Appendices is used for those documents that need to be included as part of the dissertation but that are better appended to it rather than interrupting the flow of the body text. Items such as informed consent letters, list of questions asked, theoretical framework elements, and surveys used would be here. Letters or emails granting permission for using copyrighted material as well as acknowledgements for grants and special funding are included in appendices. Original data and supplementary material are usually placed in appendices. In some cases, all tables, figures, and/or plates are moved to the appendix to avoid interrupting text because of the large number of them (e.g., 50+) or because of considerable continuation pages per table or figure. Just remember that readers are more likely to view content in the body than in the appendices, so use appendices for content that is not critical but, rather, supplemental.

All materials in appendices are subject to the same requirements for margins and page numbering as the text. An appendix or appendices, if included, are preceded by a numbered page with the designation centered vertically and horizontally between the margins. Each item, or appendix, (survey, letter of consent etc.) starts on a new page and is labeled in a sequential manner starting with the capital A for the first appendix and continuing with B, C, etc. covering all appendices included. In the body of the dissertation, each item referenced will have the same capital letter designation, for example, Appendix A, followed by a colon and the actual appendix title.

Clarification on Page Breaks

You need to start each of the following on a new page by inserting a page break:

- Each preliminary page
- Each chapter title
- References
- Endnotes (if included)
- Appendices
- Each individual appendix.

CHAPTER 5: TABLES AND FIGURES

General Guidelines for Tables and Figures

Tables

A table consists of numbers, words, or both, and presents information separated into columns and rows. Tables convey precise information to a reader categorically and in a structured format.

Figures

Any diagram, drawing, graph, chart, map, photograph, or material that does not fit into the restricted format for a table is a figure. Figures generally show relationships or illustrate information rather than present precise data. Plates usually consist of groups of separate photographs or drawings presented together.

Titles of Tables and Figures

Each table or figure must have a unique title descriptive of its contents in 12-point Times New Roman font like the rest of the body text. No two tables or figures may have exactly the same title. In APA style, this title appears at the top of the table and figure. Tables titles are in two rows: the first row contains the word “Table” and its number, and the second row includes the title in italics. Figure titles are in two rows: the first row contains the word “Figure” and its number, and the second row includes the title in italics and sentence-style capitalization. Titles should be short but descriptive enough to indicate the nature of the data and to differentiate the tables and figures from one another.

Numbering of Tables and Figures

Tables and figures are to be numbered consecutively throughout the manuscript using Arabic numerals: 1, 2, 3, etc. If your chair prefers, you may use 2-part numbering in which the first number indicates the chapter, and the second number the table or figure number within the chapter (1.1, 1.2, etc.; 2.1, 2.2, etc.). The style of numbering must be consistent. Any tables or figures that appear in an appendix rather than in the text should begin with an “A” before the number.

Placement of Tables and Figures within the Body of the Manuscript

Each table or figure should immediately follow the reference to it, and all tables and figures must be referred to by number. Instead of saying “the following table/figure shows,” say “Table 4 shows” or place “(See Table 4.)” at the end of the sentence describing the content of the table. When more than one table or figure is introduced on a page of text, each follows in the order mentioned. For tables or figures that take up all or most of a page, it is recommended that they be assigned pages separate from the text

to avoid problems in shifting during last-minute revisions. In degree of importance, tables and figures are secondary to the text so that the text dictates where the tables or figures are placed. All pages must be mostly filled with text, and in no case should a page be left significantly short because of the introduction of a table or figure.

A table or figure less than one-half page in length (approximately 4”) may be incorporated within the text on the same page, provided the following criteria are met:

- The table must be in numerical order;
- The table follows its specific mention in the text.
- The table is double spaced from the text; and
- The table is not continued onto a following page.

If multiple tables or figures are mentioned together on a page, they may be placed on pages together, provided that the double spacing continues between each and that their size allows this placement.

Placement of Tables and Figures in an Appendix

When all tables and/or figures are in an appendix, this fact is stated in the body of the text attached to the first mention of a table or figure and is not repeated thereafter. It will be clear from the “A” in front of the number. When only some of the tables and figures are in an appendix, their location must be clearly indicated when the items are mentioned in the text (Table A 1 in Appendix C: Tables).

Horizontal (Landscape) Tables and Figures

To accommodate large tables or figures, it is sometimes necessary to place them in horizontal (landscape) orientation on the page. The margin at the binding or left edge (bottom of the table or figure) must still be 1.5”, and all other margins at least 1”. The margin at the top of the page and placement of the page number must be consistent with the rest of the dissertation. The table or figure and its caption will be read correctly when the dissertation is turned 90 degrees counterclockwise. The top would then be on the side opposite the binding. You need to insert a section break in order to insert a landscaped page within the portrait-style dissertation, and you need to insert another section break to return to the portrait-style text.

Tables

Required Components

Tables consist of tabulated material or columns; ruling or lines in tables help the readers distinguish the various parts of the table but are not necessary. Make sure to include logical headings in the table so that it makes sense independently of its title.

Vertical Lines in Tables

Tables must have at least two columns that carry headings at the top, giving brief indications of the material in the columns. The headings appearing between the table opening line and the column heading closing line must apply to the entire column down to the table closing line. This is especially important in tables that continue onto additional pages. It is never appropriate to change columnar headings on continued pages. One method of avoiding a problem is to use sub-columnar headings, which are headings that appear below the column heading closing line, cut across the columns of the table, and apply to all tabular matter lying below it.

Continued Tables

Tables may be continued on as many pages as necessary, provided the columnar headings within the columnar block remain the same. The columnar block is repeated for each page. The table continuation pages are indicated by repeating the table number and title followed by the word “continued.”

Table Citations

If the table data within the table are taken from another source, the word “Source(s):” is used, followed by the full reference citation. This ensures that, if a specific page of the dissertation is copied in the future by an interested reader, all references information is contained within the page. The reference must also be included in the References section.

Table Notes and/or Footnotes

“Notes” are placed below the table and are double-spaced. They normally refer to the table as a whole. Footnotes reference superscripts in the table and are placed below the notes and are double-spaced. Those superscripts should be numerals in tables consisting of words, but they may be symbols in tables consisting of numerals, where they might be mistaken for exponents.

Figures

Continued Figures

A figure containing several related parts too large to be included on a page may be continued onto other pages. The figure continuation pages are indicated by repeating the figure number and title followed by the word “continued.”

Figure Legends

A legend explains the symbols used within the figure and is normally placed within the figure itself.

Figure Citations

If the table data within the table are taken from another source, the word “Source(s):” is used, followed by the full reference citation. This ensures that, if a specific page of the dissertation is copied in the future by an interested reader, all references information is contained within the page. The reference must also be included in the References section. If changes are made in a figure from another source, this is indicated by using the phrase “Adapted from” followed by the source citation.

Figure Notes and/or Footnotes

“Notes” are placed below the figure title and are double-spaced. They normally refer to the figure as a whole. Footnotes reference superscripts in the figure and are placed below the notes and are double-spaced.

Plates

Plates are a special category consisting of pages of related figures that are not separated by explanatory text. It is usually better to present them individually with a textual introduction of each.

CHAPTER 6: PREPARING THE FINAL DRAFT FOR SUBMISSION

Editing the Text after Approvals

After the dissertation committee and Graduate Dean have approved the dissertation text for binding, the print versions go to the Graduate School for binding and may not be altered in any form.

Two Required Copies

Two unbound copies of the final dissertation, approved by the dissertation committee, must be submitted to the Graduate School. These must be on required paper in an 8 ½ x 11” letterhead box or manila envelope. One original official copy will be hardbound and placed in the library, and a second original official copy will be hardbound and kept by the Graduate School. Additionally, you may have the option to publish your dissertation through ProQuest. Please speak with the Library staff if you are interested in this option.

Additional Copies

All other copies of the dissertation, including any required by the graduate program, department, dissertation chair, and committee, are produced and bound through arrangements made personally by the student with the UMES Serial Librarian. Your chair can help you determine who expects to receive bound copies. You should also retain a high- quality copy of the dissertation for your own use and save the master electronic file in multiple locations.

Appearance of Final Draft

The element that contributes most to the attractiveness of a manuscript is consistency. Consistency in formatting means that the writer establishes and adheres to a series of conventions or protocols regarding spacing, heading sequencing, and other aspects of appearance to guide readers through the manuscript visually, thus enabling them to concentrate on the content. Consistency in dissertation production is especially critical since it determines in part the committee reaction to content and, ultimately, acceptance of the manuscript by the Graduate School.

Type Quality

The quality of type for different models of printers varies greatly. In general, a laser printer or a high-resolution ink-jet printer provides a letter-quality print acceptable for dissertations. Letter quality means that the type must be very clear, distinct, black, and capable of being reproduced very well.

The final decision regarding acceptability of the type resides with the Graduate School.

As a result of the variation in quality, students are encouraged to have a sample of the output from the printer approved prior to preparation of the final master copy. The acceptability of other printers should be confirmed with the dissertation chair or the Graduate School. Some general guidelines for producing acceptable-quality master copy are these: paper normally used for printing should be used for the master copy. Most printers are designed to generate the best quality on plain white paper; and the master copy should be of the highest print quality since it will be commercially photocopied onto the required paper specified later in this document.

Copying Selected Pages in Color

Some complex comparisons are best presented in color. However, the Graduate School must grant an exception for the use of color. Black and white printing has long-term durability, while color tends to fade over time in the bound copy. Further, color copying is significantly more expensive. Do not use color when black and white will serve the purpose.

Two-Volume Dissertations

If a manuscript is more than 1.5” to 2.5” in thickness (approximately between 350 and 500 sheets of paper), it must be divided as equally as possible into two volumes not exceeding 2.5” each. The division must come between chapters or major divisions, such as References or Appendices. The Table of Contents at the beginning of Volume 1 should list the contents for the entire manuscript. Pagination is continuous throughout both volumes. A sheet with VOLUME 1 centered both horizontally and vertically between margins is inserted just prior to Chapter 1. Volume 2 opens with a title page followed by a sheet showing VOLUME 2. Neither volume separation sheet is assigned a page number.

Paper for Duplication

The two copies of the dissertation submitted to the Graduate School should not be printed from the printer. Rather, they should be photocopied from a printed copy onto a minimum 25% cotton, acid-free, 20-pound weight, 8 ½” x 11” white paper. The paper quality is essential to ensure long life during library use and to guarantee that it will produce the highest quality resolution when microfilmed and reproduced electronically. The same brand of paper must be used throughout the document. Copies are made from a master copy produced by a letter-quality printer on plain white paper.

The surface of cotton paper is such that ink from non-impact printers doesn't always adhere permanently. The general premise of most photocopying is a combination of heat and pressure, which produces a stronger permanent bond of ink or toner with paper.

Although some printers function in much the same way, neither the heat nor pressure is

sufficient to assure a permanent bond to 25% cotton paper. This is a potential problem of all non-impact printers. The problem has been noted on various brands of cotton paper and with a variety of printers. In some cases, there has been flaking on random pages, or smearing pages, or smearing of copy from pages rubbing against each other.

There are generally area copy shops familiar with UMES requirements concerning paper and copy quality. The cost of having copies done by local shops is low enough that little money can be saved by buying your own paper and doing your own copying. Professional shops are responsible for equipment malfunctions and maintain a supply of minimum 25% cotton paper and boxes for submission, so they are a good option for producing the two copies for submission. Further, local shops will often make arrangements to accept the master copy by email, make the copies, and deliver them to the Graduate School for a fee.

Forms

Doctoral dissertations must be microfilmed by University Microfilms International of Ann Arbor, Michigan. This constitutes publication and makes the dissertation available to the public. The Microfilm Agreement Form, mailed to you upon receipt of the Recommended Arrangements for Oral Examination, releases the dissertation to be microfilmed when the form is signed and returned with the two official copies of the dissertation.

Doctoral students may wish to copyright their dissertation. Doctoral candidates may complete the copyright section on the Microfilm Agreement Form and submit a cashier's check or postal money order in the amount specified on the form. University Microfilms will handle the copyright procedures. Master's degree candidates may obtain a copy of the form from the Graduate School and follow instructions on the form for registration of the copyright.

REFERENCES

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APPENDICES

Appendix A: Dissertation Approval Sheet



UNIVERSITY of MARYLAND
EASTERN SHORE

DIVISION of ACADEMIC AFFAIRS

School of Graduate Studies

DISSERTATION APPROVAL SHEET

Title of Dissertation: _____

Degree Candidate: _____

Dissertation and Abstract Approved
by Advisor: _____

Name

Department

*Signature of Advisor: _____ Date: _____

Advisory Committee:
Name: _____

Department: _____

Name: _____

Department: _____

Name: _____

Department: _____

Name: _____

Department: _____

* By his/her signature, the advisor attests that the dissertation is complete, that all changes recommended by the advisory committee members have been made, and that the dissertation is satisfactory in all technical and editorial matters.

B-5(1)

Revised 9/09

Appendix B: Report of the Proposal Defense



DIVISION of ACADEMIC AFFAIRS
School of Graduate Studies

REPORT OF THE PROPOSAL DEFENSE

Date: _____

Name of Candidate: _____ Graduate Program: _____

Student's I.D.: _____ Degree Sought: _____

Date of Oral Examination: _____

The student named above has defended the dissertation proposal. By signing below, the committee members indicate their recommendations:

	Passed	Failed	Repeat (Recommendations)	Date
Chair Committee Member: (Printed Name/Signature)				
Committee Member: (Printed Name/Signature)				
Committee Member: (Printed Name/Signature)				
Committee Member: (Printed Name/Signature)				
Committee Member: (Printed Name/Signature)				

(To be returned to the Graduate School on completion)

Appendix C: Report on Dissertation/Thesis Defense



**DIVISION of ACADEMIC AFFAIRS
School of Graduate Studies**

REPORT ON DISSERTATION/THESIS DEFENSE

Date: _____

Name of Candidate: _____ Degree Sought: _____

Student's I.D.: _____ Graduate Program: _____

Date of Oral Examination: _____

The student named above has successfully defended the thesis or dissertation. By signing below, the committee members approve the thesis or dissertation, and certify that all required corrections have been proposed.

Chair (Printed Name/ Signature): _____

Committee Members: _____ Date _____
(Printed Name/ Signature)

Representative of the Graduate Dean (Dissertation Only):
(Printed Name/ Signature)

(To be returned to the Graduate School upon completion)

Appendix D: Sample Title Page

THE IMPACT OF RACE AND GENDER ON THE FEMALE
AFRICAN AMERICAN ADMINISTRATORS ON THE LOWER
EASTERN SHORE OF MARYLAND

By

Lynnette Doane-Johnson

Dissertation submitted to the Faculty of the Graduate School of the
University of Maryland Eastern Shore in partial fulfillment
of the requirements for the degree of
Doctor of Education

April 2013

Dissertation Committee

Dr. Derry L. Stufft, Chair

Dr. Patricia Goslee

Dr. Kimetta Hairston

Dr. Michael Nugent

Dr. Daniel Seaton

Reprinted with permission from Lynnette Doane-Johnson.

Doane-Johnson, L. (2013). *The impact of race and gender on the female African American administrators on the Lower Eastern Shore of Maryland*. (Doctoral dissertation). University of Maryland Eastern Shore; Princess Anne, MD.

Appendix E: Sample Abstract

Abstract

This phenomenological qualitative study was designed to explore the impact that race and gender may have on the success of female African American administrators on the lower Eastern Shore of Maryland. The purposefully selected sample was comprised of 10 female African American administrators. The primary data collection method was in-depth interviews combined with observations. The data collected was coded and organized into themes based on a hand analysis process. These themes were then analyzed according to the research questions. Validity was achieved by using several strategies. One of the strategies was to triangulate different data sources of information by examining evidence from the sources and using it to build a coherent justification for themes. Another strategy was to use rich, thick descriptions to convey findings. The last strategy that the researcher used was to spend prolonged time in the field.

Analysis and interpretation of findings were organized by way of four categories that were based on the study's conceptual framework: (a) positive and negative experiences of the female African American administrators; (b) perceptions on experiences of inferiority, scrutiny and adversity; (c) their professional journey; and (d) support systems that help these female African American administrators be successful. The research revealed that while race and gender may have some impact on the success of the female African American administrators, there are other factors that may have an influence on these administrators' success. Family, amount of training, limited opportunities for advancement and their desire or lack of moving forward in their careers also had a conspicuous impact.

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Doane-Johnson, L. (2013). *The impact of race and gender on the female African American administrators on the Lower Eastern Shore of Maryland*. (Doctoral dissertation). University of Maryland Eastern Shore; Princess Anne, MD.

Appendix F: Sample References

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MD.

