



THE GRADUATE SCHOOL

**GUIDE TO THE
PREPARATION OF
THESES AND DISSERTATIONS**

**THIS GUIDE SUPERCEDES ALL PREVIOUS MANUALS
or EDITIONS**

2009-2010

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CHAPTER 1

Introduction and General Information

Purpose of the Guide

This Guide is intended to be used by graduate students in degree programs which require a thesis or dissertation. Graduate degree programs with the non-thesis option or professional doctorate have their own formats for the master's project, the research project and the seminar paper.

An original of each approved thesis and dissertation is bound and placed in the campus library. Since theses and dissertations become part of the library's general collection of printed materials, they must be stylistically correct and professional in appearance. Following a prescribed format for presentation of one's work is also useful if the thesis or dissertation is adapted for subsequent publication in a scholarly or professional journal.

Faculty advisors, committee members and the Graduate School office will all assist students in bringing their thesis or dissertation to fruition. **It is important for students to be aware that theses and dissertations which do not comply with the standards specified in this Guide, or with advisor/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 thesis or dissertation, e.g., the style for treatment of footnotes, references, presentation and organization of data and so forth. Please refer to the accepted style manual for your field of study.

This chapter will be concerned with administrative matters such as registration for thesis or dissertation credit, the forms that will be needed to be processed and when, deadline dates and other topics. This Guide does not supercede the requirements of the Graduate School or the graduate programs for the completion of graduate degrees. These are contained in the Graduate Catalog and related releases of the Graduate School and the individual graduate programs.

“Thesis” or “Dissertation”?

For convenience, in this Guide, “thesis” and “dissertation” will be described together, using the word “thesis” to represent both, except where requirements pertain only to dissertations. In these instances, the word “dissertation” will be used. In general, requirements that apply to master's theses also pertain to doctoral dissertations.

Requirements for All Students Submitting Theses or Dissertations

Registration for Credit

Thesis students must register for at least one credit in the semester or session in which they expect to complete the thesis (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. The credit is satisfied by registering for thesis or dissertation research credit (799, 899). International students are reminded that they must register for a sufficient number of credits to continue to satisfy their visa requirements (consult the F-1 visa specialist in the office of Admissions and Registration on F-1 visa requirements).

The Forms

Each master's degree candidate is required to complete or have completed on his/her behalf the following forms (responsible person(s) indicated in parenthesis):

- a. Application for Degree and pay graduation fee (student);
- b. Nomination of Examining Committee (student's advisor and graduate dean's appointment of the Committee);
- c. Approval of Campus Institutional Review Board/Committee if theses research involved human subjects, vertebrate animals, or biohazards (student and advisor);
- d. Report of Examining Committee (committee chair);
- e. Thesis Signature Approval Sheet (thesis advisor);
- f. Certification of Completion of Master's Degree (student's advisor);
- g. UMI Thesis Agreement and Copyright Application (student) (optional).

Each doctoral degree candidate is required to complete or have completed on his/her behalf the following forms (responsible person(s) indicated in parenthesis):

- a. Application for Admission to Candidacy for the Degree, Doctor of _____(student);
- b. Application for Degree and pay graduation fee (student);
- c. Nomination of Examining Committee (student's advisor and graduate dean's appointment of the Committee);
- d. Approval of Campus Institutional Review Board/Committee if dissertation research involved human subjects, vertebrate animals, or biohazards (student and advisor);
- e. Report of Examining Committee (committee chair);
- f. Dissertation Signature Approval Sheet (dissertation advisor);
- g. Certification of Completion of Doctoral Degree (student's advisor);
- h. NRC Survey of Earned Doctorates (students);
- i. UMI Dissertation Agreement and Copyright Application (student).

The prime responsibility or initiator of action on each form is given in the parentheses above. Some forms are explained in the subsections below. Consult the

Graduate School office and your program advisor if questions arise about the completion of or the applicability of forms, as well as their availability. Also check the Graduate College website for forms.

The Deadlines for Submission of Forms and the Thesis or Dissertation

All forms must be completed and returned to the appropriate offices by the applicable deadlines. Information concerning deadlines may be obtained from the Office of Admissions and Registration, e.g., Commencement, and from the UMES Graduate School for semester deadlines for each Commencement. Remember, the exact dates for submission of materials vary from year-to-year. Failure to meet the deadlines, will result in postponement of graduation.

Application for Degree

The form is available from the office of Admissions and Registration to be completed and submitted by a given date in the fall or the spring semester. Candidates should submit the form the semester of anticipated graduation. Students must resubmit

If the student has filed an Application for Degree in one semester and fails to graduate by the end of that semester, the student must submit another application in the subsequent semester of graduation. The **graduation fee** of \$35.00 is required only once.

Nomination of Thesis/Dissertation Examining Committee Form

Students are advised to refer to the deadline dates given in the Graduate School's biannual Graduate Schedule of Classes (print or web versions). The deadline dates pertain to dates if the student expects to march in the fall (December) or spring (May) Commencement, e.g., the date for the thesis or dissertation distribution to the Examining Committee members, for the thesis or dissertation defense and submission of the final approved thesis or dissertation.

Human Subject, Animals, and Biohazards Review of Research

If your research involves human subjects, vertebrate animals or biohazards, a copy of the campus committee approval form should be submitted with the Nomination of Examining Committee Form. For specifics, refer to the Research Assurances subsection of the Graduate Catalog and Chapter 2 of the Guide. Research assurance approvals are coordinated on campus by the Office of Research and Sponsored Programs.

Final Submission of Theses/Dissertations

In order to participate in Commencement activities, final, corrected versions of theses and dissertations are usually due in the UMES Graduate School no later than two weeks prior to the last day of classes in the semester.

Certification of Completion of Master's or 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 and internships (as applicable), the thesis or dissertation, its defense and acceptance by the Committee and Graduate School, 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 located in the office of Admissions and Registration.

The Graduate Dean reviews with 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) grade has been removed, and there are no missing credits.**

Doctoral Candidacy

Doctoral students are advised that they must have been advanced to doctoral candidacy at least two semesters prior to the defense of the dissertation.

NRC Survey of Earned Doctorates

This national survey form, for those to receive the doctorate, is available each year in the Graduate School office. It is to be completed by the student and returned to the Graduate School office no later than the date of the December or May Commencement.

UMI Agreement Form

This form is for microfilming, micropublishing or obtaining additional copies of your thesis or dissertation, copyrighting your manuscript and other features of micropublishing. The agreement is between the student and University Microfilms International (UMI), a private company. The UMI booklet is available in the Graduate office and is distributed to each student submitting a dissertation.

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 and parking fines can create delays.

Word Processing

The thesis and/or dissertation must be prepared on a word-processor. The special characters and formatting features needed in a thesis are found in most standard software packages, such as Word Perfect and Microsoft Word. Word processing applications contain document templates or formatting aids to get started in document design and retrieval. Note that as a campus, UMES utilizes Microsoft products, such as Word, Outlook, Publisher, Power Point, Access and Excel.

Many academic departments have computer laboratory facilities available for student use, and Waters Hall offers computer laboratories, plus a quiet place to study and work. If you are not skilled in word processing techniques, have at least the final version of the thesis for the oral examination prepared by an experienced word processor (typist). The Graduate School does not approve or recommend typists. The Graduate School does not set deadlines for preliminary (rough) drafts of the thesis or dissertation to be reviewed by the student's advisor (and committee). It is expected that students and their advisors will set the timetable for preparing the thesis manuscript for the committee's review, the final oral examination/defense, and the final approved version.

The Student as Author

It is important for students undertaking the task of writing a thesis or dissertation to understand their role as author and producer of their work or study. In addition to the technical content of the thesis, the use of the proper style and format, grammatical accuracy, the editing and proofreading of the document are all the ultimate responsibility of you, the author. **The thesis/dissertation advisor and the committee members act as mentors and general editors in the process.**

The Graduate School has placed copies of *Thesis News* in the Frederick Douglass Library. *Thesis News* includes helpful hints and information on thesis writing and production regardless of discipline or program. Prior to 1996, there were two quarterly releases, *Thesis News* and *Dissertation News*, serving the two audiences. After 1996, *Thesis News* incorporated information in one publication for both thesis and dissertation writers.

CHAPTER 2

The Essentials

Introduction

Chapter 2 is concerned with an overview of format and style, ethical considerations in the use of source material and research data, and definitions of the different parts of the thesis/dissertation.

Format, Style, and Language

Format

This Guide is designed to be a basic source of information for thesis/dissertation preparation and approval of the final physical document, not of the thesis content itself. The Guide sets the technical parameters of the final physical document or “shell” within which all students should work, such as quality of paper, number of copies to be submitted, margins, and sequence of pages within the manuscript.

Since a number of graduate students publish during and after their graduate education, the graduate programs expose students to leading professional publications to help them understand *specific* formatting conventions. Students are encouraged to use publications within their field (journals and textbooks) to (1) assist them in knowing heading format, bibliographic form, use of numbers, presentation of data and other conventions that are discipline oriented, and (2) understand the various elements of a manuscript and general publication formatting requirements in academic publishing.

However, although knowledge and use of publication formatting is valuable, the prevailing format regulations established by this Guide always take precedence in the preparation of the thesis. This is to ensure a consistency in format and appearance among theses as a subset of academic publishing and acceptable printed material libraries.

Style

Style handbooks, such as the MLA Handbook for Writers of Research Papers, The Publication Manual of the American Psychological Association, [Turabian’s] A Manual for Writers of Term Papers, Theses, and Dissertations, American Sociological Association Style guide, and/or The Chicago Manual of Style, are general resources for basic style and grammar. Others are listed in the Bibliography. If your graduate program does not specify a certain style manual, use a general style manual, such as the Turabian or Chicago manual. **Only one style is acceptable. You may not mix and match procedures in style manuals.** While previously accepted theses and dissertations may be viewed for applications of a particular style or usage, they should never be used as the style guide. Examples taken from other theses may be out of context or employ outdated usage.

Students who are using a typist 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 which 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.

Language

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

Brief text, e.g., a sentence or paragraph, may be quoted or referenced in another language as long as the translation in English immediately follows. Foreign quoted material should be used sparingly, and only as directly pertinent to the technical content of the thesis. The thesis advisor 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 English (see Appendix sample).

Academic Honesty and Ethical Considerations

Since conferral of a graduate degree implies personal integrity and knowledge of scholarly methods, there are four areas in which graduate students should be particularly cautious: (1) proper acknowledgement of cited works, (2) the use of copyrighted material, (3) the proper conduct and reporting of work, and (4) where research compliance is required. Each area involves academic honesty and ethical considerations in research.

Webster's II New College Dictionary (1995) defines plagiarism as stealing and using "[the ideas or writings of another] as one's own;" taking "passages or ideas from another and using them as one's own." Any material taken from another source must be documented, and in no case should one present another person's work as one's own. Plagiarism will be investigated when suspected and can be prosecuted if established.

If copyrighted material is used in a limited way, permission to quote is usually not necessary. If, however, extensive material from a copyrighted work is to be used such that the rights of the copyright owner might be violated, permission of the owner must be obtained and is usually granted. In determining the extent of a written work that may be quoted without permission, the student should consider the proportion of the material to be quoted in relation to the substance of the entire work. According to *The Chicago Manual of Style* (1982), "A few lines from a sonnet, for instance, form a greater proportion of the work than do a few lines from a novel. Use of anything in its entirety is hardly ever acceptable" (p.124, section 4.47); e.g., a complete letter, table, chart, map and so forth. In no case should a standardized test or similar material be copied and included in a thesis/dissertation without written permission.

According to “Circular 21: Reproduction of Copyrighted Works by Educators and Librarians,” the following shall be prohibited: “There shall be no copying of or from works intended to be ‘consumable’ in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets, and like consumable material” (p.11).

The publisher usually has the authority to grant permission to quote excerpts from the copyrighted work or can refer requests to the copyright owner or designated representative. The copyright owner may charge for permission to quote. Permission should be credited on the acknowledgements page, and the source should appear in the List of References or Bibliography.

The professional library staff can assist students with questions about what constitutes fair use in copying and other copyright concerns, including the electronic medium (Internet). Misuse of copyright material, like plagiarism, is subject to litigation.

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 graduate students and to the conduct of their research, i.e., to verify that they have complied with the appropriate approval procedure(s) prior to the initiation of the thesis or dissertation-related research, if approval is relevant to the research.

All thesis and dissertation research must be conducted in accordance with Board of Regents and University System of Maryland policies. For research involving human subjects, vertebrate animals, or biohazards, graduate students should seek information and guidance from the campus Office of Research and Sponsored Programs. UMES has established review boards/committees to review the aforementioned types of research protocols for compliance with established standards and regulations, including those established by federal agencies. Graduate students may seek guidance from the Sponsored Programs office or the Graduate Dean on scholarly misconduct policies and issues, which include plagiarism, improper credit citations, fabrications, falsification or manipulation of a study, sources and data, among other infractions.

In short, properly credit the ideas of others, take responsibility for the accuracy and quality of your research/scholarship, and be aware of intellectual property and compliance policies and concerns.

The goal of the UMES Graduate School, as well as the student’s thesis or dissertation committee members, is to ensure that a manuscript has been produced that will reflect positively on the student, the student’s committee, the department/school, and the campus.

Definitions

Type Face or Font

These terms apply to all the features available within a “type” family. For many printers, typeface includes bold, italic, and the various sizes of any named type (Helvetica, Times Roman, New York, Geneva, etc.). Typeface includes any features available for a named type (Courier, Prestige Elite, Letter Gothic, etc.).

Text or Body

In the discussion of formatting, text is used as a generic term to designate the main body of the thesis/dissertation and to distinguish this element from preliminary pages (or front matter), references, tables, figures, and appendices.

Preliminary Pages

Sometimes called “front matter,” these pages serve as a guide to the contents and nature of the manuscript (*Chicago Manual of Style*, p. 21). They include the signature approval sheet, the abstract and title pages, the dedication, acknowledgement and preface pages, the table of contents and any of the list pages, such as list of tables, list of figures, and so forth.

Table

A table consists of numbers, words, or both, and presents information or data that is separated into columns and rows. Tabular information allows the author to convey precise information to a reader categorically and in a structured format.

Figure

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

Appendix

An appendix is generally a “catch-all” for supplementary material to the thesis/dissertation. In some cases, tables and/or figures are placed in an appendix to avoid interrupting the flow of the text, such as when tables and/or figures are numerous or consist of multiple continuation pages.

CHAPTER 3

Thesis/Dissertation Elements and Style

Preliminary Pages

Figure 1 shows the sequence and numbering or pagination order of the various thesis/dissertation parts or elements which must be followed. Samples of all preliminary pages are found in the appendix. Not all theses will include every element. Figure 1 shows which pages are required and which are optional.

Page Number Placement

The page number may be centered at the bottom center of the page or placed in the top right corner. Numbers must be placed consistently throughout. The only exception for the top right corner option will be placing the page number at the bottom center of the page with the beginning of the new chapter.

Numbers may be ½ inch to 1 inch from the top or bottom edge of the paper. If numbers are at the top right, a full inch of margin must be maintained to the right of the numbers. At least two blank lines (one double-space) must appear between the text and the page number. Word processing software generally sets these defaults correctly and automatically.

Approval Sheet

The Thesis and Dissertation Signature Approval Sheet, as part of the preliminary pages, confirm acceptance of the manuscript by the committee members acting on behalf of the graduate faculty.

Each of the two official copies of the final approved thesis/dissertation submitted to the Graduate School, and all additional/required copies for the program, must have a signature approval sheet. The name used on the approval sheet and on the title page must be that under which the student was admitted/is registered at UMES. One original approval sheet must have the original committee signatures. Black ink is recommended for the original signatures. The approval sheet is not numbered, nor counted in the numbering sequence.

Abstract

Each thesis/dissertation submitted to the graduate school must have an abstract, i.e., a synopsis of the study intended for those who may not wish to read the full text. Although the content of the abstract is determined by the student and graduate 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.

Abstracts for master's theses must be no longer than 250 words in the body. Abstracts for doctoral dissertations must not exceed 350 words (2450 characters or approximately 35 lines). The abstract page is neither numbered nor counted in the numbering sequence.

| <i>Thesis/ Dissertation Parts or Elements</i> | <i>Page Assignment</i> |
|--|---|
| Signature Approval Sheet (follows a blank front page) | No page number assigned |
| Abstract | |
| Title page | Small Roman numeral (assigned, not typed) |
| | |
| *Blank or Copyright page | Small Roman numeral (typed) beginning with ii on the first applicable page in this section |
| *Dedication page | |
| *Acknowledgements | |
| *Preface or Foreword | |
| Table of Contents | |
| List of Tables (if 1 or more) | |
| List of Figures (if 1 or more) | |
| List of Plates (if plates are used) | |
| List of Symbols and/or Abbreviations and/or Glossary (if needed; these may be included as an appendix) | |
| Separation sheet | |
| | |
| Body of thesis (divided into chapters) | Arabic numerals, starting with 1 on the first page of text and continuing throughout all applicable sections excluding the vita |
| Bibliography or List of References | |
| Separation sheet (if an appendix or appendices follow) | |
| *Appendix | |
| *Index | |
| *Vita | |
| | |
| Parts preceded by an asterisk are optional; all others are required. | |

Figure 1. Example of arrangement of thesis/dissertation parts or elements.

Title Page

This page is assigned roman numeral “i,” although the number does not appear on the page (see Figure 1 for details of numbering and sequencing of manuscript). The date used is the expected year of commencement. The student’s name must appear as he/she was admitted or is currently registered at UMES. The wording and format must be exactly as shown on the sample in the appendix, including the standard degree statement. Be certain the thesis title is exactly the same as it is on the abstract page.

Blank or Copyright Page

This page is included only if the manuscript is being formally copyrighted; otherwise, insert a blank page. Additional information about copyrighting may be found on page 37. The name on the copyright page should match the name on the title and abstract pages.

Dedication Page

If the student wishes to dedicate the manuscript, the dedication statement is included.

Acknowledgements

This page is to thank those who have helped in the process of obtaining the graduate degree. Permissions to quote copyrighted material are listed here, as well as acknowledgements for grants and special funding.

Preface or Foreword

A personal statement about the thesis project would be in a preface. The tone of a preface, however, must be academic and appropriate to a scholarly work. A foreword includes a statement about the work by someone other than the principal author.

Table of Contents

The Table of Contents may vary in style and amount of information included. Chapter or Section titles, the Bibliography or List of References, and the Appendix (es), Index, and/or Vita, if any, must be included. Although it is not necessary to include all levels of headings, inclusion must be consistent. If a particular level (read sub-level) is included at any point, **all** headings of the level (or sub-level) **must** be included. This applies to the numbering system in the text; e.g., if subheadings in a chapter are numbered 1.1, 1.2, etc., then the same numbering system must be used in the Table of Contents. Again, consistency is important, in addition to a reader readily finding the information in the text.

The only preliminary pages with Roman numerals included in the Table of Contents are the List of Tables, Figures, etc.

In the Table of Contents, you may single space text for the chapter subheadings, but be certain to double space text between the chapters or major sections.

List of Tables/List of Figures/List of Plates

If there are one or more tables or figures, a List of Tables and/or Figures must be included. Because plates are sometimes not part of the bound manuscript, a List of Plates must always be included if subject matter pertaining to plates is part of the work. There must be separate lists for tables, figures, and 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 illustrations must be numbered consecutively (e.g., Table or Figure 1, 2, etc.).

List of Symbols/List of Abbreviations/Nomenclature (Glossary)

The title of this material should reflect its content and may be included to define specialized terms, symbols or definitions. This information may also be placed in an appendix.

Text

For the purposes of this discussion, “text” is used as a generic term to refer to the main body of the thesis/dissertation. Samples of thesis/dissertation parts or elements may be found in the appendix. The body or text is always double-spaced.

Divisions

The manuscript must be divided into a logical scheme that is followed consistently throughout the work. *Chapters are the most common major divisions*, but sections and parts are also permissible subdivisions. Examples of these formats are shown in Figure 2.

Each chapter must be numbered consecutively and begin on a new page, with the chapter heading at the top of each page (three inches from the top of the page and usually typed in a font 2 or 3 points larger than the base font). A division entitled **INTRODUCTION** may be the first numbered chapter or section, or may precede the first numbered chapter or section. Chapter or section titles are primary divisions of the entire manuscript and are not part of the subdivision scheme.

A. Division Into Chapters

CHAPTER 1

GROWTH DYNAMICS OF TUMOR CELLS IN VITRO
AND IN VIVO

Chapter numbers can be expressed as Roman or Arabic numerals. Note the extra spacing between chapter number, chapter title and beginning of text. This space provides a visual “roadmap” for readers, telling them that a major division has just occurred.

B. Division Into Sections

1. GROWTH DYNAMICS OF TUMOR CELLS IN VITRO
AND IN VIVO

Sections can be expressed either in Roman or Arabic numerals. Note the extra spacing between designation and text, showing readers that a major break has occurred.

Figure 2. An example showing differences between chapter and section formats.

Subdivisions

Any logical system of subdivision within chapters or sections is permissible, but the scheme must be consistent throughout the manuscript. The appearance of the heading must vary for each level of subdivision unless a numbering system is used to indicate level. The subdivisions within a chapter or section do not begin on a new page unless the preceding page is filled. If there is not room for the complete heading and at least two lines of text at the bottom of a page, the new subdivision should begin on the next page. Running headers/footers (i.e., repeating a name, title, chapter or other identifying label at the top or bottom of each page) are also unacceptable. Most word processing software can be set to avoid “widows” (ending a sentence or a single word at the top of the next page) and “orphans” (headings or subheadings appearing at the bottom of the page with the text starting on the following page).

First and second level subdivisions are always preceded by extra space to indicate to the reader a major shift in subject. According to the *Chicago Manual of Style* (1982), “the subhead and its white space...equal two lines of text” (p. 570). This can be accomplished by the use of two “enters” in most word processing software packages. Any levels of subdivision below the first two are not required to have extra space above, but must be treated consistently.

References within Text

Notes documenting the text and corresponding to superscripted numbers in the text are called footnotes when they are printed at the bottom of the page (*Chicago Manual of Style*, p. 405). This format is only used occasionally and has generally been replaced by references. References usually consist of information in parentheses or square brackets within text. Two common methods of referencing are (1) to use author’s name and date of publication, as in (Smith, 1990), or (2) to assign numbers to the bibliographical entries and insert the corresponding number for the authors as they are cited in the text, as in Smith (95). The purpose of references is to guide the reader to the corresponding entry in the List of References or Bibliography, where complete information is available. Footnotes or reference notes collected at the end of each chapter or section (endnotes) are not acceptable. In microfilm or other electronic format, large numbers of pages are reproduced on a single sheet of film, making endnotes difficult for the reader to locate. The form, style, and contents of footnotes or reference notes should be determined by what is generally accepted in the field of study, using a professional journal or style manual. Note that the format selected for references must be used consistently throughout the text.

Most of the popular word processing applications have a footnote feature that provides automatic formatting and placement of footnotes at the bottom of the page. For disciplines using that convention, the formatting provided by the software application would be acceptable so long as the required margins, spacing, and the font you have chosen for the text are maintained throughout the text.

Tables, Figures, and Illustrations

General Information on Placement

Tables and figures (see Definitions, Chapter 2, p.9) are non-textual elements sometimes referred to as illustrations. They must conform to the minimum margin formats. If they are larger, then photographic reduction can provide the appropriate size. The page numbers and identifying captions for the illustrations should not be reduced, but kept in the standard font and size established. All illustrations must be identified by captions on the same page, where possible.

Titles

Since tables and figures are separate entities, they must be numbered independently. Each table or figure must have a unique title descriptive of its contents. This title appears at the *top of the table* and at the *bottom of the figure*. Titles should be short, but descriptive enough to indicate the nature of the data and to differentiate the titles and figures from one another. Figures containing parts must be given a general title, after which the figure may be broken down into “A” and “B” parts. For multiple-part figures, the title may be integrated, with titles for each part, as part of the general figure title (see appendix), or composite, with no reference to the individual parts (see appendix). No two figures may have exactly the same title. The formatting of the titles must be consistent for all tables and figures.

Numbering

Tables and figures may be numbered in one of several ways. Three of the most common numbering schemes are (1) to number consecutively throughout the manuscript, including the appendix, using either Roman or Arabic numerals; (2) to number consecutively within chapters or sections, with a prefix designating the chapter/section (e.g., 3-1, 3-2...4-1, 4-2); or (3) to establish a consecutive numbering system for the body of the manuscript and a different one for the appendix (e.g., 1, 2, 3 for text and A-1, A-2, A-3 for appendix). Appendix tables or figures would use a prefix of A for Appendix or a prefix designating the specific appendix (e.g., A-1, A-2 or A-1, B-1, B-2). The style of numbering must be consistent.

Placement within the Body of the Manuscript

Each table or figure must immediately follow the page on which it is first mentioned (except as noted in the next paragraph), and all tables and figures must be referred to by number, not by expressions such as “the following table/figure.” When more than one table or figure is introduced on a page of text, each follows in the order mentioned. It is recommended that tables and figures 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 filled with text and in no case should a page be left significantly short because of the mention of a table or figure.

A table or figure less than one-half page in length (approximately 4 inches) 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 separated from the text by extra space (approximately ½ inch);
- The table is not continued onto a following page;

It is suggested that if tables and figures are integrated with text—and the size of the table or figure with caption may dictate this—they be placed so that they appear either at the top or the bottom of the page. A mention on the upper half of a page of text would mean that the bottom half of the page would be reserved for the table or figure, and a mention in the bottom half of the page would place the table or figure at the top of the next page of the document and no more than one-half page of table or figure. There should always be a balance of no less than one-half page of text and no more than one-half page of table or figure.

If multiple tables or figures are mentioned together on a page, they may be placed on pages together, provided there is approximately ½ inch between each and if their size allows this placement.

Note: It is not necessary to designate as figures small diagrams within the text, or to designate as formal tables compilations which are no more than a few lines in length.

Placement of Tables and Figures in the Appendix

When all tables and/or figures are in an appendix, this fact is stated in a footnote in the body of the text attached to the first mention of a table or figure and is not repeated thereafter. 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 1, Appendix A), unless the numbering scheme makes the location obvious (Table A-1).

Horizontal Tables and Figures

To accommodate large tables or figures, it is sometimes necessary to place them in horizontal orientation on the page. The margin at the binding or left edge must still be 1 ½ inches, and all other margins at least 1 inch. The margin at the top of the page and placement of the page number must be consistent with the rest of the thesis. The table or figure and its caption will be read when the thesis is turned 90 degrees clockwise.

Foldout Pages

Large tables and figures should be reduced to fit an 8 ½ x 11 inch page, if possible. If not, material on approved paper larger than 8 ½ x 11 inches may be included in the thesis, provided the page itself is 11 inches vertically and is folded properly. The fold on the right side must be at least ½ inch from the edge of the paper. The second fold, on the left side, if needed, must be at least 1 ½ inches from the binding edge of the

paper. The finished page, folded, should measure 8 ½ x 11 inches. If the page is to be bound into the thesis or dissertation, the paper submitted to the graduate school and the program for the official copies must be the same brand 100% cotton as the rest of the manuscript.

Caution should be observed in using foldout pages since fold lines over time and usage may eventually break and the information in them may be lost. They also present problems in microfilming and in preparing the manuscript for publication.

Material in Pockets

If it is necessary to include a large map, drawing, computer disk, audio or videotape, film, slides or any other material which cannot be bound, these materials should be itemized in a List of Plates and indicated as being “In Pocket.” A label giving the plate number, full thesis title, student’s full name, and year and name of degree is affixed to the folded plate. A pocket for the plate will be attached to the inside back cover of the hardbound copies at the bindery.

It is also permissible to include less bulky material such as a survey instrument or pamphlets in a pocket attached to a sheet of approved paper with permanent cement. This material must be treated as a figure, mentioned in the text, and given a number and caption. *Caution should be observed in using pockets since the material in them is easily lost.*

To ensure longevity, these non-text items should be produced on the highest quality equipment and materials available.

Hand Drawn Figures

If figures or portions thereof, including symbols, must be hand drawn, they must be in indelible black ink or drawn and photocopied to provide clear and legible (non-spotted) copies.

Tables

Typeface

Since tables are typeset rather than photographed or copied from artwork (*Publication Manual of the APA*, p. 94), the base typeface used for the manuscript must be used for tables. The size of the type may differ, depending on the “fit” of the information within the margins. Because of the type requirements for tables, it is seldom possible to use a table from another source “as is.”

Required Components

Since tables consist of tabulated material or columns, the use of ruling or lines in tables helps the reader distinguish the various parts of the table. One of the characteristics that identifies tabulated material as a table is the presence of at least the following three lines:

- a. The table opening line, which appears after the table title and before the columnar headings;
- b. The columnar heading closing line, which closes off the headings from the main body of the table;
- c. The table closing line, signaling that the data are complete. Anything appearing below the closing line is footnote material. (See figure 3.)

Vertical lines are accepted but not required.

Tables must have at least two columns which carry headings at the top giving brief indications of the material in the columns (*Chicago Manual of Style*, p. 329). 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 (*Chicago Manual of Style*, p. 330) (see example in Figure 3).

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 is not repeated, but continuation pages are indicated with the designation: Table___ (continued). Tables too large to fit within margins may be reduced (see Chapter 6 for hints on technical production).

Table Footnotes

Footnotes to tables consist of four different categories: (1) source notes, (2) general notes, (3) notes to specific parts of the table indicated by superscripts, and (4) notes on level of probability (Turabian, p. 367).

If the table data within the table are taken from another source, the word *Source(s)*: is used, followed by the full reference citation, regardless of the format for referencing used in the main body of the text. This ensures that if a specific page is copied in the future by an interested reader, all bibliographic information is contained within the page. All references must be included in the List of References or Bibliography.

General notes are introduced as *Note(s)*: and may include remarks that refer to the table as a whole.

Notes to specific parts of the table use superscripts (letters for tables consisting of numbers; numerals for tables consisting of words; symbols if letters or numbers might be mistaken for exponents) that are attached to the part of the table to which they apply.

If a table contains values for which levels of probability are given, asterisks are used by convention. A single asterisk is used for the lowest level of probability, two for the next higher, etc. (*Chicago Manual of Style*, p. 335).

This table shows the tabular opening line (A), the columnar closing line (B), and the tabular closing line (C) (see p.18). Also illustrated are the continuation of the table to another page and the use of a generic columnar heading (Demographic Category) with internal subheadings indicating the specific groups within categories.

Table 4. Number and Percentage of Sampled Subjects in Each Demographic Category

| Demographic Category | N | Percentage |
|--------------------------------|-----|------------|
| ASex | | |
| Male | 139 | 44.3 |
| Female | 175 | 55.7 |
| Age | | |
| 18 - 29 | 252 | 79.2 |
| 30 - 44 | 62 | 19.5 |
| 45 - 64 | 2 | 0.6 |
| 65 - 74 | 0 | 0.0 |
| Race | | |
| Black | 17 | 5.3 |
| White | 291 | 91.5 |
| Other | 10 | 3.1 |
| Education (highest level) | | |
| Less than a high school degree | 1 | 0.3 |
| High school degree | 102 | 32.1 |
| More than a high school degree | 142 | 44.7 |
| degree | | |
| Two year degree | 20 | 6.3 |
| Four year degree | 31 | 9.7 |
| Some graduate school | 11 | 3.5 |
| Master's or doctoral degree | 11 | 3.5 |

Figure 3. Sample table. Source: Gary Paul Lankford, “Processes and Stages of Personal Health Behavior Changes.” Doctoral Dissertation in Education, the University of Tennessee, Knoxville, December 1991, p. 31.

| Table 4 (continued) | | |
|-----------------------------|-----|------------|
| Demographic Category | N | Percentage |
| Annual Income | | |
| Less than \$7,000 a year | 36 | 10.9 |
| \$7,000 to 14,999 a year | 182 | 58.1 |
| \$15,000 to 24,999 a year | 72 | 23.0 |
| \$25,000 to \$39,999 a year | 15 | 4.8 |
| \$40,000+ a year | 7 | 2.2 |

Figure 3. Sample table (continued). Source: Lankford, December 1991, p.31

Figures

Typeface

Since figures are considered illustrations, regardless of the nature of their content, any print that is part of the figure can be in any typeface, provided it is neat and legible. The figure title (or caption) and page number must be in the same base typeface as the rest of the manuscript because this material is considered to be part of the typeset body of the manuscript.

Legends

Explanatory material for figures may be placed within the figure, either above or below the title, or continued after the period following the title. If a figure has a long legend which must be placed on a separate sheet because of the size of the figure, this page must be placed immediately before the figure. The page number assigned to the legend page is considered to be the first page of the figure. The figure title would appear on the legend page, together with the legend information. Legend pages are used only as needed.

Continued Figures

A figure containing several related parts too large to be included on a page may be continued onto other pages. The first page contains the figure number and complete title, and subsequent pages contain the remainder of the figure and the designation: Figure ___ (continued).

Figure Footnotes

Footnotes are placed below the figure title but are not separated by a dividing line. If the figure or information within the figure is taken from another source, the word *Source(s):* is used, followed by the full reference citation, regardless of the format for referencing used in the main body of the text. This ensures that if that specific page is copied in the future by an interested reader, all bibliographic information is contained within the page. If changes are made in a figure from another source, this is indicated by using the phrase “Adapted from...”

General notes are introduced as *Note(s):* and may include remarks that refer to the figure as a whole.

All references must be included in the Bibliography or List of References.

Plates

Plates are a special category consisting of pages of related figures, multiple photographs or material that cannot be bound into the manuscript in the normal binding process. Following are the most frequently used methods of including plates:

- Printed as full-page 8 ½ x 11 inch photographs on double-weight glossy paper (with a maximum image area of 6 x 9 inches) preceded by a legend page (see Figures, p.22);
- Affixed to the required paper with a permanent spray mount adhesive (not glue, tape, corner tabs, rubber cement, & the like);
- Copied on archival-quality paper (not necessarily the required paper) to be placed in a pocket attached to the inside back cover of the manuscript at the bindery.

There are several cautions that students should be aware of when using plates. High resolution, color reproduction of plates and photographs is not only possible with modern photocopying technology but cost effective, but reproduction of copies and microfilming will be entirely in black and white. In general, it is best to photocopy original photographs onto the acid free paper, because over time all acceptable mounting techniques have a limitation of paper shrinkage, wrinkling, print fade, and separation.

Illustrations that are never acceptable are those printed on both sides of the pages or on or copied from colored paper, including shades of white.

Non-Standard Material (Electronic Media)

Modern technology allows students and their advisors/committees to be creative. As approved by the advisor and committee, video and audiotapes, films or slides, and computer and compact disks are acceptable under the element of plates. These technological devices are always a subpart of the thesis division, not a substitute for the body, i.e., they cannot stand alone. The technological devices must be specified as such in the list of plates, in the appendix (if placed there), and explained in the body of the text.

If used, these devices must be produced on the highest quality equipment and materials available to assure longevity, and provided in sufficient copies as required by the Graduate School and the graduate program.

The devices follow the placement and labeling requirements given in the subsection of this chapter on “Material in Pockets” (p.18).

Plates must be mentioned in the text by appropriate consecutive numbers (if more than one). The plate pages then follow the first mention. Since plates may be composed of multiple figures or parts, all parts of each plate may be discussed in any manner the writer desires without further reference once the plate is mentioned.

Bibliography/List of References

A thesis/dissertation must include a list of materials used in the preparation of the manuscript. This may consist only of references cited in the text (List of References) or it may include works consulted as well (Bibliography). The list is preceded by a numbered page with the title—Bibliography or List of References—centered vertically and horizontally. The purpose of listing the citations is threefold: (1) to serve as an acknowledgement of sources, (2) to give readers sufficient information to locate the volume, and (3) in the case of personal interviews or

correspondence, to save readers the trouble of attempting to locate material that is not available. **The format for the citations should be that used in the field of study or discipline.**

Appendix

An appendix (appendixes or appendices), if included, is preceded by a numbered page with the designation (i.e., APPENDIX, APPENDICES) centered vertically and horizontally between the margins. Original data and supplementary material are usually placed in the appendix. 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 considerable continuation pages per table or figure.

Supplementary materials photocopied from other sources (refer to copyright and permission discussion in Chapter 2, pp.7-8) are subject to the same requirements for margins, page numbering, etc. as the text. Photocopied material must be clean and legible, with no residual shadows from page edges, lines, or spots. Copies from colored originals must not have a gray or “dirty” background.

Index

An index identifies material to be quickly located in the text or any element of the thesis by key words or phrases and the corresponding page number(s). See the index of this Guide.

Vita

The curriculum vita (CV) is written in narrative form and contains appropriate personal, academic and professional information about the author. Since copies of the manuscript can be available to the public, private information should not be included. It is the last item in the manuscript, appears with no preceding separation page and is unnumbered. The vita, whether or not already printed, must have the same page layout as the rest of the text, including margins.

CHAPTER 4

Formatting

Word Processing Manuscripts

Laser printers provide the opportunity to use different type sizes and special effects, such as bold and italics. Although most laser printers also have some typewriter styles available as options, the sizes of type on a laser printer are often measured in points rather than pitch. Unlike a typewriter, where 12-pitch (12 spaces = 1 inch) type is smaller than 10-pitch (10 spaces = 1 inch), the size of type increases as the number increases with points. Text is normally most readable in 10- or 12-point, so these sizes are highly recommended. Other sizes may be used for emphasis or as a technique. Figure 4 shows a sample page using various point sizes and special effects.

The secret to using typesetting techniques is to establish styles or conventions that will be followed consistently throughout the manuscript. If the decision is made to set all single-spaced quotes in italics or in a smaller type than that used for the regular text, that convention should be followed for all single-spaced quotes. Underline, bold, or italics features may be used in the preliminary pages when a foreign word or botanical term is part of the thesis/dissertation title or a subsection of the Table of Contents, in the Table or Figure, etc.

The font selected for text will be the base style or the “starting point” for all type selection and will establish the framework for the entire manuscript. All the following items must be in the family selected as the “base” style:

- Preliminary pages;
- Text;
- Tables, captions, references, etc.;
- Figures titles--the **labeling** of figures parts may be in a different typeface;
- Page numbers, including appendix page numbers.

Only a script font is unacceptable as the base style. Chapter headings may be two or three points larger than the base typeface, or the same size as the text.

CHAPTER 2

Material and Methods

Introduction

Ten major steps were involved in finding RFLPs among *Cornus* genotypes. These steps are shown in Figure 2.1

Plant Material

Cornus tissue (newly emerging succulent leaves, older fully expanded leaves, floral bract tissue, and floral buds) was collected from different species and from different cultivars of *C. Florida* from several locations. The primary *Cornus* genotypes used in this study were *C. mas*, *C. amomum*, *C. sericea*, *C. kousa*, and the *C. Florida* cultivars 'Barton,' 'Cherokee Princess,' 'Cloud Nine,' and 'Mary Ellen.' During the course of this study, DNA was extracted from several other *Cornus* genotypes, but due to time constraints, RFLP experiments were not carried out on these additional plants. All tissue was collected within a 100-mile radius of Knoxville, Tennessee (see Table 2.1), and tissue from all trees (with the exception of two *C. kousa* trees) was collected from trees growing outside.

Plant tissue was collected throughout the spring and summer and into early fall at different times during the day and night. To reduce the destructive activity of nucleases on the DNA, the tissue was usually immersed in liquid nitrogen as soon as it was obtained and kept in a frozen state until processed. For solutions used, see Table 2.2.

Figure 4. Sample page printed in Times New Roman typeface. The chapter number and title were printed in 14 point bold, headings in 12 point bold, text in 10 point normal, and genus and species in italics. Source: John Culpepper, "Comparative Analysis of *Cornus* Genotypes Using Restriction Fragment Length Analysis," Master of Science Thesis in Ornamental Horticulture and Landscape Design, The University of Tennessee, Knoxville, May 1990, p.14.

Type Quality

Acceptable type quality for the final master copy is determined by the following factors:

- The visual smoothness of the letters;
- Standard upper and lower case letters;
- The presence of descenders (parts of letters that normally extend below the line, such as p, q, y);
- A high-contrast, solid image.

More limitations and variations exist in printing than in any other aspect of word processing. The limitations exist not because of word-processing applications, but as a result of limitations in printers and their ability to respond to instructions from the software. Several areas that may be affected are super- and sub-scripts and special or extended characters. If these functions are important to the manuscript, both the printer manual and the word-processing software manual should be checked to be sure they are compatible. Many elements that affect page appearance are actually “housekeeping” matters and should not be corrected until the final draft is prepared. These include widow lines, which are less than one-half line of a paragraph ending that is carried to the top of a page; and the orphan heading/subheading rule, which requires that if there is not sufficient room at the bottom of a page for a heading and two lines of text, the heading and text must be carried to the next page. The printing of each page is permitted on one side only for reproduction.

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 theses/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 printers most commonly used to produce the final master copy are laser or high-resolution inkjet printers. The acceptability of other printers should be confirmed with the Thesis/Dissertation advisor or the Graduate Office. Some general guidelines for producing acceptable-quality master copy are: 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 product, since it will be commercially photocopied onto the required paper.

Spacing

Spacing has both aesthetic and utilitarian effects on the appearance of a page. Vertical spacing (called *leading*) determines the number of type-lines that will fit on a page and can make a manuscript appear either cluttered or uncluttered, depending on the space left between lines. Horizontal spacing (or *kerning*) “tightens up the spaces between certain pairs of letters, such as WA” (Alfieri, 1988, p. 604), and makes the spacing of proportional fonts pleasing to the eye.

Most technical decisions about both vertical and horizontal spacing are determined by the software package. When a typeface and size are selected, the default values for kerning and leading are automatically set. Most word processing packages then allow the user to set the “spacing” for vertical measurement, using the predetermined line height as a basis. Single spacing leaves a small space between two lines of type and double spacing leaves the equivalent of the height of a line between the two lines of type.

The general text must be double-spaced, making it easier to read. Single spacing is permissible to set off quoted material, for scholarly references, glossaries, tables, and inserted appendix material that is single-spaced in its original form. Students are encouraged to use the conventions within their field and to be consistent in their application. In the event that extra space is needed (e.g., above headings, between chapter number and title), an additional “enter” is added, doubling the white space.

The preliminary pages may be single-spaced (e.g., title page, table of contents, lists of tables and figures, and so on).

Paragraph indentations should be uniform throughout the thesis/dissertation.

Other Formatting Considerations

Margin Settings and Justification

Thesis/dissertation margins cannot be violated on any page, from all preliminary pages, the text, the references, appendix, or vita. The left margin must be no less than 1½ inches; the right, top, and bottom margins no less than 1 inch. All images must fit within these margins, **except** the page number (see page 10 “Page Number Placement” for details). These margins define the minimum white space to be maintained on all sides. Margins may be wider but not narrower than these standards. Most word processing software provides a style or template that will set margins (tabs) automatically for your manuscript.

Either “justified” or “ragged-right” margins are acceptable. The use of justified margins must be consistent throughout the manuscript. A word of caution is that reproduction often shifts or enlarges the original text, so you must double check that the left margin on pages remains that minimum 1 ½ inch after copying is completed.

Pagination

Figure 1 (page 11) shows the sequencing and pagination of the various parts of a thesis/dissertation. Small Roman numerals are used to number all pages preceding the text. Although the preliminary paging begins with a front blank page, no number appears on that page. Therefore, the following page is page ii. Beginning with the first page of the text, all pages should be numbered consecutively throughout the manuscript, including the Bibliography or List of References, Appendix, and Vita, with Arabic numerals. Pagination using letter suffixes (i.e., 10a and 10b) is not allowed. The number may be positioned at the top or bottom of the page, centered between the margins, or in the right hand corner but must be consistent throughout the document. Numbers may appear on separation sheets (Bibliography or List of References and Appendix), or be

suppressed, provided the pages are assigned numbers. Special numbering of a section of pages to set the section off is unacceptable.

Paper and Duplication

The two copies of the thesis/dissertation submitted to the Graduate School must be copied on 100% 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 if microfilmed. Acid free paper is available at Kinko's (Salisbury) and the UMES Print Shop. 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 second copy may also be on 100 percent acid-free paper, although the UMES Graduate School will also accept reproduction on good quality, 25 percent cotton paper. Acid-free paper is preferred as it will prolong the life of the second copy.

Unacceptable paper types for final copies include off-white paper, vellum-type stock, regular photocopy paper, paper with a cotton content below 25 percent, onionskin, erasable bond or continuous feed computer paper. The UMES Graduate School reserves the right to determine the acceptability of paper for use in individual theses.

CHAPTER 5

Special Problems and Considerations

The guidelines given in the previous chapters are sufficient for most theses/dissertations. However, there are several circumstances that require additional guidance. This chapter addresses a few of the more specific questions that may exist in thesis/dissertation preparation, such as the use of papers that have been or will be submitted to journals, the division of unusually long manuscripts, and requirements pertaining to creative writing and foreign languages.

Theses/Dissertations in the Form of Journal Articles

A thesis or dissertation may include articles submitted or about to be submitted to professional journals. The individual papers must be integrated into a unified presentation, which may be done through an introductory chapter that might contain, among other things, a detailed literature review of the type not presented in journal articles. Additionally, one or more connecting chapters might be used to expand upon the methodology or the theoretical implications of the findings presented in the individual articles. A uniform style of headings, reference citations, and bibliographical format—in compliance with this Guide—must be adopted for the thesis/dissertation, even though the individual papers may have been prepared for submission to different journals. Each paper may be listed as an individual chapter within the thesis/dissertation or may be treated as a part and follow the *Multi-part* format discussed below. If chapter divisions are used, one Bibliography or List of References, including all references from the various articles, is presented at the end of the text. Finally, appendices may be added to present information not included in the chapters. Pages must be numbered consecutively throughout the manuscript.

Computer Printouts

Computer printouts on continuous feed “fanfold” paper may not be submitted in their original form or mechanically trimmed to a standard page size. Printouts must be reproduced on 8 ½ x 11” paper identical to the rest of the text or printed directly onto final paper.

Multi-Part Theses and Dissertations

With approval of the committee members, a thesis/dissertation may be divided into parts, rather than sections or chapters. The use of parts is an effective method of organization when research has been performed in two or more areas not practical to be combined into a single presentation, or to assist in maintaining consistent format for journal articles. Each part may be treated as a separate unit, with its own chapters, figures, tables, Bibliography or List of References, and Appendix (if needed), or the Bibliography or List of References and Appendix may be combined at the end as in the

case of theses/dissertations in the form of journal articles (see section above). In all cases, the thesis/dissertation must include an introduction which provides an overview and summary of the project, a single Table of Contents, List of Tables, and List of Figures. Consecutive pagination should be used throughout the manuscript, including numbering of the required separation sheets listing the part number and title placed before each part.

Two-Volume Theses/Dissertations

If a manuscript is more than 1 ½ to 2 ½ inches in thickness (approximately between 350 and 500 sheets of paper), it must be divided as equally as possible into two volumes not exceeding 2 ½ inches each. The division must come between chapters or major divisions, such as Bibliography or Appendices. The Table of Contents at the beginning of Volume 1 will 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.

Symbols

Certain symbols may not be available on common typewriting elements, although most can be found among the fonts of computer printers. If not available in print, these may be written neatly by hand with black indelible ink or photocopied into the final document, but legibility is critical. All material that can be typed must be typed.

CHAPTER 6

Technical Pointers

Computer use has enabled students to assume responsibility for all aspects of thesis/dissertation preparation, allowing them to function as author, editor and publisher of their manuscripts. With this freedom has come the responsibility of ensuring that the content is accurate, grammar and mechanics are acceptable, and all elements of formatting are handled correctly. The purpose of this chapter is to provide some pointers on technical production and to address some common production problems.

Appearance

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 thesis/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.

Content

Taped Copy

Students often waste valuable time attempting to force the computer to solve a problem when quicker and easier solutions exist. If everything to be included in a thesis or dissertation is not on disk, alternative methods must be used to transfer the image to a “working copy,” such as taping the material to the page. Examples include material from other sources, photographs, tables or other material too large for a standard page. In addition, some word processing software packages are limited in their capability to take care of finer points, and some computer users have limited skills in making the computer do what they need to have done. Below are guidelines to help in taping material—an alternative method of dealing with non-computerized material:

- **Step 1.** Tape-up sheets should be prepared for any material that must be repositioned or reduced. Tape-up sheets will have the page number, title, and source (if needed) printed in proper position in preparation for the material to be taped into place. For pages that need only the number, tape-up pages can be created as part of the body of the manuscript. All software packages have a means of terminating a page at a specific point and advancing to a new page. Repeating this will create an empty page, numbered in sequence with the rest of the manuscript.

- **Step 2.** For many reductions, the maximum size of the image area, including page number, is 6 by 9 inches. Black and white contrast must be good. Position of the image on the reduced page is unimportant, since the image will be cut out and placed on the tape-up page.
- **Step 3.** Non-image area should be trimmed away so that the image can be taped into place on the tape-up sheet, using transparent (not cellophane) tape. All four sides of the image should be fully taped to screen out shadow lines. This will become the master copy.

Photographs

There are at least six methods for including photographs in a thesis or dissertation, each differing in quality and cost and requiring different handling.

1. With the high-quality reproduction capability of the newer copiers, some of which have an automatic screening mode for photographs, it is often possible to mount an original on a tape-up sheet and have it copied onto 100% cotton paper without any charge, other than the normal copying fee. (Note: in some cases, permission may be required when copying copyrighted photographs.)
2. Individual photographic prints can be mounted in each copy using a permanent photo mount spray adhesive. If this option is selected, the tape-up sheets should be prepared and one copy of the photographs trimmed approximately 1/8 inch smaller than the other prints. The trimmed photographs should be taped on all four sides onto the tape-up sheet and the page inserted into the master copy. Each time the master copy is copied, the photographs are also copied. Cost depends on the number of negatives and copies purchased. Quality depends on the quality of the original photograph(s).
3. Many students with darkroom access use full-page-size 8 ½ x 11 inch photographic paper with an image area of 6 x 9 inches (standard margins). Double weight glossy paper is recommended for preservation and crisp image. If this option is selected, the title and other information are printed on a legend page, which precedes the actual photograph, and an address label is mounted on the back of the photograph, 1 inch down and 1 inch in from the right edge (with the photograph facing downward). The label is typed as follows:

Figure #
Page #
Last Name, Year

Both the legend page and the photograph page are given page numbers, and in the List of Figures, the number shown is that of the legend page. There is no printing on the front of the photograph. The cost of this process depends on whether the darkroom work is done by the student or by a professional agency. The paper

may have to be ordered in advance. Often 11 by 14 inch sheets are bought, then cut down to 8 ½ by 11 inches. The detail quality is excellent.

4. Halftone prints are made of each photograph and mounted onto paste-up pages. The PMT (photo-mechanical transfer) process screens the halftone image and converts it into dots, which can then be copied. Generally a dot density of 85 lines per inch gives the best image on most copiers. The quality of reproduction is comparable to that of a newspaper and probably would not be satisfactory for scientific applications. The cost is relatively low, since as many photographs as will fit on a sheet of PMT material can be made in one shot.
5. Many students use scanners to reproduce photographs, making them part of the computer-contained manuscript. Essentially, the scanner performs the same function as the PMT process and converts the photograph to dots, which are printed as graphics. Fine detail may be lost, but the overall image is attractive and copies well.
6. Offset printing is a final option. The process is done by full-service print shops and requires the processing of two negatives—one for the printed copy and one for the halftone photograph. These are then combined, spots opaqued, burned onto a printing plate and printed on the offset press. Done well, this process produces excellent quality in a form that will last as long as the paper on which it is printed. The expense, however, may limit its use in thesis/dissertation production.

CHAPTER 7

Concluding Instructions

Printing the Master Copy

Under no circumstances should the two final copies be generated from a printer. They must be photocopied onto the 100% cotton content, acid-free, 20-pound paper from a master copy. 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 100% 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.

Printer quality for the master copy should be smooth, high contrast copy.

Copying

There are generally area copy shops familiar with university requirements concerning paper and copy quality. The cost of having copies done by local shops is such that little money can be saved by students buying their paper and doing their own copying. Professional shops are responsible for equipment malfunctions and maintain a supply of 100% cotton paper and boxes for submission.

All brands of 20-pound, 100% cotton paper are acceptable, but all pages, including the approval sheets and any outsize pages (11 x 17), must be on the same brand as all other pages. Out-of-town students may wish to investigate sources in their locations for comparison with area copy shops. Often local shops will make arrangements to accept the master copy by mail, make the copies, and deliver them to the Graduate School for a fee.

Copying Selected Pages in Color

Some data for selected tables and charts may be extensive and complex comparisons are best presented only in color. The graduate dean must grant an exception to the use of color. Black and white printing has long-term durability, while color tends to fade over time in the bound copy.

Editing the Text after Approvals

Typically, the thesis/dissertation committee will pass the thesis/dissertation with major or minor revisions. Major revisions may require the approval of the entire committee or at least the committee chair. Minor revisions may only require the approval of the committee chair and/or Graduate College dean. Minor revisions are usually

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

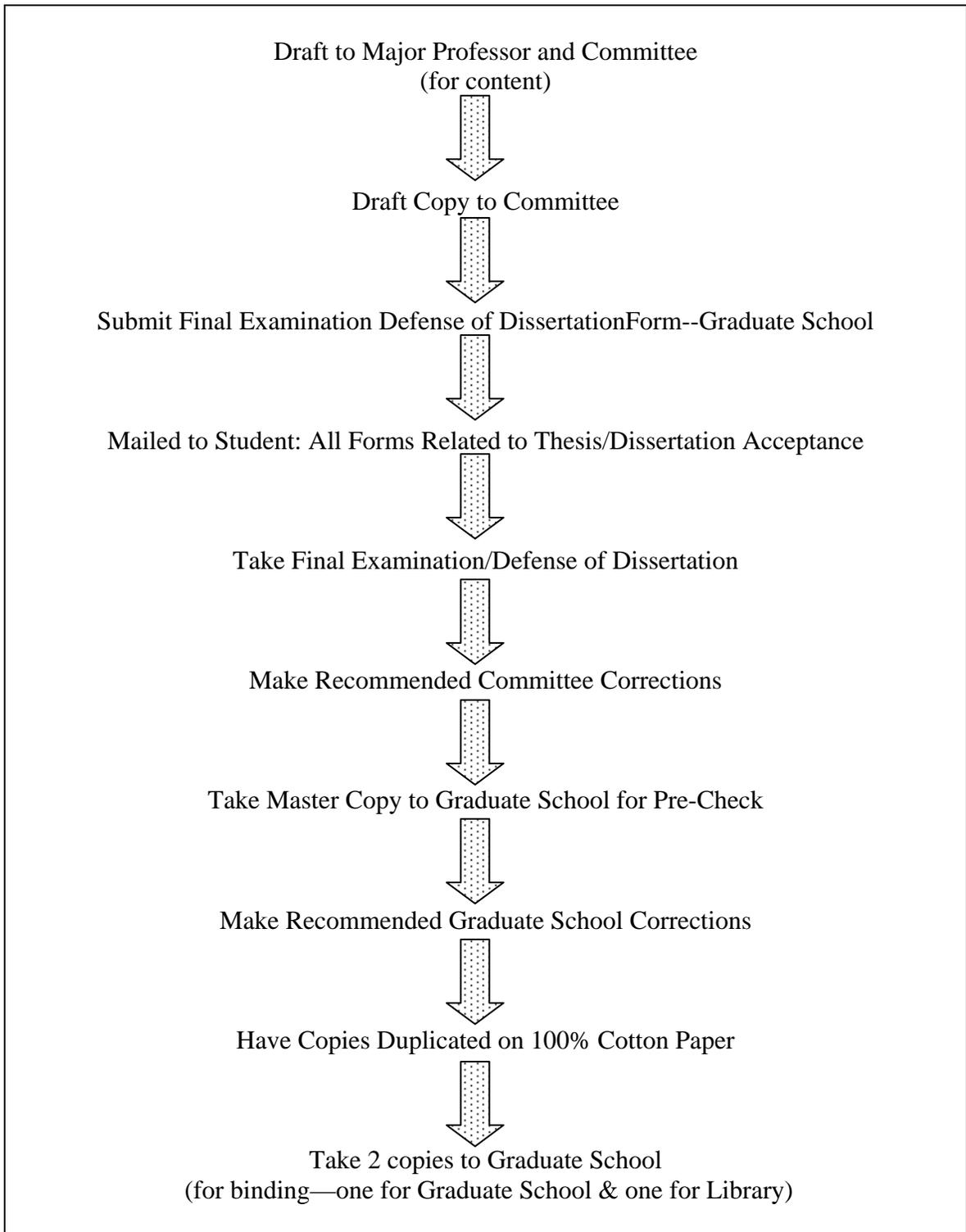


Figure 5. Sample flow chart summarizing possible steps to completion and acceptance of a thesis/dissertation.

Submission

Copies

Two unbound copies of the Committee's final approved thesis/dissertation on required paper in an 8 ½ x 11" letterhead box or manila envelope must be submitted to the UMES Graduate School. An original official copy will be hardbound and placed in the library, and a second bound copy will be kept by the Graduate School.

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 the student 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.

Master's and doctoral students may wish to copyright their thesis or dissertation. *The Chicago Manual of Style* (1982) offers an excellent discussion of copyright law and its implications. "Copyright law exists to protect the exclusive right of the copyright holder to copy the work...[although] the law has long been interpreted as allowing others to copy brief portions of the work for certain purposes" (*Chicago Manual of Style*, p. 115). 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 Form TX from the Thesis/Dissertation Consultant or other appropriate individual and follow instructions on the form for registration of the copyright.

If a thesis/dissertation is to be copyrighted, a page must be inserted immediately after the title page and assigned number ii. The following information must appear centered on the copyright page:

Copyright 20___ (year) by _____ (name)
All rights reserved

Additional Copies and Binding

All other copies of the thesis/dissertation, including any required by the graduate program, department and/or major professor, and committee are produced and bound through arrangements made personally by the student with the UMES Serial Librarian (present cost per volume for binding is \$10.00). Students should retain a high quality copy of the thesis/dissertation for their use and/or the master computer disks used. The major professor or departmental secretary can help determine who expects to receive bound copies.

Commencement

Commencement is conducted in the best ceremonial tradition: meaningful, colorful, and important. It is a fitting culmination of the energy and effort made by the student to obtain a graduate degree. Whatever the degree to be conferred, it marks an appropriate beginning.

APPENDIX


**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

Figure 6. Sample Dissertation Approval Sheet



THESIS SIGNATURE APPROVAL SHEET

Title of Thesis: _____

Degree Candidate: _____

Thesis 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 thesis is complete, that all changes recommended by the advisory committee members have been made, and that the thesis is satisfactory in all technical and editorial matters.

Figure 7. Sample Thesis Signature Approval Sheet



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)

Figure 8. Sample Report of the Proposal 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)

Figure 9. Sample Report of Dissertation/Thesis Defense

BENEATH THE URBAN LANDSCAPE: SOME VERSIONS OF AMERICAN
PASTORALISM IN URBAN LITERATURE, ART, AND FILM

by

Dean Richard Cooledge

Copyright © Dean Richard Cooledge 2002

A Dissertation Submitted to the Faculty of the

DEPARTMENT OF ENGLISH

In partial Fulfillment of the Requirements
For the Degree of

DOCTOR OF PHILOSOPHY

In the Graduate College

THE UNIVERSITY OF ARIZONA

2002

Figure 10. Sample Title Page for a dissertation. Reprinted with permission from Dean Cooledge, "Beneath the Urban Landscape: Some versions of American pastoralism in urban literature, art, and film (PhD diss., University of Arizona, 2002).

ABSTRACT

In this dissertation I explore the relationship between the city and the pastoral ideal in America. While not meant to be a comprehensive discussion of Urban Pastoralism, I want to focus my attention on the pastoral impulse one experiences within the city. Some versions of American Pastoralism emphasize the city as a complex wilderness, which creates within its inhabitants a pastoral impulse for a simpler mode (Golden Age) outside the boundaries of the city. However, the inability of the subject in art, literature, and film, to escape from the city forces the subject to seek a symbolic pastoral moment within the city. I will discuss three “texts” to demonstrate how this pastoral desire is manifested in the city. First I will discuss a selection of paintings by Edward Hopper. Hopper paints an ironic form of *hortus conclusus* in his paintings of this city, for his inhabitants appear trapped within the frame of the painting and longing for “something beyond the frame.” I will demonstrate how Hopper’s paintings present the possibility of a narrative through this irony. As viewers, our desire to impose order upon this chaos compels us to construct narratives for his paintings. This narrative desire is tied to the pastoral impulse which satisfies our need for order. Second, I will discuss John Updike’s Rabbit, Run in which Harry pursues a point suspended in time. His pursuit of the Golden Age of his youth is compromised by the physical and geographical surroundings. Finally, Woody Allen’s Manhattan shows a man in pursuit of the pastoral in terms of the meaning and purpose of art. Through his search for artistic integrity, Allen discovers the value of beauty as a symbol of the pastoral ideal.

Figure 11. Sample Abstract for a dissertation. Reprinted with permission from Dean Cooledge, “Beneath the Urban Landscape: Some versions of American pastoralism in urban literature, art, and film (PhD diss., University of Arizona, 2002).

STATEMENT BY THE AUTHOR

This dissertation has been submitted in partial fulfillment of requirements for an advanced degree at The University of Arizona and is deposited in the University Library to be made available to borrowers under rules of the Library.

Brief quotations from this dissertation are allowable without special permission, provided that accurate acknowledgement of source is made. Requests for permission for extended quotation from or reproduction of this manuscript in whole or in part may be granted by the copyright holder.

SIGNED: _____

Figure 12. Sample Copyright Page for a dissertation. Reprinted with permission from Dean Coledge, "Beneath the Urban Landscape: Some versions of American pastoralism in urban literature, art, and film (PhD diss., University of Arizona, 2002).

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Figure 13. Sample Table of Contents for a dissertation. Reprinted with permission from Susan Cooledege, “L2 Reading and Hypertext: A study of lexical glosses and comprehension among intermediate learners of French (PhD diss., University of Arizona, 2004).

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Figure 13 . Sample Table of Contents (continued). Reprinted with permission from Susan Coolege, “L2 Reading and Hypertext: A study of lexical glosses and comprehension among intermediate learners of French (PhD diss., University of Arizona, 2004).

author. For this study, an attempt was made to match criteria for Level 2: the author conveys, without commentary, facts and information about situations and events, including narrative reporting, descriptions of people, or objects or instructions. Child's more recent model for readability posits "textual modes" versus the text typology (1998). Using these descriptors, a Level 2 text is most similar to what Child calls an "Instructive" ("I") mode text, with the following characteristics: transmission of factual material, elements of extended discourse - a beginning, middle and end. An example of this text mode is "a straightforward historical narrative in which commentary is minimized. Child further explains that texts categorized in the Instructive Mode can entail movement through time and space, can be more of a timeless nature, or may involve events that the writer can only report on inferentially. These descriptions for Level II or Instructive Mode texts helped to narrow the scope for the initial text selection phase.

The validity of Child's original text typology has been examined, and weaknesses (Allen, 1988; Bernhardt, 1986; Lee & Musumeci, 1988) and strengths (Dandonoli and Henning, 1990; Edwards, 1996) have been identified. The results of this scrutiny suggest that Child's textual modes may provide a sound basis for the development of FL reading tests of proficiency for the selection of reading passages. While more studies are needed to validate the mode concept, Child himself asserts that "it appears a sufficiently reliable point of departure" (1998: 388).

Equally important in the text selection phase was the input of intermediate-level

Figure 14. Sample Page Layout of Text for a dissertation. Reprinted with permission from Susan Cooledge, "L2 Reading and Hypertext: A study of lexical glosses and comprehension among intermediate learners of French (PhD diss., University of Arizona, 2004).

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