

Guidelines for Thesis and Dissertation Preparation



The Graduate School

Revised
July, 2000

Editor
Zornitsa Keremidchieva

GUIDELINES FOR THESIS AND DISSERTATION PREPARATION

**The Graduate School
The University of Maine
July, 2000**

This manual has been prepared to help students writing a thesis or a dissertation. The policies, format and style requirements set forth reflect The University of Maine's standards for scholarship and quality of work. It is the student's responsibility to read the guidelines carefully and meet the requirements fully. The guidelines are reviewed and updated periodically to reflect the dynamic nature of scholarship; therefore, students should not follow the format of a previously written thesis or dissertation, nor should they rely on a former version of this manual. If clarifications are needed, students should confer with the Graduate School Thesis/Dissertation Consultants. Manuscripts which do not fully comply with the guidelines will not be accepted.

TABLE OF CONTENTS

1. Introduction.....	1
1.1. Reviewers.....	1
1.1.1. The Thesis/Dissertation Committee.....	1
1.1.2. The Graduate School Thesis/Dissertation Consultants.....	1
1.2. Style Manuals for Thesis/Dissertation Format.....	2
1.3. Electronic Thesis/Dissertation (ETD).....	3
1.4. Thesis/Dissertation in a Foreign Language.....	4
1.5. Deadlines.....	4
1.6. Forms	4
1.7. Submitting the Final Copy of the Thesis/Dissertation.....	5
1.8. Legal and Ethical Issues.....	6
1.8.1. Microfilming (doctoral dissertations only).....	6
1.8.2. Regulations Regarding Research Methods.....	6
1.8.3. Copyright.....	6
1.8.3.1. Using Copyrighted Materials.....	7
1.8.3.2. Obtaining Copyright for One's Own Thesis/Dissertation.....	7
1.8.4. Thesis/Dissertation Containing a Patentable Discovery.....	8
1.9. Resources on Campus.....	8
1.9.1. The Writing Center.....	8
1.9.2. The Graduate Center.....	9
1.9.3. The New Media Lab.....	9
2. Parts of the Manuscript.....	11
2.1. Title Page.....	11
2.2. Copyright Notice.....	11
2.3. Library Rights Statement.....	12
2.4. Abstract.....	12
2.5. Acknowledgments.....	12
2.6. Table of Contents.....	13
2.7. Tables, Figures, Theorems, Symbols, Abbreviations, Definitions.....	13
2.8. Text of the Manuscript.....	14
2.9. Bibliography.....	15
2.10. Appendices.....	15
2.11. Biography of the Author.....	15

3. Style and Format Requirements.....	16
3.1. Paper Quality.....	16
3.2. Print Requirements.....	16
3.3. Margins.....	16
3.4. Oversize Materials.....	17
3.5. Pagination.....	17
3.6. Spacing.....	19
3.7. Paragraph Settings.....	19
3.8. Documenting Sources.....	19
3.8.1. Formats for In-text and Bibliography Citation.....	20
3.8.2. Citing Internet Sources.....	20
3.8.3. Footnotes and Endnotes.....	21
3.9. Two-Volume Thesis.....	22
3.10. Thesis/Dissertation Compiled from Two or More Articles.....	22
4. Electronic Thesis/Dissertation (ETD).....	23
4.1. The ETD Database.....	23
4.2. Submitting the Electronic Thesis/Dissertation.....	24
4.3. File Formats.....	24
4.3.1. Platform.....	24
4.3.2. Text Formats.....	24
4.3.3. Graphic Formats.....	24
4.3.4. Submitting Files via ftp.....	25
4.4. Long Term Archiving.....	25
References.....	26
Appendices.....	27
Appendix A. Sample Title Pages.....	28
A.1. Doctoral Candidate.....	29
A.2. Master's Candidate.....	30
Appendix B. Sample Library Rights Statement.....	31
Appendix C. Sample Abstract.....	33
Appendix D. Sample Tables of Contents.....	36
D.1. Table of Contents with the System of Headings.....	37
D.2. Table of Contents with the Decimal System.....	39
Appendix E. Sample Lists of Tables/Figures.....	40
Appendix F. Sample Systems for Organizing the Text of the Manuscript.....	43
F.1. Text Organized by the System of Headings.....	44
F.2. Text Organized by the Decimal System.....	46
Appendix G. Sample Biography of the Author.....	47
Appendix H. Sample Facing Page	49
Appendix I. Summary Checklists.....	52
I.1. Checklist for Program Requirements	53
I.2. Checklist for Format.....	54

Part 1

INTRODUCTION

A thesis/dissertation is the culmination of a graduate student's career, and it represents original scholarly research and writing. It is a contribution to knowledge and will be available to other scholars in the Library or through Dissertation Abstracts International. Its content and style reflect on the author, the faculty members who have guided the research, and The University of Maine. Hence, the guidelines of the Graduate School have been developed to ensure high professional and ethical standards for research writing at The University of Maine. THE MANUSCRIPT AUTHOR IS RESPONSIBLE FOR MEETING THE GRADUATE SCHOOL REQUIREMENTS SET FORTH IN THIS MANUAL. To avoid delays or disappointment, students should contact the Graduate School Thesis/Dissertation Consultants early in the writing process to be sure they understand all requirements.

1.1 Reviewers

1.1.1. The Thesis/Dissertation Committee

The role of the thesis/dissertation committee is to guide the student through the research and writing process by providing suggestions and feedback as to the contents, direction, time table, style and other aspects of the project. The thesis/dissertation draft submitted to the Graduate School should be a product of this negotiation between student and committee. Even though the committee's recommendations may have significant impact on the project's final form, it is the student who is ultimately responsible for the content and style of the thesis/dissertation.

Master's thesis committees are comprised of at least three graduate faculty members appointed by the Director of the Graduate School upon the recommendation of the appropriate department; doctoral dissertation committees are comprised of at least five graduate faculty members. The University of Maine does not use the term "reader" for any member of the committee; each committee member is a full, voting member.

1.1.2. The Graduate School Thesis/Dissertation Consultants

At least 24 hours prior to the thesis defense, the Graduate School Thesis/Dissertation Consultants should receive the tentative manuscript of the thesis/dissertation. They will check the draft for format and will make sure that it adheres strictly to the requirements set forth in this manual. When the students return to pick up their manuscripts, they receive a checklist of required revisions. IT IS THE STUDENT'S RESPONSIBILITY TO MAKE THE CHANGES INDICATED ON THE CHECKLIST BEFORE SUBMITTING THE FINAL COPY.

The TENTATIVE copy of the thesis/dissertation submitted to the Graduate School prior to the oral defense must be complete and include all parts of the manuscript (see Part 2). This copy does not need to be submitted on bond paper. While it is expected that after the oral defense there may be changes made to the thesis/dissertation, the tentative manuscript should represent the completed product of the student's research, ready for final printing. Students should allow one week for the Thesis/Dissertation Consultants to review this copy.

The FINAL copy of the thesis/dissertation will also be reviewed when it is delivered to the Graduate School. This ensures that all required components are included, and that all required forms and dissertation fees have been received. This copy must be on bond paper and submitted with letter-quality print. Both copies of the manuscript must be submitted in a manila envelope, with a copy of the title page attached to the front.

The Graduate school will not accept manuscripts which have not been cleared by the Thesis/Dissertation Consultants.

1.2. Style Manuals for Thesis/Dissertation Format

Different disciplines have developed various formats (style manuals) for research writing. These include guidelines for the use of field-specific terminology, formulas, signs, and other features of the text, as well as formats for documenting sources (see 3.8.). Upon the recommendation of their committee, students may follow the style manual of a leading journal or a professional association in the field or a more traditional format. In either case, THE REQUIREMENTS OF THE GRADUATE SCHOOL MUST BE SATISFIED FIRST, even if they depart from the style manual that has been adopted. The following is a list of some common style manuals.

Discipline	Style	Style Manual
Biology and other Sciences	CBE	Council of Biology Editors. (1994). <i>Scientific Style and Format: The CBE Manual for Authors, Editors and Publishers</i> , (6 th ed.). New York: Cambridge University Press.
Chemistry	ACS	Dodd, Janet S. (Ed.). (1997). <i>The ACS Style Guide: A Manual for Authors and Editors</i> . Washington: American Chemical Society.
English and the Humanities	MLA	Gibaldi, Joseph. (1995). <i>MLA Handbook for Writers of Research Papers</i> . (4 th ed.). New York: Modern Language Association.
History	Chicago	<i>The Chicago Manual of Style</i> . (1993). (14 th ed.). Chicago: University of Chicago Press.

Mathematics	AMS	American Mathematical Society. (1994). <i>The AMS Author Handbook: General Instructions for Preparing Manuscripts</i> . Providence: Author.
Music		Holoman, D. K. (Ed.). (1988). <i>Writing about Music: A Style Sheet from the Editors of 19th-Century Music</i> . Berkeley: University of California Press.
Physics	AIP	American Institute of Physics. (1995). <i>Style Manual: Instructions to Authors and Volume Editors for the Preparation of AIP book Manuscripts</i> . (5 th ed.). New York: Author.
Political Science	APSA	American Political Science Association. (1993) <i>Style Manual for Political Science</i> . (Rev. ed.). Washington: Author.
Psychology and the Social Sciences	APA	American Psychological Association. (1994). <i>Publication Manual of the American Psychological Association</i> . (4 th ed.). Washington: Author.
Science and Technical Writing	ANS	Rubens, P. (Ed.). (1992). <i>Science and Technical Writing: A Manual of Style</i> . New York: Holt.
Social Work	NASW	National Association of Social Workers. (1994). <i>Writing for NASW</i> . (2 nd ed.). Silver Springs: Author.

1.3. Electronic Thesis/Dissertation (ETD)

Making theses/dissertations available on the World Wide Web is a joint initiative of the Graduate School and The University of Maine library staff. Students can read about the project in the *Chronicle of Higher Education*, February 13, 1998: A29-A30. A copy of the article is available in the Graduate School upon request. They can also visit the Networked Digital Library of Theses and Dissertations (NDLTD) web site at <http://www.ndltd.org> to learn about the national project. For general questions regarding the ETD project, students can contact the Graduate School at (207) 581-3217. For technical information, they should refer to Part 4 of these guidelines.

All students in the Computer Science and the Spatial Information Science and Engineering programs are required to submit electronic copies of their theses/dissertations. While publishing the thesis/dissertation in electronic form is optional for all other students, the Graduate School strongly encourages them to look into the following two options. The on-line thesis/dissertation can be made accessible for readers from all over the world; however, if there are concerns about making the work freely available before it is published in a journal or a book, the student can restrict the access only to computers on The University of Maine campus (see Part 4).

1.4. Thesis/Dissertation in a Foreign Language

Upon the recommendation of their advisory committee, only students in a graduate program related to the study of a foreign language, such as the MA program in French, can write a thesis/dissertation in a foreign language. The title page of such a manuscript must be in English, with the exception of the title of the thesis/dissertation which should appear first in the foreign language, followed by, on a line of its own, an English translation. The Library Rights Statement should be in English only. The full text and titles of the Abstract, the Table of Contents and the Biography of the Author must be provided in both languages—first in the foreign language, followed by the English version. The texts should appear continuously on the respective pages, e.g., the two Abstracts should not be separated by a page break.

1.5. Deadlines

Deadlines are published by the Graduate School every semester. These indicate FINAL DATES to:

- ☐ apply for graduation;
- ☐ schedule an oral defense of a thesis/dissertation (2 weeks prior to the defense);
- ☐ bring in a tentative copy of the thesis for review by the thesis/dissertation consultant;
- ☐ deliver the final copy to the Graduate School.

STUDENTS MUST CHECK WITH THE GRADUATE SCHOOL FOR ANY SEMESTER DEADLINES WHICH APPLY FOR GRADUATION, SUBMISSION OF THE FINAL THESIS, AND ALL OTHER REQUIREMENTS.

1.6. Forms

Toward the end of a graduate student's program, there are a few forms required to facilitate the graduation process. Students must always check with the Graduate School's staff to be sure all forms are completed with required signatures and then returned to the Graduate School. The required forms are:

- ☐ Application for Degree form: this form must be completed by the student and returned to the Office of Student Records. This form indicates that the student plans to graduate in May, August or December of a given year. The deadline for students graduating in May occurs in early February, for students graduating in August, it is June 1st; and for those graduating in December, it is October 1st.
- ☐ Notice of Oral Examination form: this form must be submitted to the Graduate School at least two weeks before the student defends the thesis/dissertation. It indicates the date, time and location of the defense, the title of the thesis/dissertation and the names of the student's committee members. This information is published in the "Maine Perspective."

- ☐ Tentative Thesis Acceptance form: signed by all members of the thesis/dissertation committee, this form indicates that the thesis is ready to be defended. It is submitted at least 24 hours before the defense along with the tentative copy of the thesis/dissertation to be checked for format consistency by the Graduate School Thesis/Dissertation Consultants.
- ☐ Final Thesis Acceptance form: this form must be signed by the advisory committee and must indicate that the final copy is accepted by the department. The form should accompany the final copy of the thesis/dissertation submitted to the Graduate School for binding.
- ☐ Completion of Requirements form: this form must be signed by the Graduate Coordinator and should indicate that the student has completed all requirements for the degree. A student's diploma and final transcript will not be issued without this form. Doctoral students must submit this form at the time the final dissertation is submitted. Doctoral students are not allowed to participate in Commencement until all requirements for the degree have been satisfied.
- ☐ Survey of Earned Doctorates form: (doctoral candidates only). This form must be completed because the University participates in this national survey each year.
- ☐ The BHIL form: (doctoral candidates only). Each doctoral candidate must complete the BHIL form and return it with the appropriate fee to the Graduate School as part of degree requirements. The form will authorize BHIL to microfilm the thesis/dissertation, distribute it through the Dissertation Abstracts International journal and make it available to the public.
- ☐ ETD Submission Approval form: this form is required only for electronic theses/dissertations. It allows the student to choose a level of accessibility for the thesis/dissertation.

1.7. Submitting the Final Copy of the Thesis/Dissertation

Departmental requirements vary as to the numbers of copies required for committee members. The Graduate School requires the students in the Liberal Studies program to submit two copies of their thesis/dissertation—one will be held in the Graduate School, and the other will be kept in the library. For all other students, the Graduate School requires only one copy of the "final" or "original" thesis/dissertation which will be bound and kept in the Fogler Library. Doctoral dissertations are sent first to Bell Howell Information & Learning (BHIL) for microfilming and then returned to the Library for binding. Master's theses are not microfilmed. ETDs should be accompanied by a paper copy which fully meets the format and print requirements set forth. The theses and dissertations are kept in the Special Collections Department of the Library.

1.8. Legal and Ethical Issues

1.8.1. Microfilming (doctoral dissertations only)

The University of Maine maintains a liaison with Bell & Howell Information and Learning (BHIL) to make knowledge acquired through doctoral research available to the public. BHIL publishes the Dissertation Abstracts International journal and other publications, and distributes microfilm copies of dissertations.

Copies of dissertations may be ordered by the public. If seven copies or more of a dissertation are ordered, the author receives a 10% royalty. Signing the BHIL agreement which allows the company to make and distribute copies of the work in no way interferes with the student's rights as author.

For questions about the microfilming process, BHIL can be contacted at 300 North Zeeb Rd., Ann Arbor, MI 48106-1346; 1-800-521-0600 (U.S. and Canada), <http://www.bellhowell.infolearning.com>.

1.8.2. Regulations Regarding Research Methods

Complying with the various federal and state regulations regarding research methods and ethics is a joint responsibility of the student researcher, the thesis advisor and The University of Maine. The writer of a thesis/dissertation which involves **human subjects, animal care, radiation, recombinant DNA, legend drugs** and/or **hazardous materials/wastes** must have received clearance from the respective authorities PRIOR TO initiating the research project and submitting it to the Graduate School or the thesis/dissertation will not be accepted. Evidence of such approval must be noted on the student's Final Thesis Acceptance form. The full text of the respective policies and regulations and any additional information can be obtained from the Office of Research and Sponsored Programs.

1.8.3. Copyright

Although the Graduate School does not require theses/dissertations to be copyrighted, students should be concerned about copyright law both in using the work of others and in protecting their own work. Information about the various issues surrounding copyright can be found in Kenneth D. Crew's *Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights & Responsibilities*. The 1992 print copy of the manual is available in the Graduate School. A regularly updated version of the text can also be found on-line at <http://www.umi.com/hp/Support/DServices/copyright/index.html>.

1.8.3.1. Using Copyrighted Materials

According to Crew (1992), there are four factors which determine whether a reference to or a borrowing from another work falls under the terms of “fair use:”

(1) purpose of the use: even if at the point of its submission to the Graduate School the thesis/dissertation is not meant to be published, there is always a chance that it may be published later in its original or an altered form. This means that the purpose of the manuscript will change from “academic” to commercial. Then the author will have to obtain permissions for use for all borrowed materials from the appropriate authors or publishers.

(2) nature of the work used: even unpublished manuscripts may be requiring the payment of a royalty. The copyright status of a work is not decided simply by its type—materials of the same type (e.g., poems, manuals, dissertations, etc.) may have different levels of restriction on their use depending on the wish of the author or publisher. Internet sources, though freely accessible to the public, may also be protected by copyright. Therefore, the decision whether or not to obtain permission to use a material from an external source in the thesis/dissertation should be made with great caution.

(3) amount of copying: simple word counting cannot determine whether or not the use of an external material is “fair use.” A more reliable method would be to look at the proportion of the thesis/dissertation that relies on borrowed material. Also, using the central idea of an external work or a considerable portion of its original volume may also indicate that obtaining a permission for use is necessary.

(4) effect of the copying on the value or potential market of the borrowed work: if, as a result of the borrowing, the student’s work is likely in any way to stand in competition or displace the original work from the market, then obtaining a permission for use from the original author/publisher is necessary.

Doctoral dissertations submitted to BHIL for microfilming automatically receive the potential to become “commercial” publications. Hence, BHIL looks for copyright compliance when it accepts manuscripts. However, if there is a delay in receiving a copyright approval, the student can still submit the manuscript and graduate on time.

The use of copyrighted materials can be mentioned in the Acknowledgments page. Any copyright permission letters related to the manuscript should be included in an appendix.

1.8.3.2. Obtaining Copyright for One’s Own Thesis/Dissertation

Students have full rights as authors from the moment they create their work; hence, they can acknowledge their privileges by including a copyright notice in their manuscripts even if they have not filed for registration (see 2.2.). Still, obtaining formal copyright protection may have the following advantages. First, it will allow the student to file an infringement lawsuit and claim “statutory damages” and attorneys’ fees if someone copies the work beyond “fair use.” Eventually, it may also allow the work to be added to the Library of Congress Collection.

Students whose research has been funded or in other ways supported by grants, foundations or other sources should review the terms of that support to see if they are allowed to claim ownership of the results of the research. In a similar manner, manuscripts written in collaboration with other authors and/or previously published as a whole or in part in a journal

or a book may have had the copyright assigned in part or in full to the co-author or the publisher. In these cases, the text of the copyright notice included in the thesis/dissertation should meet the policies outlined in the funding or publishing agreement.

Doctoral candidates can authorize BHIL to act as their agent with the Library of Congress Copyright Office. For a fee, BHIL will prepare the application in the student's name, submit the application fee, and deposit the required copy(ies) of the manuscript. The Doctoral Dissertation Agreement form in the BHIL booklet *Publishing Your Dissertation: How to Prepare Your Manuscript for Publication* has a section that describes BHIL's rights and the student's rights with regard to distribution of the student's work.

Master's candidates and any other authors wishing to obtain copyright for their work should contact the Copyright Public Information Office, Library of Congress, at (202) 479-0700 for information and request the appropriate forms from the Information Section, U.S. Copyright Office, Library of Congress, Washington, D.C., 20559, phone: (202) 707-3000. Information and forms can also be downloaded from the U.S. Copyright Office's web site at <http://lcweb.loc.gov/copyright/>.

1.8.4. Thesis/Dissertation Containing a Patentable Discovery

Upon the student's request, a thesis/dissertation containing a patentable discovery can be held by the Graduate School before being bound or microfilmed. The student must submit to the Graduate School a written request co-signed by the thesis advisor stating that a patent application has been filed. Having the thesis/dissertation on hold at the Graduate School for this reason does not prevent the student from graduating on time.

1.9. Resources on Campus

The Graduate Catalog describes various research resources available on campus or affiliated with the University. While many of them may play a role in the students' graduate experience at The University of Maine, the following facilities provide direct support to students writing a thesis/dissertation.

1.9.1. The Writing Center

The Writing Center helps students develop, organize, revise and edit their writing. The Center is staffed by English department faculty and by student writing tutors who have been trained to give one-to-one feedback on students' writing projects. The Center also has numerous style manuals and writing guides to help students meet the writing expectations of graduate study at The University of Maine. Computers are available for those working on their writing in the Center, so students can, if they choose, bring their work to the Center on diskettes. There is no fee to use the services of the Writing Center. Appointments can be made by contacting the staff at 581-3828. The Writing Center is located in 402 Neville Hall.

1.9.2. The Graduate Center

Located in Estabrooke Hall, the Graduate Center is a place where graduate students can meet and work individually or in groups. The Center is equipped with computer stations, a laser printer, a low cost copying machine, a slide making machine and a scanner. All currently registered graduate students' MaineCards are automatically activated to provide 24-hour access to the Center.

1.9.3. The New Media Lab

The New Media Lab is located in 106 Lord Hall. By appointment, students can take advantage of the following equipment:

- ☐ Macintosh workstations equipped with Internet connections and the latest multimedia software, desktop publishing and a variety of other programs;
- ☐ Windows NT workstations capable of running professional 3D modeling/animation programs such as 3D Studio MAX;
- ☐ a large format color ink-jet printer capable of printing up to 54" in width and virtually unlimited length. Students can find several different types of paper in the lab ranging from ordinary coated paper to glossy photo paper. This printer can be used for poster presentations and for expanding digital art into poster size print;
- ☐ a smaller laser-jet color printer which can be used for smaller print jobs that may require a higher resolution print. This printer is also capable of printing onto glossy paper on letter and tabloid sizes as well as printing onto letter size transparency paper often used in transparency presentations;
- ☐ a black and white laser-jet printer which can be used by students to test prints before sending their jobs to the color printers or just for printing out materials that don't include color;
- ☐ a slide shooter which can transform digital images into slide film. The latter can be developed and framed in slides for slide show presentations;
- ☐ large format scanners which can scan images up to 17" wide by 12" tall. One of the scanners is connected to a Macintosh computer and the other to a computer running a Windows NT operating system so that students can use whichever platform they are comfortable with. Connected to the very same computers are slide and film scanners. These scanners are capable of digitizing slides or film so that they can be saved onto disk or manipulated using software such as Adobe Photoshop;
- ☐ a CD burner which allows students to store media up to 650 megabytes in size which cannot be contained in floppy disks or Zip disks;

- ☐ a room set up for audio editing fully equipped with a Kurtzweil keyboard and a Mac workstation;
- ☐ a video editing room. The equipment in this room includes a Sony digital video deck, VHS deck, TV monitor, and a Macintosh workstation. The workstation is connected to a hard drive for storing large media files. The software used in this room includes Media 100, Final Cut Pro, Adobe Premier and other;
- ☐ Olympus digital cameras and a Sony digital video camera which can be checked out of the lab;
- ☐ Many types of storage disks including ZIP, writeable CDs, DAT, and digital video tapes are available for purchase right in the lab.

Part 2 PARTS OF THE MANUSCRIPT

The following is a list of the required parts of the thesis/dissertation in the order in which they should appear in the manuscript.

- Title Page
- Copyright Notice (optional)
- Library Rights Statement
- Abstract
- Dedication/Preface (optional)
- Acknowledgments (optional)
- Table of Contents
- List of Tables (if any)
- List of Figures (if any)
- Text of the Manuscript
- Endnotes (if any)
- Bibliography (or References, or Works Cited)
- Appendix or Appendices (if any)
- Biography of the Author

There are certain requirements as to the content and appearance of the above parts. Students should read the following descriptions carefully and study the samples in the appendices.

2.1. Title Page

The Title Page is the first page of the manuscript. It is considered page i, but the number must not appear on the page. The complete title should appear in ALL CAPS, the student's full name as it appears in University records, previous degree(s) earned, a statement of fulfilling requirements for the degree sought, the institution, and the month and year of the student's graduation date should appear centered on the page. The advisory committee members should be listed at the bottom. The first name on that list is that of the Advisor. The way the text is positioned on the page should be exactly as in the sample pages in Appendix A. Two copies of the title page must be submitted with the manuscript.

2.2. Copyright Notice

This page is optional, unless the manuscript has been formally registered. In either case, if the student chooses to acknowledge his or her rights as author, a copyright notice should be placed as the sole text on a page immediately following the title page. The page is counted and the number is typed on the page. The copyright notice is centered vertically and horizontally

within the margins. Unless there are special terms under which the work has been copyrighted (see 1.8.3.2.), the text of the notice may take either of these two forms:

Copyright 2001 Student's name
or
© 2001 Student's name
All Rights Reserved

2.3. Library Rights Statement

A Library Rights Statement must accompany the manuscript. The type and paper quality must match those of the manuscript. So do the style of the heading and the font. The required wording is stated on a sample page in Appendix B. The statement must be followed by an original signature and dated. The Library Rights Statement page is not paginated.

2.4. Abstract

An abstract, which is a clearly written, concise summary of the thesis/dissertation, must be included in the manuscript. It describes the problem, the procedures or methods used, and the results and conclusions of the research. Since doctoral abstracts are included in Dissertation Abstracts International, it is extremely important to write accurately (see Appendix C for tips for writing abstracts). Formulas, diagrams or other illustrations are not included in the abstract.

Master's abstracts should not exceed 500 words. The maximum length for doctoral abstracts is 350 words (to comply with BHIL). The heading is not counted in the 350-word limit for dissertation abstracts. Two copies of the abstract are required for a Master's thesis, and three copies for a doctoral dissertation. The abstract is **NOT** paginated.

The heading of the abstract includes the title of the thesis/dissertation which should appear in ALL CAPS, the author's full name, the name of the thesis advisor, a statement that the thesis/dissertation is fulfilling requirements for a degree sought in a particular department, and the month and year of the candidate's graduation date (see Appendix C).

For complex or extremely discipline-specific dissertations, an additional abstract (Lay Abstract), in language suitable for a lay audience, must also be submitted. This abstract must not exceed 350 words. At the student's request, this abstract may also be bound with the dissertation.

2.5. Acknowledgments

This page is for the author to express professional and/or personal indebtedness. Permission(s) to use previously copyrighted materials, receipt of grant funds, and so forth can also be included. Students must be consistent with the use of the third ("the author") or first

person throughout. This page is optional, but if included, it is numbered and listed in the Table of Contents.

2.6. Table of Contents

The Table of Contents is basically a topic outline of the manuscript. It functions as an index to the work and must fully and accurately reflect the organization of the information. The chapters and subsections must be labeled exactly as they are in the text. Other points:

1. The Copyright Page, Table of Contents, Abstract, and Library Rights Statement are NOT listed in the Table of Contents.
2. All chapter divisions and subdivisions must be listed. If the system of headings is used for organizing the text of the manuscript, then the sub-divisions should be indented appropriately in the Table of Contents. If the student is using the decimal system for marking the subsections in the text, this should also be reflected in the Table of Contents (see Appendix D).
3. An Appendix "A" should not be listed unless there is an Appendix "B." Each Appendix must be listed by its title and page number. If there is only one Appendix, it is listed by the name "Appendix" and its title.
4. Leader dots must be used to connect the chapters' and subsections' headings to their respective page numbers. The text of the headings should not extend into the area where the page numbers are placed. A rule of thumb would be to have at least 5 leader dots between the headings/subheadings and the page numbers.
5. The Biography of the Author page is the LAST page of the thesis/dissertation.

2.7. Tables, Figures, Theorems, Symbols, Abbreviations, Definitions

A TABLE is a columnar arrangement of information organized to save space and convey relationships at a glance. A FIGURE is a graphic illustration (chart, graph, diagram, photo, map or plate). Figures may be professionally prepared or drawn by the author. In either case, they must be high quality, clear, and with crisp, dark lines.

The List of Tables and the List of Figures (if any) are entered separately. A List of Tables/Figures is necessary even if there is only one table/figure. If the text of the manuscript contains a consistent set of theorems, symbols, abbreviations or definitions, those should be listed in a List of Theorems, Symbols, Abbreviations, or Definitions respectively. These lists are also included in the Table of Contents.

All words on tables or figures must be typed. Computer-generated figures are acceptable if they are of letter-quality print and large enough to be readable on microfilm. (Note: if color is used in any figures, it will not reproduce on microfilm.) Other points:

1. Tables and figures must be numbered and titled. Further explanatory information can be provided in a caption. Whenever possible, the title and caption should be placed on the same page as the table or figure; however, if it is not possible to fit both on one page, a facing page may be used to label the table or figure (see 3.4.)
2. The tables and figures are numbered separately from each other. Each group can be numbered consecutively throughout the entire manuscript or by chapter using a decimal numbering system (e.g., the third table in chapter two will be Table 2.3., and the third figure in chapter two will be Figure 2.3.). The same system should be used for numbering both groups (i.e., if the tables are numbered by the chapter decimal system, so should be the figures).
3. All tables and figures must fit into the required page margins (see 3.4. for guidelines for including oversize tables and figures).
4. The font size and style used within the tables and figures may vary from the text if necessary, but **the title and caption are part of the text** and, therefore, the font of the numbers, titles and captions must be the same as in the rest of the manuscript.
5. Tables and figures should be placed in the text as they are mentioned. If larger than one-half of the page, however, they must be placed on a separate page.
6. Appendix tables and figures must be numbered separately (e.g., the third table in appendix A would be numbered A.3.). They must also appear in the List of Tables and Figures respectively.
7. Photographs must be originals or high-quality reproductions. If possible, color should be avoided as it does not reproduce on microfilm. If original photos are used, they must be attached to the page by dry-mount process or with rubber cement. All photographs must have captions.

2.8. Text of the Manuscript

Since a thesis/dissertation is usually of considerable length, it needs to be organized carefully. A uniform organizational scheme should be applied to the whole text so that a reader can tell at a glance which ideas are of greater, lesser or equal importance. Still, breaking the text into too many small parts should be avoided.

The text may be divided into chapters, parts, or other types of sections and the principles of division should be consistent throughout. Whether they are centered, bold, indented, underlined or numbered, the sections' and subsections' headings should follow a regular pattern. Two popular arrangement schemes are the headings system and the decimal system. If the former is used, then the series of headings should be based on the chapter that has the most levels, so that the format of primary, secondary, tertiary or further subdivisions matches. If a decimal system is used, the subdivisions are simply assigned additional numbers

under the same leading number (see Appendix F). A chapter cannot have a single subsection. If it does, it should either be reorganized into two subsections or the text in the chapter should be consolidated.

2.9. Bibliography

The full publication information of all sources cited in the manuscript should be provided in a Bibliography which is placed after the text, but preceding the Appendix. The layout as well as the title of the Bibliography (Works Cited, References) depends on the style manual that is being followed (see 3.8.). If the thesis/dissertation has been compiled from a series of articles, the references must still be combined into a single, comprehensive Bibliography.

2.10. Appendices

The appendices contain material that is pertinent to the text, but not directly included (raw data, questionnaires, consent forms, etc.). If there is only one appendix, it is called "APPENDIX" (not Appendix A) and is given a title. If there are two or more appendices, each is labeled, given a title, and entered on a new page. The titles of the appendices should be listed in the Table of Contents.

Pagination from the text must continue throughout the appendices. If display pages are used, they must be counted in the pagination. The margins and font size used in the appendices should be the same as in the text. A reduced copy of material may be included in an appendix; however, the font style of the title and caption of such material should be the same as in the text.

2.11. Biography of the Author

A biography of the candidate must be included in the thesis. It must be written in the third person and include the following information: place of birth, place of high school graduation, place and date of college graduation with degree(s) and major(s), professional or employment experience, scholarly publications, and memberships in professional or honorary societies. The last sentence must state, "S/He is a candidate for the-----degree in ----- from The University of Maine in Month, Year." (See Appendix G).

Part Three

STYLE AND FORMAT REQUIREMENTS

This part of the guidelines includes requirements regarding paper quality, font size and style, margins, spacing, pagination, and other features of the layout.

3.1. Paper Quality

The original, or final, copy of the manuscript must be on plain, white, 8 1/2" x 11 inch paper of 16-20 pound weight and of at least 25% cotton (rag) content. Acceptable paper has a watermark indicating the rag content. Such paper is available in the bookstore or at other office supply merchants.

The tentative copy may be on lesser quality paper as it is less expensive. However, for the final copy, ALL pages of the thesis/dissertation must be on the appropriate paper (this may indeed be a high quality photocopy onto bond paper).

3.2. Print Requirements

All print styles must be clear, sharp, and of uniform darkness.

The print MUST be "LETTER QUALITY." This means that characters are sharp, crisp and unbroken, and produce true descenders (i.e. the tails on letters such as "p" and "q" descend clearly). Some dot matrix printers MAY be capable of producing letter-quality print. However, if individual dots are visible, it is not letter-quality print. IT IS THE STUDENT'S RESPONSIBILITY TO ASCERTAIN THAT THE PRINT QUALITY MEETS THE REQUIREMENTS OF THE GRADUATE SCHOOL. If there are any doubts, students are advised to bring in a print sample to the Thesis/Dissertation Consultants and have it checked in advance.

Font size should be 10 or 12 pitch (10 or 12 characters per inch), and the height must be between 10 and 12 point. Italic print should not be used except for emphasis. The same typeface must be used throughout the manuscript, including the page numbers, footnotes and/or endnotes.

Each page should be printed on one side only.

3.3. Margins

Margins on each page MUST be at least one and a half inches on the left, and at least one inch on the right, top and bottom side of the page. This allows for proper binding. All

tables, figures, appendices, and other illustrative material must conform to the margin specifications. On facing pages, if any, the left and right margins should be reversed (see Appendix H).

3.4. Oversize Material

Oversize tables, figures, and other materials can be included in the manuscript in several ways:

- a. Tables or figures may be placed sideways (landscape) on the page. If so, the page number should appear in the same place as all other page numbers of the manuscript.
- b. The body of the figure or table may be reduced, but NOT the title or caption.
- c. If a table/figure fits within the margins of a page, but there is no room left for the title and caption, a facing page can be used. A facing page is a page which immediately precedes the page with the oversize table/figure and which “faces” it, i.e. it is face down in comparison to the other pages in the manuscript. It is printed on one side only. Facing pages are numbered consecutively within the text, as are all pages, but the left and right margins are reversed (see Appendix H).
- d. Oversize pages are not desirable, but are allowed. They must be included in a pocket that will be attached to the cover of the binding. The Table of Contents must indicate that such material is “In Pocket.”
- e. A fold-out page may be used. The oversize sheet must be folded 7" away from the left edge of the base layer so that the folded sheet matches in size the rest of the manuscript. Pages may also be folded from the top or bottom.

3.5. Pagination

Each page of the thesis or dissertation is numbered consecutively with the exception of the Library Rights Statement and the Abstract(s), which are not paginated. The preliminary pages, starting with the title page, are marked by lower case Roman numerals (i, ii, iii, iv, v, vi, etc.). Beginning with the first page of the text, all pages, including the appendices, are numbered consecutively with Arabic numerals (1, 2, 3, 4, etc.).

Pagination Example

Preliminary Pages	Page Numbers	Pagination
Title Page	(i)	page is counted, number NOT typed on the page
Copyright Notice (Optional)	ii	page is counted, number typed on the page
Library Rights Statement		page NOT counted, number NOT typed on the page
Abstract		page NOT counted, number NOT typed on the page
Dedication/Preface (Optional)	lower case Roman numerals	page is counted, number typed on the page
Acknowledgments (Optional)	lower case Roman numerals	page is counted, number typed on the page
Table of Contents	lower case Roman numerals	page is counted, number typed on the page
List of Tables (If any)	lower case Roman numerals	page is counted, number typed on the page
List of Figures (If any)	lower case Roman numerals	page is counted, number typed on the page
Body Pages		
Text of Manuscript	Arabic numerals	page is counted, number typed on the page
Endnotes (If any)	Arabic numerals	page is counted, number typed on the page
Bibliography/References	Arabic numerals	page is counted, number typed on the page
Appendix(ces)	Arabic numerals	page is counted, number typed on the page
Biography of the Author	Arabic numerals	page is counted, number typed on the page

Page numbers may be placed in the **top right** hand corner or **bottom center** of the page. Page numbers need not fall within the required margins of the text, yet they must not appear closer than approximately half an inch from the top and one inch from the right, or half an inch from bottom edge of the page. The location and the font style of the page numbers must be consistent throughout the manuscript.

Page numbers are optional on display pages, but these pages must be counted in the consecutive pagination of the manuscript. (See the Appendices of this manual as an example for formatting display pages).

Page numbers on fold-out pages must appear in the same place as the page numbers in the rest of the manuscript. If the thesis/dissertation is paginated in the top right corner, then the page number on the fold-out page should appear on the top face of the folded extension.

3.6. Spacing

The text of the thesis/dissertation must be double-spaced. Depending on the style manual followed (see 1.2. and 3.8.), spacing may vary for footnotes, endnotes, appendix material, and the Bibliography.

3.7. Paragraph Settings

The text of paragraphs of 3 lines or less must be kept together on the same page. This rule applies also to the bibliographical entries and the Table of Contents—a beginning or end line which belongs to a paragraph or a block of text must not be left alone on the bottom or top of a page. This can be achieved by using the “Orphans/Widows Protection” or the “Keep Text Together” features of most word processors.

Headings or subheadings appearing at the bottom of the page that are not followed by text (called orphans) must be moved to the next page.

3.8. Documenting Sources

The Graduate School does not prescribe any particular style for documenting sources. Students should follow consistently the guidelines of their style manual (see 1.2.). However, if conflict arises, **the specified typing and formatting requirements of the Graduate School take precedence over all other manuals and style sheets.**

If the thesis/dissertation was created from a series of articles, these must be combined under a uniform style for documenting sources. The manuscript must also include a single, comprehensive Bibliography (see 3.10).

3.8.1. Formats for In-text and Bibliography Citation

All sources mentioned or used in the text should be documented fully. This is achieved by marking the point of reference in the text and then providing the full bibliographical information of the source in the Bibliography. The following is a brief overview of the citation systems of four common style manuals.

	In-text Citation	Bibliography
MLA	a combination of signal phrases and parenthetical references According to Smith (45). . .	called Works Cited an alphabetical list of all sources cited in the text
APA	parenthetical references (author date) (Smith, 1996)	called References an alphabetical list of all sources cited in the text
Chicago	footnotes/endnotes with complete publication information	called Bibliography an alphabetical list of all the works cited or consulted
CBE	a number system: sources are given a number in the text Smith ⁷ confirms that. . .	called References or Cited References a list of sources numbered and arranged in the order in which they were cited in the text

3.8.2. Citing Internet Sources

Internet sources, such as web sites, reference works, electronic texts (books, poems, etc.), government documents, news articles, newsgroups and listservs, MUDs and MOOs, e-mail, etc., should be documented fully. A rule of thumb when citing on-line sources is to include as much information as available: web site title, web site producer, database name, on-line address (URL), update date, access date, etc. The way in which these are arranged within the bibliographical entries should be consistent throughout.

Most manuals have developed guidelines for citing sources from the world wide web. If there are doubts that the available print copy of a manual is not up-to-date enough and/or does not include guidelines for citing a specific electronic source, students should double check with the web site of the professional organization publishing the manual or consult one of the following regularly updated on-line reference sites providing information about citing Internet sources.

Style	Additional resources for citing on-line sources
MLA: English and other humanities	<http://www.mla.org> You can also follow the Columbia Online Style developed by Janice Walker for the Alliance for Computers and Writing <http://www.cas.usf.edu/english/walker/mla.html> .
APA: The social sciences	<http://www.uvm.edu/~ncrane/estyles/apa.html>
Chicago: History	The Chicago Manual of Style does not include guidelines for documenting on-line sources. The University of Chicago Press recommends following the system developed by Andrew Harnack and Eugene Kleppinger in <i>Online! A Reference Guide to Using Internet Sources</i> , 1998 ed. (New York: St. Martin's, 1998). You can also see Diana Hacker's <i>Research and Documentation in the Electronic Age</i> , available online at <http://www.bedfordstmartins.com/hacker/resdoc>
CBE: Biology and other sciences	For a quick overview of CBE's guidelines for citing Internet sources, see <http://library.morningside.edu/scistyle.htm> See Diana Hacker's <i>Research and Documentation in the Electronic Age</i> , available on-line at <http://www.bedfordstmartins.com/hacker/resdoc>

The Fogler library also maintains a virtual reference desk which provides links to style guides and information about citing electronic resources. The service is available on the library's web page at <http://libraries.maine.edu/marreference/citations.htm>.

3.8.3. Footnotes and Endnotes

All sources mentioned in the notes should be fully documented in the Bibliography. Endnotes cannot be used in place of the Bibliography.

Footnotes appear at the bottom of the page or at the end of a chapter; endnotes appear on a separate page at the end of the text before the Bibliography (see Part 2). The notes must be numbered consecutively throughout the text by a raised arabic numeral which corresponds to the number of the note at the bottom of the page or at the end of the text.

The font size of the footnotes and endnotes must NOT be smaller than 10 points to allow for proper microfilming. Apart from that, the content and layout of the notes depends on the style manual that is being followed.

3.9. Two-Volume Thesis

If a thesis is 500 or more pages long or over 2 1/2" thick, inclusive of all material, it must be bound in two volumes. The break between the two volumes must be at the end of a chapter. The volumes should be approximately equal in size. EACH VOLUME CONTAINS A TITLE PAGE AND A TABLE OF CONTENTS.

The title page for each volume specifies the volume and chapters included in that volume. The Table of Contents for Volume I lists the material contained in the entire thesis (both volumes). The pagination is continuous from Volume I to Volume II. The Title Page and Table of Contents pages in Volume II are assigned Arabic numerals.

3.10. Thesis/Dissertation Compiled from Two or More Articles

A manuscript can be compiled from two or more articles previously written by the student for publication or presentation. However, these should be reformatted to conform with the format requirements of the Graduate School. Such a thesis/dissertation should have one comprehensive abstract and one comprehensive Bibliography. The separate articles should be reorganized as chapters and listed as such in an overall Table of Contents. The individual abstracts of the articles may be kept but listed in the Table of Contents as chapter subsections titled 'chapter abstract' or 'chapter summary.' The List of Tables/Figures should cover all tables/figures in the manuscript. The tables/figures should be titled and numbered continuously and in a uniform style. The font style and the text organization style of the combined manuscript should be consistent throughout.

Part 4

ELECTRONIC THESIS/DISSERTATION

The University of Maine Electronic Theses and Dissertations (ETD) project is a joint effort of the Fogler Library and the Graduate School. The goals of the project are “to improve graduate education, increase sharing of knowledge, help universities build their information infrastructure, and extend the value of digital libraries.” These goals are in line with the objectives of the Networked Digital Library of Theses and Dissertations (NDLTD, at <http://www.ndltd.org>), a national initiative of which The University of Maine is a member. The ultimate goal of the NDLTD project is the creation of a freely accessible, international digital library and database of theses and dissertations.

For the student, the benefit of electronic publications is that other researchers in the field will be able to use and cite the full text of the thesis/dissertation. Even if the student chooses to have only the abstract entered into the database, the work will still have greater exposure than was possible in the past. This is especially true of Master’s theses from The University of Maine because they are not indexed by BHIL’s Dissertation Abstracts International and are not available from BHIL in any format.

Another important advantage of the ETD project is that theses and dissertations with hypertext or software applications will be more easily stored, retrieved, and used. As more universities participate in the NDLTD initiative, students will also benefit from being able to access, free of charge, the research of others in their field.

4.1. The ETD Database

The pilot project database, which was released to the public via the web in early 1999 at <http://libraries.maine.edu/umaine/theses>, includes records and/or full text of selected University of Maine Master’s theses and doctoral dissertations from 1998 forward. Users are able to browse the database as well as search by keyword in the title, abstract, author, name, and department fields. Those theses and dissertations approved for release can be viewed in their entirety.

Once the ETD is submitted, the library creates a standard record that contains certain bibliographical information and the abstract. This record is in html, text searchable format, and it becomes part of the university’s ETD database. The whole document of the thesis/dissertation is converted into pdf files and then, depending on the status selected on The University of Maine Graduate School Electronic Theses and Dissertation (ETD) Submission Approval Form (see 4.2.), it is made available on-line to all users or to campus computers only. The author is notified once the thesis/dissertation is entered into the database.

4.2. Submitting the Electronic Thesis/Dissertation

In order to submit their thesis/dissertation in electronic format via ftp or diskette/CD-ROM, students should follow the instructions found on the UMaine Electronic Thesis and Dissertations web site (<http://libraries.maine.edu/umaine/theses/>) under the “About” button. For technical assistance with the submission process, students can contact Marilyn Lutz or Terry Ross at (207) 581-1746. Their offices are located on Floor 1-B of Fogler Library.

The submission process includes the following steps:

- ☐ A paper copy of the thesis/dissertation should be submitted to the Graduate School for archival purposes. The manuscript should meet all requirements for content and format outlined in this manual.
- ☐ The Doctoral Dissertation Agreement Form, in the BHIL booklet *Publishing Your Dissertation: How to Prepare Your Manuscript for Publication*, must be completed and submitted to the Graduate School (doctoral candidates only).
- ☐ The University of Maine Graduate School Electronic Thesis and Dissertation (ETD) Submission Approval Form must be submitted on-line to the library from the UMaine Electronic Thesis and Dissertation web site (see above). The completed form must be printed out from the web site and submitted to the Graduate School as well.
- ☐ A copy of the thesis/dissertation must be sent to the Graduate School on a 3.5" disk. The label of the disk should include: author's name, date, computer platform, software, and file format(s) of the document.

4.3. File Formats

4.3.1. Platform

Both Macintosh and MS-DOS platforms are accepted.

4.3.2. Text Formats

Rich Text Format (RTF) (preferred)

Microsoft Word

ASCII text

WordPerfect

Hypertext Markup Language (HTML)

Text in other standard word processing software may also be submitted.

4.3.3. Graphic Formats

JPEG

GIF

Photoshop

TIFF

PICT

BMP

EPS

Graphics are preferred in JPEG format, followed by GIF format.

4.3.4. Submitting Files via ftp

This option will be available soon.

4.4. Long Term Archiving

At present, print copies of theses/dissertations are archived in the Special Collections Department of Fogler Library, regardless of whether or not an ETD exists. In addition, BHIL archives all doctoral dissertations on microfilm. In the future, a standard for electronic archiving may be developed, and all students may be required to submit an ETD rather than, or in addition to, a print copy.

REFERENCES

- American Psychological Association. (1993). Publication manual (3rd ed.). Washington DC: Author.
- Association for Support of Graduate Students. (1999). ASGS services and sources of information and support for graduate students [Online]. Available: <http://www.asgs.org> (1999, June 30).
- Bell & Howell Information and Learning. (1999). Dissertation services [Online]. Available: <http://wwwbellhowell.infolearning.com/hp/Support/DServices> (1999, July 27).
- Council of Graduate Schools. (1991). A policy statement: The role and nature of the doctoral dissertation. Washington DC: Kay Hancock.
- Crews, K. D. (1992). Copyright law and the doctoral dissertation: Guidelines to your legal rights & responsibilities. Ann Arbor, MI: UMI/Bell & Howell.
- Gibaldi, J. (1995). MLA handbook for writers of research papers (4th ed.). New York: MLA.
- Hacker, D. (1999). Research and documentation in the electronic age (2nd ed.). Boston: Bedford/St. Martin's.
- Miller, J.I., & Taylor, B.J. (1987). The thesis writer's handbook. McMinnville, OR: Alcove.
- Tennessee Technological University. (1998). Guide to the preparation of theses and dissertations [Online]. S. Kendrick (Ed.). Available: <http://www.tntech.edu/www/acad/grad/thesis/> (1999, June 28).
- University of Delaware. (1998). Thesis and dissertation manual. [Online]. Available: <http://www.udel.edu/provost/thesismanual/htmlformat/> (1999, July 27).
- Wagenen, R. K.V. (1991). Writing a thesis: Substance and style. Englewood Cliffs, NJ: Prentice Hall.

APPENDICES

Appendix A
SAMPLE TITLE PAGES

Appendix A.1. Doctoral Candidate

Appendix A.2. Master's Candidate

**DOCTORAL DISSERTATION'S TITLE CENTERED AND
IN AN INVERTED PYRAMID FORMAT**

By

John Doe

B.A. Somename College, 1993

M.A. University of Someplace, 1995

A THESIS

Submitted in Partial Fulfillment of the

Requirements for the Degree of

Doctor of Philosophy

(in Chemical Enineering)

The Graduate School

The University of Maine

December, 1999

Advisory Committee:

Marilyn Monroe, Professor of Chemical Engineering, Advisor

Cinderella Glass-Slipper, Professor of Chemical Engineering

Merlin Wizard, Associate Professor of Chemical Engineering

Robin Hood, Assistant Professor of Wood Science and Technology

Alice Wonderland, Associate Professor of Statistics

**MASTER'S THESIS' TITLE CENTERED AND IN
AN INVERTED PYRAMID FORMAT**

By

Jane Doe

B.S. University of Someplace, 1997

A THESIS

Submitted in Partial Fulfillment of the

Requirements for the Degree of

Master of Science

(in Food Science and Human Nutrition)

The Graduate School

The University of Maine

May, 2000

Advisory Committee:

Tom A. Jerry, Professor of Food Science and Human Nutrition, Advisor

Elmer Fudd, Associate Professor of Food Science and Human Nutrition

Bugs Bunny, Assistant Professor of Human Development

Appendix B

SAMPLE LIBRARY RIGHTS STATEMENT

LIBRARY RIGHTS STATEMENT

In presenting this thesis in partial fulfillment of the requirements for an advanced degree at The University of Maine, I agree that the Library shall make it freely available for inspection. I further agree that permission for "fair use" copying of this thesis for scholarly purposes may be granted by the Librarian. It is understood that any copying or publication of this thesis for financial gain shall not be allowed without my written permission.

Signature:

Date:

Appendix C

SAMPLE ABSTRACT

The layout of the Abstract page is the same for doctoral dissertations as it is for Master's theses.

The attached sample contains tips for writing academic abstracts.

**TITLE OF THE THESIS/DISSERTATION CENTERED AND
IN AN INVERTED PYRAMID FORMAT**

By John Doe

Thesis Advisor: Dr. Bugs Bunny

An Abstract of the Thesis Presented
in Partial Fulfillment of the Requirements for the
Degree of Master of Arts
(in Communication)
August, 2001

The abstract should be a condensation of the substance of the student's work, and not an introduction nor a text version of the Table of Contents. Within the space limit of 350 words (doctoral dissertations) or 500 words (Master's theses), the writer should convey to the reader concisely and accurately the significance of the work, the boundaries of space and time that it encompasses, the method of inquiry, as well as the claim to generality (if any) made in the research. The abstract should be well balanced to reflect not only the eye-catching or original elements of the thesis/dissertation, but the overall spirit and structure of the work. This balance is achieved if the abstract and the manuscript make sense without one another.

Depending on the type of research format that the thesis/dissertation has followed, the abstract may include information about some or all of the following elements: purpose, scope, method, results, recommendations, and conclusions. It should become clear from the abstract what the main idea of the research project is—what is the central question that the author is trying to answer, why this question is important, what has been discovered, why this discovery

is significant, and who could benefit from the findings. Summarizing the scope of the research should provide the reader with an idea about the author's focus in the work and the motifs behind that focus. A brief description of the method should explain what kinds of evidence have been provided and how the author has attempted to prove their validity. A succinct analysis of the results of the research should reveal the consequences of the discoveries that have been made, so that the recommendations or solutions offered by the author are given a relevant context. The summary of the conclusions of the research may specify whether the author claims any "cause and effect" relationships and/or whether the problem or central issue of the project has been resolved.

An effective abstract uses well developed, coherent, concise and unified paragraphs with the elements of the research being discussed in logical order. Double caution must be used to make sure that there are no spelling or grammar mistakes. An abstract should not add any new information but should simply summarize the manuscript. A good abstract will also be intelligible to a wide audience.

Abstracts are recycled in electronic and abstracts journals, and they are an efficient way for scholars to keep up with the on-going research in their fields. Therefore, the more clearly the abstract portrays the substance of the research project, the better chance there is that the author's contribution to the field will be acknowledged.

Appendix D

SAMPLE TABLES OF CONTENTS

Appendix D.1. Table of Contents with the System of Headings

Appendix D.2. Table of Contents with the Decimal System

The first sample in this appendix shows a Table of Contents for a thesis/dissertation with four levels of headings and subheadings. The second sample Table of Contents reflects a manuscript organized with the decimal system of headings.

The Table of Contents page(s) are paginated by lower case Roman numerals. These should appear in the same location as the page numbers in the rest of the manuscript (i.e. if the page numbers in the text appear in the top right corner of the page, so should the page numbers of the preliminary pages, including the Table of Contents). Hence, the sample pages attached here would have belonged to a manuscript paginated in the top right corner of the page.

TABLE OF CONTENTS

ACKNOWLEDGMENTS.....	iii
LIST OF TABLES.....	vi
LIST OF FIGURES.....	vii
Chapter	
1. CHAPTER HEADING.....	1
First Level Heading.....	3
Second Level Heading.....	8
Third Level Heading	10
Fourth Level Heading.....	10
Fourth Level Heading.....	11
Third Level Heading	12
Second Level Heading.....	13
First Level Heading. If the title of this section does not fit on one line, it should be split into two or more lines so that at least five leader dots (....) are left between the text and the page number.....	21
Second Level Heading.....	29
Second Level Heading.....	56
2. CHAPTER HEADING.....	70
First Level Heading.....	70
First Level Heading.....	86

REFERENCES.....	90
APPENDICES.....	94
Appendix A. Title.....	95
Appendix B. Title.....	101
Appendix C. Title.....	112
BIOGRAPHY OF THE AUTHOR.....	123

TABLE OF CONTENTS

ACKNOWLEDGMENTS.....	ii
LIST OF TABLES.....	v
LIST OF FIGURES.....	vi
Chapter	
1. CHAPTER HEADING.....	1
1.1. First Level Heading.....	1
1.1.1. Second Level Heading. If the title of a heading is too long to fit on one line, it should be split into two or more lines so that at least 5 leader dots (.....) are left between the text and the page number.....	2
1.1.1.1. Third Level Heading	5
1.1.1.2. Third Level Heading	5
1.1.2. Second Level Heading.....	6
1.2. First Level Heading.....	7
1.2.1. Second Level Heading.....	12
1.2.2. Second Level Heading.....	39
2. CHAPTER HEADING.....	46
2.1. First Level Heading.....	53
2.2. First Level Heading.....	59
BIBLIOGRAPHY.....	80
APPENDIX. Title.....	72
BIOGRAPHY OF THE AUTHOR.....	86

Appendix E

SAMPLE LISTS OF TABLES/FIGURES

The List of Tables and the List of Figures should include the number, title and page number of the in-text tables/figures and the tables/figures included in the appendix(es). The first sample list in this appendix illustrates tables which have been numbered according to the chapters in which they appear as well as tables which have been included as appendix material. The second sample list shows figures which have been numbered consecutively throughout the manuscript. This list also includes figures from the appendix. If a manuscript includes both tables and figures, each group should be organized by the same system: either according to the chapter where they appear, or continuously throughout the manuscript.

The page numbers on the List of Tables/Figures should appear in the same place as in the rest of the manuscript. The sample lists shown in this Appendix would have belonged to a manuscript paginated in the top right corner of the page. As all preliminary pages, a List of Tables/Figures is paginated by lower case Roman numerals.

LIST OF TABLES

Table 3.1.	Title of the only table in Chapter 3.....	17
Table 4.1	Title of the first table in Chapter 4.....	25
Table 4.2	Title of the second table in Chapter 4.....	37
Table 5.1.	Title of the first table in Chapter 5.....	55
Table 5.2.	Title of the second table in chapter 5. Titles which are too long to fit on one line without interfering with the column of page numbers on the right should be split into two or more lines so that at least 5 leader dots (.....) are left between the text of the title and the page number.....	62
Table A.1.	Title of the only table in Appendix A.....	82
Table C.1.	Title of the first table in Appendix C.....	89
Table C.2.	Title of the second table in Appendix C.....	90

LIST OF FIGURES

Figure 1.	Title of the First Figure in the Thesis/Dissertation.....	4
Figure 2.	Title of the Second Figure in the Thesis/Dissertation.....	7
Figure 3.	Title of the Third Figure in the Thesis/Dissertation.....	16
Figure 4.	Title of the Fourth Figure in the Thesis/Dissertation.....	23
Figure 5.	Title of the Fifth Figure in the Thesis/Dissertation.....	32
Figure 6.	Title of the Sixth Figure in the Thesis/Dissertation.....	33
Figure A1.	Title of the First Figure in the Only Appendix.....	71
Figure A2.	Title of the Second Figure in the Only Appendix.....	72

Appendix F

SAMPLE SYSTEMS FOR ORGANIZING THE TEXT OF THE MANUSCRIPT

Appendix F.1. Text Organized by the System of Headings

Appendix F.2. Text Organized by the Decimal System

This appendix illustrates ways for arranging the text of the manuscript. The first sample shows text organized by the headings system in which sections and subsections are distinguished by the style of their headings. If using this system, students should be careful to remain consistent in all chapters. The levels of subheadings should be reflected in the Table of Contents.

The second sample in this appendix shows text organized by the decimal system. In this arrangement, subdivisions are grouped by number. Students may choose to indent the headings of the subsection as shown in the sample here, or they may place all headings and subheadings to the far left.

The organization of the sample text in Appendix F.1. is reflected in the sample Table of Contents in Appendix D.1. In a similar way, Appendix F.2. is related to Appendix D.2. in this manual.

Chapter 1

CHAPTER HEADING

A chapter starts on a new page. The chapter heading may be followed by some introductory text as shown here. Or, the first chapter subdivision may appear right away, as shown in the next sample. The current sample shows text organized with four levels of subdivision. The style of the headings may vary from those shown here, yet every effort should be made to have the organizational scheme clear at a glance. Italics cannot be used for headings or subheadings. Bold styles, underlining, and/or different levels of indentation can be used.

First Level Heading

[illegible]

Second Level Heading

[illegible]

Chapter 1

CHAPTER HEADING

1.1. First Level Heading

Text text text text text text text text text text text text text text text text

text text text text text text text text text text text text text text text text.

1.1.1. Second Level Heading

Text text text text text text text text text text text text text text text text

text text text text text text text text text text text text text text text text.

[illegible][illegible]

1.1.2. Second Level Heading

Text text text text text text text text text text text text text text text
text text text text text text text text text text text text text text text.

1.2. First Level Heading

Text text text text text text text text text text text text text text text text
text text text text text text text text text text text text text text text text.

Appendix G

SAMPLE BIOGRAPHY OF THE AUTHOR

BIOGRAPHY OF THE AUTHOR

Jane Doe was born in Bradley, Maine on June 14, 1973. She was raised in Milford, Maine and graduated from Old Town High School in 1990. She attended the University of Notre Dame and graduated in 1994 with a Bachelor's degree in Mathematics. She returned to Maine and entered the Civil Engineering graduate program at The University of Maine in the fall of 1995.

After receiving her degree, Jane will be joining B & B Co., an international infra-structure developer, to begin her career in the field of bridge construction. Jane is a candidate for the Master of Science degree in Civil Engineering from The University of Maine in December, 2001.

Appendix H

SAMPLE FACING PAGE

A facing page can be used to include the title and/or caption of an oversized table/figure. The left and right margins are reversed, i.e. the left margin on this page is 1" and the right margin is 1.5" to allow for proper binding. If the whole manuscript is paginated in the bottom center of the page, so is the facing page. If the whole manuscript is paginated in the upper right corner of the page, the page number of the facing page should appear in the upper left corner.

9¹ The page number appears as a mirror image of the page number of the following page.

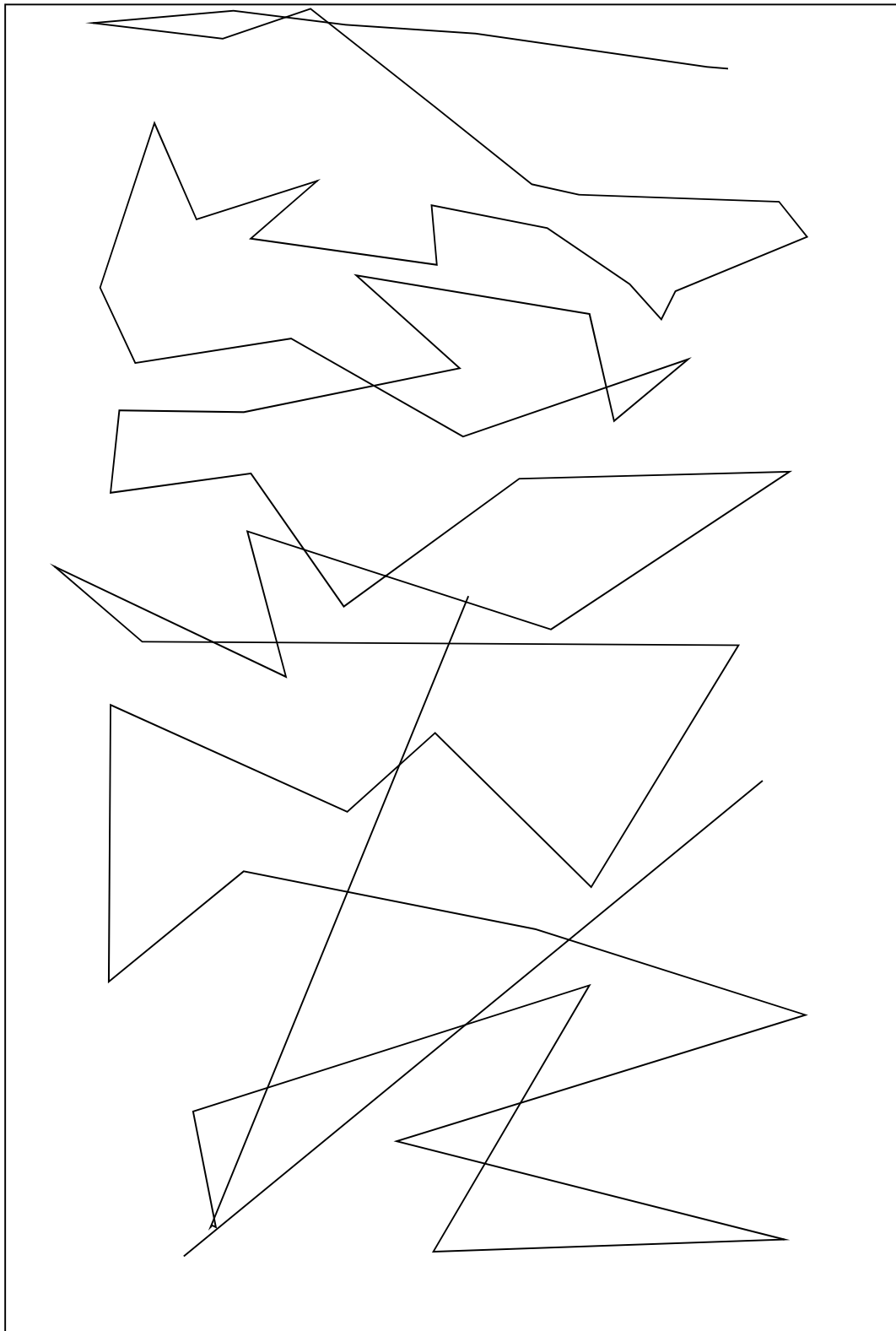
Figure H.1. Graduate Students' Professional Development

The figure shows that graduate students' professional growth and development is straightforward, efficient, direct, and with few ups and downs. The figure also shows that at the end of their training, the students' line of development points to a bright, safe and comfortable future.

¹ left margin 1"

right margin 1.5" ,

If the manuscript is paginated in the top right corner, the page number on this page should appear there as well. 9



Appendix I

SUMMARY CHECKLISTS

- I.1. Checklist for Program Requirements
- I.2. Checklist for Format Requirements

Appendix I.1.

CHECKLIST FOR PROGRAM REQUIREMENTS

- ☐ Has the student checked the following deadlines?
 - _____ Deadline for filing the Application for Degree form (Office of Student Records);
 - _____ Due date for submitting the tentative copy of the thesis/dissertation to the Graduate School Thesis/Dissertation Consultant;
 - _____ Final date for oral defense;
 - _____ Deadline for submitting the final copy of the manuscript to be checked by the Thesis/Dissertation Consultants;
 - _____ Date set for Commencement.
- ☐ Has all COURSE WORK been completed?
- ☐ Has the RESIDENCY REQUIREMENT been satisfied?
- ☐ Has the student passed the Preliminary or Comprehensive EXAMINATIONS?
- ☐ Has the NOTICE OF ORAL EXAMINATION FORM been submitted to the Graduate School to schedule the ORAL DEFENSE at least 2 weeks prior to the defense?
- ☐ Has the TENTATIVE COPY of the thesis/dissertation been submitted to the Graduate School Thesis/Dissertation Consultants at least 24 hours prior to the oral defense accompanied by a signed TENTATIVE THESIS ACCEPTANCE FORM?
- ☐ Has the student checked with the Graduate School Thesis/Dissertation Consultant after the oral defense for necessary format corrections and picked up the tentative copy of the manuscript?
- ☐ If the student has passed the oral defense successfully, has the FINAL COPY of the thesis/dissertation been submitted to the Graduate School along with a signed FINAL THESIS ACCEPTANCE FORM?
- ☐ Doctoral candidates only: Has the COMPLETION OF REQUIREMENTS FORM been submitted by the Graduate Coordinator?
- ☐ Doctoral candidates only: Has the student signed the BHIL FORM for microfilming and the SURVEY OF EARNED DOCTORATES FORM and submitted them to the Graduate School along with a check for \$55.00 made payable to The University of Maine?

Appendix I.2.

CHECKLIST FOR FORMAT

- ☐ Is the TITLE PAGE in duplicate? Does the wording appear exactly as in the sample in Appendix A?
- ☐ Does the TITLE of the manuscript appear the same, word for word, on the Title page, the Abstract and the BHIL form? Is the STYLE of the HEADINGS of all parts of the manuscript the same?
- ☐ Is the ORIGINAL LIBRARY STATEMENT signed by hand and dated?
- ☐ Does the ABSTRACT meet the requirements for length—500 words for Master's and 350 words for doctoral manuscripts? Is it in duplicate (Master's) or triplicate (doctoral)?
- ☐ Is the PAGINATION of the preliminary pages in lower case Roman numerals, and that of the text in Arabic numerals? Have the pages of the Abstract and the Library Rights Statement been paginated by mistake? Are the Bibliography and the Appendices included in the continuous pagination of the text as required?
- ☐ Do the MARGINS on all pages meet the required sizes: 1 1/2" on the left, 1" on the right, top and bottom?
- ☐ Are the TABLES and FIGURES numbered, titled and captioned consistently throughout the manuscript? Are they displayed in the text as they are mentioned and not left behind at the end of the text? Are the appendix tables and figures numbered separately and listed in the List of Tables/Figures?
- ☐ Does the TABLE OF CONTENTS display the headings and subheadings and their respective page numbers exactly as they appear in the text? Does it reflect fully and accurately the organization of the text? Are there at least 5 leader dots left between the headings and the page numbers?
- ☐ Are the APPENDICES titled and listed in the Table of Contents?
- ☐ Does the BIBLIOGRAPHY include all sources used in the manuscript? Are the entries listed in a uniform style?
- ☐ Is the PRINT QUALITY of the whole manuscript letter-quality, with crisp, dark lines?
- ☐ Is the PAPER of the final copy plain, white, and with 25% cotton content?
- ☐ Is the text on all paragraphs kept together so that no single lines (widows or orphans) are left alone at the top or bottom of the page?