



# Doctor of Public Administration Program Student Handbook\*\* 2020-2021

SCHOOL OF PUBLIC & INTERNATIONAL AFFAIRS  
UNIVERSITY OF BALTIMORE

\*\*Does not replace the content of the official UB Graduate Catalog in place when the student was admitted. Please consult the Graduate Catalog for policies governing doctoral students

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## THE FACULTY

### DPA Program Director

**Dr. Aaron Wachhaus**, associate professor. Areas of research interest and expertise: public administration and governance theory; social networks and network analysis; community-building. Contact information: 410.837.6113; [awachhaus@ubalt.edu](mailto:awachhaus@ubalt.edu)

### Faculty Members

**Dr. John J. Callahan**, executive in residence. Areas of research interest and expertise: public finance and budgeting; intergovernmental relations and federalism; health care reform; biopreparedness; and leadership and crisis management.

Contact information: 410.837.6174; [jcallahan@ubalt.edu](mailto:jcallahan@ubalt.edu).

**Dr. Thomas A. Darling**, associate professor. Areas of research interest and expertise: strategic planning; dispute resolution; application of information technology to individual and group decision-making in the public sector.

Contact information: 410.837.6195; [tdarling@ubalt.edu](mailto:tdarling@ubalt.edu).

**Dr. Ed Gibson**, associate professor. Areas of research interest and expertise: performance management; public finance with emphasis on equity investment in municipalities; and ideational influence on policymaking.

Contact information: 410.837.6117; [egibson@ubalt.edu](mailto:egibson@ubalt.edu).

**Dr. Ferzana Havewala**, assistant professor. Areas of research interest and expertise: program & policy evaluation; quantitative research methods; social inequality; segregation; food insecurity.

Contact Information: 410.837.5326; [fhavewale@ubalt.edu](mailto:fhavewale@ubalt.edu).

**Dr. Lenneal J. Henderson**, emeritus professor. Areas of research interest and expertise: social equity; public management; state & local government.

Contact information: [lhenderson@ubalt.edu](mailto:lhenderson@ubalt.edu).

**Dr. George Julnes**, professor. Areas of research interest and expertise: program evaluation studies; program evaluation theory; disability policy; and human services.

Contact information: 410.837.6256; [gjulnes@ubalt.edu](mailto:gjulnes@ubalt.edu).

**Dr. C. Alan Lyles**, professor; Henry A. Rosenberg Professor of Public, Private and Nonprofit Partnerships. Areas of research interest and expertise: managing pharmaceutical supply: domestic and international; health insurance initiatives; prevention and treatment of obesity, substance abuse and other lifestyle consequences.

Contact information: 410.837.6101; [calyles@ubalt.edu](mailto:calyles@ubalt.edu).

**Dr. Jiwon Nam-Speers**, assistant professor.

Contact information: 410.837.5539; [jnam@ubalt.edu](mailto:jnam@ubalt.edu).

**Dr. Lorenda A. Naylor**, associate professor. Areas of research interest and expertise: child welfare; privatization; and administrative reform.

Contact information: 410.837.6089; [lnaylor@ubalt.edu](mailto:lnaylor@ubalt.edu).

**Dr. Laura Wilson-Gentry**, professor, associate Dean. Areas of research interest and expertise: program evaluation; policy studies of welfare reform and the working poor.

Contact information: 410.837.6102; [lwgentry@ubalt.edu](mailto:lwgentry@ubalt.edu).

**Dr. Heather Wyatt-Nichol**, associate professor. Areas of research interest and expertise: diversity management, ethics, family friendly-workplace policies, organizational behavior and social equity.

Contact information: 410.837.6173; [hwyatt-nichol@ubalt.edu](mailto:hwyatt-nichol@ubalt.edu).

### Affiliated Faculty

**Dr. P. Ann Cotten**, director, Schaefer Center for Public Policy. Areas of research interest and expertise: strategic planning; performance measurement; program evaluation; survey research; focus group moderation; public sector management; managerial accounting; and workforce planning.

Contact information: 410.837.6188; [acotten@ubalt.edu](mailto:acotten@ubalt.edu)

## DEGREE REQUIREMENTS

DPA students are required to complete 48 credits beyond their master's degree. The curriculum consists of seven core courses, two methodology courses, three specialization courses and a minimum of 12 hours of dissertation research. Students must have a GPA of 3.00 or above to graduate. Earning more than 2 course grades of B- or lower will result in dismissal from the program. The program requires:

### Core Courses (21 credits)

- PUAD 810 Foundations of Public Administration (3)
- PUAD 811 Strategic Management in the Public Sector (3)
- PUAD 813 Seminar in Doctoral Research (3)
- PUAD 814 Policy Making and Implementation (3)
- PUAD 815 Public-Sector Financial Analysis (3)
- PUAD 817 Seminar in Program and Policy Evaluation (3)
- PUAD 824 Doctoral Seminar in Organizational Theory (3)

### Advanced Methodology (6 credits)

- PUAD 831: Case Study and Qualitative Methods
- PUAD 832: Quantitative Methods (may be replaced with another methods course after receiving approval from the DPA Director).

### Specialization Courses (9 credits)

All students must complete three courses in a field of specialization such as program administration, program evaluation; health administration; or administration of justice. Students may create their own specialization upon receiving approval from their advisor. Students may not take more than 6 elective credits as either online courses or independent studies. Permission of the program director is required for independent studies. Requests for an independent study should include a brief description of course goals, schedule, and deliverables along with the instructor's acknowledgement of these course elements.

With permission of the program director, students may transfer up to nine credits (9) of specialization courses taken elsewhere. These courses cannot be more than seven years old and must not have been

used to fulfill the requirements of another degree. Please consult the graduate catalog for additional information.

## Dissertation Research

- PUAD 899 Dissertation Research (12 credits)  
Before enrolling in this course students must: 1) complete all course work; 2) have a topic and working title for their dissertation; 3) have their Dissertation Committee Chair sign off a completed DPA Check List form (Appendix A); 4) have the form verified by the Program Coordinator; and 5) submit the form to the DPA Director.
- PUAD 898 Continuous Enrollment  
Students who have earned 12 credits of PUAD 899 but have not completed their dissertation must enroll in 1 credit of PUAD 898 each semester until their dissertation has been completed and successfully defended.

## ADVISING

### Academic

The program director serves as academic advisor for the program; in general, the academic advisor is the best resource for academic and personal career planning. You may also consult with other faculty members, particularly to discuss the possibility of collaboration or getting additional guidance. Further, you may consult with your peers. However, in no case should these be used as substitute for advising from the academic advisor.

### Administrative

The program's academic advisor should always be contacted first whenever you have questions regarding administrative tasks such as filing forms with the University or the Program. This staff member will know the official process that needs to be followed or the people whom you need to talk to. She will also keep a copy of any paperwork you file with the program or University for your student record. Finally, many of the questions you may have, (e.g., What courses are being offered? What are the dates for filing graduation papers? When does the semester start?), can be answered by visiting the University's webpage: [www.ubalt.edu](http://www.ubalt.edu) or the DPA's webpage: <http://www.ubalt.edu/cpa/graduate-programs-and-certificates/degree-programs/doctor-of-public-administration/index.cfm>

## Continuous Enrollment

All graduate students at the University of Baltimore must complete their degrees within seven (7) years from initial enrollment in the program (this includes the dissertation).

Students are expected to be continuously enrolled in classes. The University does recognize that there are circumstances that may create the need for students to absent themselves from studies: If they expect to be gone longer than 180 days, then students should file for a leave of absence from the program—this keeps students under the catalog they came in under. However, the leave of absence does not stop the seven year clock. Failure to enroll continuously may require students to petition for re-admission to the program. Consult the catalog for procedures to follow.

When ready to begin dissertation work, they must sign up for at least three credit hours per semester of PUAD 899 until they exhaust the required 12 hours of PUAD 899. Thereafter, students must sign up for 1 credit hour per semester of PUAD 898 until the dissertation has been completed and successfully defended.

## THE DISSERTATION

The final product required for completion of a doctoral degree is a serious scholarly undertaking. It gives students an opportunity to integrate the knowledge and skills that they have acquired over their course of study; it provides a way to incorporate the theory, research methods, and practical knowledge of the discipline into a single project. It is expected to contribute new knowledge and/or new application of knowledge to the field of study. It is truly a self-directed process of which the individual student is ultimately in charge. Unfortunately, the attrition rate at this stage is very high (some suggest that as many as 50% of doctoral students remain All But Dissertation<sup>1</sup> for life!). Thus, completing a dissertation is quite an accomplishment.

The dissertation is not equivalent to the end product of an independent study or to a big paper written to satisfy a course requirement. For one thing, a dissertation is not measured by its size. Also, a dissertation is not completed when you decide you have done all you want to do; instead, it is finished when your Dissertation Committee Chair and Committee Members agree it meets standards of independent doctoral research and accomplishes the research as laid out in the student's prospectus. A

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<sup>1</sup> See <http://writingcenter.unc.edu/handouts/dissertations/>



student usually takes at least one and a half years to satisfactorily complete the dissertation after it has been fully conceptualized.

Dissertations are graded Pass/Fail. While students are working on a dissertation, they receive a CS (continuing studies) grade each semester for those credits for which they have registered. This grade is changed to Pass when, in the judgment of the Chair and Committee, they have satisfactorily completed all of the requirements (accepted prospectus, completed dissertation, successful oral defense, submission of final documents to ProQuest and to UB's Library for binding).

Some students may come to the program with an idea of what they want to do for their dissertation work. Others discover their interest in a topic during course work. Regardless, they should discuss their research interest and the requirements of the dissertation with the DPA Program Director early in their career. In this way they can be pointed in the direction of faculty members who may share their interest in the topic.

The costs of doing a dissertation are borne by the student; there is no University or College financial support for completing this work. It is certainly possible that participation in faculty members' research projects during graduate studies will provide support for the dissertation, but at this time there is no direct subsidy for graduate research. Costs for using licensed questionnaires and survey instruments, for using specialized software, and paper costs are the responsibility of students. The use of computer lab hardware and licensed software at UB are covered by the fees paid by students. Special photography or printing costs must also be anticipated.

Costs for the assistance and mentoring provided by faculty members are covered in the tuition payments for dissertation courses. However, if students do not complete the dissertation within the required number of credit hours listed in the catalog, they must pay additional tuition and fees to cover the costs of these services.

## STEPS TO GETTING A DISSERTATION PROSPECTUS ACCEPTED

There are various ways in which students approach their dissertation. This section outlines processes that must take place for a prospectus to be approved. Some of these steps occur sequentially; others occur simultaneously.

### Choosing a Chair

The first step is to select a Dissertation Committee Chair (or find a Chair who will select them). The Chair must be a full time University of Baltimore faculty member in the College of Public Affairs at the

Associate or Full Professor level; an exception may be made to allow a senior Assistant Professor to serve as chair with the approval of the Program Director.

A faculty member is not obligated to take on the responsibility of directing dissertations. Faculty members usually direct dissertations that interest them and are related to their own research agendas. Faculty members may refer students to someone else in the department whom they believe has better expertise in the area a student wishes to pursue. Faculty members are limited in the number of dissertations that they can direct at one time. So, at times a faculty member may have to say no, even if they are very interested in a student's topic.<sup>2</sup>

### Selecting Committee Members

Dissertations are not under the sole direction of one individual faculty member. Each dissertation involves a committee of faculty members who must give approval to the project. Besides the Chair, two other Committee Members assist with the dissertation.

For doctoral dissertations, Committee Members must possess a terminal degree and must be members of the full-time University of Baltimore faculty. In certain cases, one Committee Member may be a doctoral level academic or professional who works outside the university. However, this exception requires PRIOR written approval of the Dissertation Chair and the Program Director. As this committee member is expected to attend the prospectus defense and the dissertation defense, it is highly recommended that s/he be located in the metropolitan Baltimore area.

This Committee should be put in place early in the process of the dissertation, before the prospectus is ready for approval. But this is not necessarily done before the study is fully outlined. Committee members have a right to provide input along the way in the dissertation. Nonetheless, they are not the student's primary contact, the Chair is. Moreover, they probably do not expect to be involved in every little detail of the project in the same way as the Chair.

In most cases, students will find it unproductive to give all committee members all copies of drafts of the prospectus and/or (later) the dissertation itself. While students should develop the content of the prospectus in concert with all Committee Members, they should not have all of them edit every early draft. It is the responsibility of the Chair to monitor the process and to involve or help students involve the committee members appropriately.

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<sup>2</sup> So how should you go about finding a Chair? I encourage you to read Laurie L. Hernandez's (1996) "In Search of a Dissertation Committee: Using a Qualitative Research Approach to Study a Lived Experience" (<http://www.nova.edu/ssss/QR/QR2-4/hernandez.html>) for ideas on how to go about such an important quest.

### Developing a Prospectus<sup>3</sup>

In consultation with their Committee Chair, students will prepare a prospectus of approximately 50 pages (35 pages is too short and 65 pages is probably too long).

The prospectus serves as the contract between student and committee members for the dissertation. It defines the central problem, lays out the scope of the dissertation, and specifies methods for conducting the research. In essence the dissertation prospectus should answer three questions: 1) What are you doing? 2) How are you doing it? 3) Why is it important that you do it? To accomplish this, the prospectus should include:

- a) **Topic/Central Question/ Thesis Statement:** This clearly states the research problem or research question or set of questions that the dissertation will attempt to find answers to. The topic must be of central importance to the field of public administration, of interest to the student, acceptable to the Dissertation Chair, and “doable.” This section should convince readers that you will be making a contribution to the field, not simply repeating what has already been done.
- b) **Knowledge Base/Literature Review:** The dissertation prospectus (and the dissertation itself) must be grounded in the relevant literature related to the topic of study. A properly conducted literature review helps students shape their research and link it to the larger field of public administration. More specifically, it should help refine the research question(s), develop the research design and the hypotheses, and, ultimately, help in the interpretation of the findings of the research. The literature review should critically evaluate existing knowledge and clearly identify the gaps that the dissertation will fill. Thus, it should not be confused with an annotated bibliography.
- c) **Theoretical Or Conceptual Model:** this is the essence of the dissertation. This represents what the research is about and why it is important. The model is grounded in the relevant literature and guides the research, determining what things will measure, and what relationships the student will look for. An ill-conceived theoretical or conceptual framework will render the rest of the prospectus useless.

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<sup>3</sup> Many sources were used in developing this section of the Handbook. You are encouraged to review them. These include: USC School of Policy Planning and Development (<http://www.usc.edu/schools/sppd/private/documents/doctoral/resources/dissertationproposal.pdf>); University of Nebraska at Omaha (<http://avalon.unomaha.edu/pubadminphd/resources/DissertationGuidelines.pdf>); University of Florida (<http://plaza.ufl.edu/edale/Notes%20for%20dissertation%20prospectus%20writers.htm>); University of Oklahoma (<http://www.ou.edu/cas/psc/graduate/phdprospectus.html> )

- d) **Research Design:** This describes the procedures to be used to accomplish the specific aims of the project. It is important to note that the research question should dictate the research design. Some questions are best suited for a quantitative design while others may call for a mixed-methods approach. Thus, student should not approach their dissertation topic thinking that they will use one method or another before they settle on the research question(s). In this section of the prospectus students will describe how they propose to collect their data and the techniques that will be used for analysis. The proposed data collection and techniques for analysis must be consistent with the proposed research design (i.e. quantitative, qualitative, or mixed- methods).
- e) **References:** This section should not be excessively long. Only those works central for your problem and cited in the text should be included. However, note that the research must be well grounded in the literature. Thus, students may choose to include as an attachment a bibliography that includes work that is relevant but not central to the research at the time the prospectus is prepared.

### Defending the Prospectus

The approval of the prospectus occurs through a formal meeting of the full Committee and the student. At least three weeks prior to the date of this meeting, the student presents each committee member (including the Chair) with a final draft of the project prospectus. This allows the committee members ample time to read and critique the prospectus. The Chair will schedule a time and location for the defense.

At the prospectus defense, the student is expected to formally present an outline of the prospectus to the group. The student may use appropriate software for this presentation, which should take 20 - 30 minutes. If the project cannot be presented succinctly within that time frame it is probably not well developed. The student presentation is followed by questions and suggestions from the Committee Members.

The student will leave the room and the Committee will render one of the following decisions:

1. Prospectus not accepted and not eligible for follow-up review.
2. Prospectus not accepted as it presently exists, but specific changes and/or additions are recommended with follow-up review to occur by a specific date.
3. Prospectus accepted with minor changes to the final draft of the prospectus. (In this case the Chair will see that the modifications are made within two weeks.)
4. Prospectus accepted as is.

The Chair immediately communicates the committee's decision orally to the student. In addition, the Chair shall communicate a decision of the first or second case in writing to the DPA Program Director, via the Prospectus Approval Form (see Appendix D). In the second case the Prospectus must again be formally presented by the candidate and formally reviewed by the Committee Members. At this second presentation one among decisions (1), (3) or (4) above must result. NO prospectus is permitted a third review.

When the third case results, the Committee Members and the student sign and date the Prospectus Approval Form. The student has two weeks to make the modifications; when they are complete, the Chair signs the approval form and gives a copy to the student. The original of the approval form and a copy of the final Prospectus are forwarded by the Chair to the DPA Program Director within two business days.

When the fourth case results, the form can be immediately signed by all present. A copy of this form is given to the student and the original, with a copy of the prospectus attached, is given to the DPA Program Director.

The Dissertation Prospectus, as accepted, is a firm agreement. The Chair and Committee Members can hold the student responsible for doing whatever was stated in the prospectus; that means that the student may not finish if everything is not completed as stated. The Chair and Committee Members may not add on to the prospectus or ask the student to do additional work not specified in the prospectus. Of course, by mutual agreement, the prospectus may be amended. If amendment will provide a better product, it deserves careful consideration. In any case, either the student and the Chair should require that amendments be put in writing.

## Seeking Institutional Review Board Approval for Research

Students are required in all cases to submit an Application for Approval of Research, whether or not it involves human subjects, to the Institutional Review Board (IRB) for review of their research prospectus. In many cases, this will be pro forma (that is, there is no harm or minimal potential for harm to subjects); in other cases, there may be some question and this submission and approval will be a critical step in the research process. Approval from the IRB must be obtained AFTER the dissertation prospectus has been defended successfully. If any significant changes are made to the prospectus after the initial review then IRB review must re-occur. IRB applications are made online through UB's Quali protocols, accessible through your myub portal. Information on UB's IRB process is available online at <http://www.ubalt.edu/about-ub/offices-and-services/provost/reporting-units/sponsored-research/institutional-review-board.cfm>

## WHAT HAPPENS AFTER THE PROSPECTUS IS APPROVED?

Different students will use different approaches. However, everyone will spend their time developing the chapters of their dissertation, implementing their research design to collect and analyze their data, and writing about the findings. Students write about what they have done in order to make the results public and contribute to the body of knowledge in their chosen field.

During this time students will complete several drafts of the dissertation. These drafts will be reviewed by the Chair and, under his/her advice, by the Committee Members. Students should expect writing and rewriting several times and anticipate that their efforts to make deadlines will be thwarted. Everything will take longer than originally planned.

## HOW DO YOU COMPLETE THE DISSERTATION?

Students can expect that their dissertation will undergo several drafts; but there will come a day when the Chair and Committee Members agree that the work is essentially finished. This means that all major issues surrounding the project have been resolved and dealt with; it also means that materials are well edited and approved. At this moment students are ready to prepare the final "draft" copy of their work. When the Chair and Committee Members have approved this draft, the Oral Defense may be scheduled. The Oral Defense is open to the university community and especially to the faculty and students of the graduate program in which the student is enrolled. The student, the Chair and Committee Members must be in attendance.

Remember: faculty members need adequate turn-around time (a minimum of three weeks) to read your drafts and give you feedback.

If you expect to graduate at the end of a specific semester, you must reach this point early in that semester. Completion of dissertations ordinarily occurs in fall or spring semesters, not in summer semesters. Thus, the oral defense must be held by April 15 if you wish to graduate in May and by November 15 if you wish to graduate in December.

There are usually follow-up corrections that must be completed after the Oral Defense. In addition, students are required to have their thesis or dissertation bound and submitted to UB's Library and to ProQuest (the University of Michigan). Completing these finishing requirements takes some time. Students cannot receive approval for graduation until the Oral Defense is successfully completed. Also, they cannot receive a passing grade and/or their diploma until all additional requirements have been met.

### Oral Defense

The Oral Defense includes a public presentation of the dissertation and its results and a question and answer period. Students are given a maximum of 30 minutes to present the crux of their project. In order that this exposition shows the work in the best possible light, students are required to use professional presentation techniques that are appropriate to their work.

As part of the scheduling of the Oral Defense it is the chair's responsibility to:

- a) Inform the DPA Program Director that the dissertation is ready to be defended.
- b) Schedule a time and location for the defense that is acceptable to all required attendees.
- c) Coordinate the room reservation with SPIA's academic program specialist.
- d) Request that the academic program specialist notify the SPIA community of the scheduling of the dissertation defense.

The student is responsible for:

- a) Obtaining all necessary materials for the presentation.
- b) Providing a copy of the final version of the dissertation to each member of the examining committee.
- c) Preparing brief handouts or copies of their presentation for the general audience. The Dissertation Chair may require that other materials be submitted.

### After the Presentation

The public presentation is immediately followed by a public questioning session and defense. The Committee Members will ask questions about the dissertation work followed by other faculty members who may be in attendance and, finally, by students. In addition to asking questions, the Committee Members may require that certain corrections or changes be made. These will not usually be substantive but, in certain rare cases, may be. Students should not come to this moment unless the dissertation is “just about finished.”

After the questioning session and defense, the student will leave the room and the Chair and Committee Members will render a decision about the dissertation. The Chair will take the responsibility of recording any changes, corrections, and/or additions that must be made so that this information can be communicated accurately to the student (and within two business days) in writing. The student will return to the room and the Chair and the Committee Members will report the decision. If the student has done the work in accordance with what is outlined here and required by the Dissertation Committee, this will be a time of celebration!

The following results may occur at the end of an Oral Defense:

1. The dissertation is not accepted as it presently exists, but specific changes and/or additions are recommended with follow-up review to occur by a specified date.
2. The dissertation is accepted with minor changes on the final copy. (In this case the Chair will see that the modifications are made within two weeks.)
3. The dissertation is accepted as is.

In the rare case that (1) has occurred, the student will be required to defend the dissertation a second time and graduation will be delayed. Only ONE additional oral defense is permitted. If (2) or (3) have occurred, the dissertation has been approved and the second page of the printed document may be prepared (see Appendix E). This page contains the original signatures of the Chair and Committee Members. Two original signature pages (on high quality paper) – see Preparation Guide (Appendix B)– are required. The Committee Members may sign at the end of the Oral Defense; the Chair may sign only after any required changes in (2) have been made. One original of this signature page must be filed with the DPA Program Director and the second original must be presented to the Library in order to have the dissertation bound.



## Document Binding

To really be done students must complete any changes or corrections required by decision (2) above and then obtain the signature of the Chair and Committee members on the two original signature pages. Second, they must print their dissertation and present it for binding at the Library as well as submit electronic copies to KnowledgeWorks@UB and to ProQuest (University of Michigan) for publication. Full instructions for submitting electronic and paper copies of the dissertation are available on the library's website. See

<http://library.ubalt.edu/services/thesis-submission.cfm> for details. Students must provide the Chair of their committee with a signed receipt to that effect (see Appendix F). Then (and not before) the Chair can submit a final grade for the course so that the student can officially graduate and obtain their diploma. To have the dissertation bound at UB's Library:

1. Determine the total number of copies that you would like to have made – including the required number of copies for the University of Baltimore. Typically, three to five copies are needed.

Required copies for UB include:

- One copy for the Library
- One for your graduate program to be submitted to the Program Director

Other copies can include:

- One for yourself
- Any number – for others (family, friends, etc.)

2. Print one copy of your final manuscript on high quality paper. Take this original (including the original signed second page) to a professional copier for the necessary number of copies. You may have to supply the copier with high quality paper (see Appendix B). These copies must be exact reproductions of the original (that is, no shrinkage, margin changes, etc. that may result from the photocopying) if the manuscript is to meet binding standards. The cost of this copying is borne by the student.

3. Take all of the paper copies for binding to the Library's digital resources specialist. They submit the copies to be bound. Binding is burgundy with gold lettering; it creates a distinctive document representative of you and of UB. The Library pays for the one copy they require; you are expected to pay for the copy required by your graduate program and for any copies for yourself or others. Payment by check is required so that you have a receipt; the Library does not accept credit card payment. Make out the check to University of Baltimore and include your social security number. Ask the Library staff member you work with to sign the required departmental receipt so that the Chair of the dissertation can issue a grade (again, see Appendix

F). The binding process occurs once a year after classes finish and turnaround takes approximately four weeks. Full details on the submission process are available at

<http://library.ubalt.edu/services/thesis-submission.cfm>

4. The Library will transmit the bound copy for your graduate program to the program director. You must pick up the copies you ordered for yourself and your family and friends.

**Now you are truly finished; congratulations, Doctor!**

## APPENDICES

### Appendix A: DPA Checklist

\*\* All course work must be completed before registering for PUAD 899. This form must be signed by the Dissertation Committee Chair and verified by the Program Coordinator before permission to register can be granted.

Student ID:

Date of Admission to the Program:

Student Name and Signature:

COURSES	SEMESTER	GRADE	TRANSFERRED
PUAD 810 Foundations of Public Administration (3)			
PUAD 811 Strategic Management in the Public Sector (3)			
PUAD 813 Seminar in Research (3)			
PUAD 814 Policy Making and Implementation (3)			
PUAD 815 Public Sector Financial Analysis (3)			
PUAD 817 Seminar in Program and Policy Evaluation (3)			
PUAD 824 Doctoral Seminar in Organizational Theory (3)			
Specialization Courses (9 credits)			
Advanced Methodology (6 credits)			
PUAD 831: Case Study and Qualitative Methods			
PUAD 832: Quantitative Methods			
Other:			
Dissertation (12 credits)			
PUAD 899 Dissertation Research			

Working title of dissertation:

Committee Chair (name and signature):

Other Dissertation Committee Members (if known):

Program Coordinator (signature):

(Date)

Approved Y[ ]. N [ ]

APPENDIX B: REQUEST TO INCLUDE AN EXTERNAL COMMITTEE MEMBER

Please print

Student Name \_\_\_\_\_

Date: \_\_\_\_\_

I request permission to include an external member on my doctoral committee, named below:

Name \_\_\_\_\_

Institutional affiliation \_\_\_\_\_

To support this request, the following are attached:

Link to professional/institutional web site

CV or resume

Agreement from proposed committee member of willingness to serve

Student statement of proposed member's fit with dissertation research

\_\_\_\_\_ approved / denied

Chair

\_\_\_\_\_ approved / denied

Program Director

\_\_\_\_\_ approved / denied

Dean's office

## APPENDIX C: DISSERTATION PREPARATION GUIDE AND CHECKLIST FOR PROSPECTUS AND DISSERTATION

This Preparation Guide is intended to supplement style information contained in the American Psychological Association Style Manual required for use in the dissertation for the DPA program at the University of Baltimore.

This style manual is comprehensive in the area of stylistic rules and guidelines. You are expected to use the manual and online materials provided by this organization in order to produce a professional product that correctly utilizes the citation methods and stylistic features of the style manuals. It is your responsibility (to be verified by the Chair of your thesis or dissertation) to use these features correctly. Please note that style manuals are primarily written for those who are preparing articles for professional journals. As such, they do not provide specific directions for the formatting of the final printed document. The difference that should be noted is that when you prepare a manuscript for the typesetter (as the profession was called), you do not format the finished product yourself. Instead, you provide suggestions for the typesetter. This is not the case with a dissertation. When you complete a dissertation, you actually prepare the finished product for binding. For this reason, it is important that you follow certain formatting and other guidelines so that your bound manuscript looks professional and reads well. Full instructions for formatting and preparing your dissertation are available at <http://library.ubalt.edu/services/uploads/documents/thesis-binding.pdf>

You, the graduate student, must assume primary responsibility for the content, writing, and format of your dissertation. This includes the substantive content of the dissertation as well as avoidance/correction of all errors – typographic, format, spelling, grammar, syntax, etc. The Chair and Committee Members will determine whether the finished document meets required academic standards for content and writing; they will also provide guidance and assist you in understanding and meeting the technical requirements.

The Dissertation Chair may choose to apply these rules for the presentation of the Prospectus.

### **Manuscript Preparation**

1. The standard page size is 8 1/2 x 11 inches. The Library copy must be printed on acid free cotton paper (archival paper). You are strongly advised to use twenty- four pound acid free paper of at least 25% fiber content for the other copies. This is NOT the standard copy paper that you see in this document in your hand. You must use this paper for the bound copies of your thesis; you do not want to waste money by using it for all the drafts.

2. The manuscript must be printed on one side of the paper only.
3. Many typefaces are available on most modern printers. You must use a common, non-script typeface of 10 to 12 points in size. The recommended fonts are:  
11 point Courier New 11 point Times New Roman 12 point Courier New 12 point Times New Roman  
When you set up tables using a font like Times New Roman, which is a proportionally spaced font, some problems may result. Using Courier New (a fixed space font) will make that process easier. You are not permitted to switch from one font to another in the dissertation document.
4. Document margins should be 1" for the top, bottom and right hand margin. The left hand margin should be 1.5 inches to permit binding. Text must be left-justified with 1.5 line spacing.

### **Arrangement of the Manuscript**

Essentially the dissertation document consists of three types of pages: Preliminary Pages, Text Pages and Supplementary Pages. The order in which these pages must occur, a brief description of their content, and whether or not they are required is provided below. The appendices show how pages should be numbered and present information about margins.

#### *Preliminary Pages*

1. Title Page (Required)
  - a. This page includes the title of your study (in CAPS and lowercase), your name, a statement as to what this document is, the Division or School within the College, the University Name and the month and year in which your thesis is completed. A model is included in Appendix E. This page is required and you may not deviate from the wording of the content in the model.
  - b. In selecting a title for your thesis remember to include all necessary key words so that the content of your study is correctly and fully conveyed. The title should contain a maximum of 10-12 words. Omit any redundant words or words that do not contribute to the essential meaning. State your title so that it accurately reflects the meaning you intend. See the style manuals for specific guidelines and requirements. It is possible for the title to change between the Prospectus and the final edition of the Manuscript.
2. Approval Page (Required)
  - a. This page contains the signatures of your Director and Committee Members. The example in Appendix E must be followed exactly. One original of this page is filed with

the Graduate Program Director; one original is submitted and retained in aUB Library bound copy.

3. Dedication Page (Optional) If you use this, it should be brief and it must be centered (left-right but not top-bottom).
4. Acknowledgment Page (Optional)
  - a. Although optional, this page is customary. It is a statement of your appreciation to those who gave you special assistance or support in writing your project. It should not be an “Academy Award” acceptance speech. Center the word ACKNOWLEDGMENTS two inches from the top of the page. Start your text three lines below this heading and double space.
5. Abstract (Required)
  - a. The abstract should be prepared according to the directions contained in the style manual. With respect to length, you must strictly adhere to a single page limit for the abstract page. Center the word ABSTRACT two inches from the top of the page. Three lines below this heading, center the title of your dissertation exactly as it appears on the title page. Three lines below the title, center your name. Two lines below your name begin the text of your abstract.
6. Table of Contents (Required)
  - a. The Table of Contents should include any and all levels of subheadings you have employed throughout the dissertation. The wordings of headings in the table of contents must correspond exactly to the wording of those headings in your text. Indentations should follow the levels of the subheadings you are using. Most word processors have built-in mechanisms for creating a Table of Contents. They will achieve these exact matches and indentations if you format your document correctly as you create and edit it.
  - b. Only material that follows the Table of Contents is listed in it; preceding material is not included. Center the heading TABLE OF CONTENTS two inches from the top of the page. The arrangement or layout of the table of contents should be pleasing to the eye. It is usually best to include ellipsis marks (e.g., dots) to guide the reader’s eye from the entry to the page number.
7. List of Tables (Required sometimes)

- a. This list is required if there are two or more tables in the document. The heading LIST OF TABLES should be centered two inches from the top of the page. The titles of the tables should be exactly as they appear on the table itself.
8. List of Figures (Required sometimes)
  - a. The list of figures is also required if there are two or more figures in the manuscript. Center the heading, LIST OF FIGURES, two inches from the top of the page. The list of figures should give the titles of the figures exactly as they occur with the figure itself. This format follows closely that of the list of tables.

#### *Explanatory Footnotes*

Footnotes at the bottom of the page should not be used for citation; rather only to provide additional explanation to a statement in the text.

#### **Supplementary Pages**

1. **Appendix or Appendices (Required sometimes)** This section contains your questionnaires or other instruments used to gather data. It could also contain large tables that are not appropriately placed in the text itself. In some disciplines it would contain original data, mathematical derivations, computer programs, quotations too lengthy for inclusion in the text, or material not immediately essential for the understanding of the text. An appendix or appendices should follow the last page of the text. The section may be introduced with a consecutively numbered page on which the word Appendix or Appendices), in caps and lower case, is centered (left-to-right and top-to-bottom). If more than one appendix is used, each starts on a new page and the title, Appendix A, etc., must appear on the first page of that appendix. The arrangement of the appendices depends on the order in which you reference them in the text. Materials within each appendix should be grouped consistently and all pages should be numbered consecutively. If you create questionnaires or instruments for use in your study you will need to incorporate them here; keep this in mind when you first format them for use.
2. **References (Required)** Only references actually cited in your document should be listed here. Make sure that you do a cross check to verify that each citation is included and that no reference which has not been cited is included. You are advised to prepare this section as you write the Prospectus rather than saving it for the end. However, because of repeated editing of the manuscript, it must be thoroughly checked against the text before you print the final copy of the dissertation. Center the word References, in caps and lower case, at



the top of the page. References should be single spaced within a reference and double spaced between references. Follow the instructions in the style manual for the construction of references.

### **Arrangement of Dissertation Prospectus**

Should the Dissertation Chair so require, for the Prospectus, the only exception to the paper and typeface information previously stated for the Manuscript is that of paper quality. You may use standard copy paper for the prospectus.

- Preliminary Pages –only the Title Page is required; do not include other preliminary pages.
- Text Pages –all the information about text pages for the Manuscript applies here.
- Supplementary Pages –you will have an appendix or appendices; these include any instruments that you will be using to gather data and measure variables for the dissertation.
- You must include the Reference section.

In addition, you must include a Time Table. While this is not immutable, it should be carefully designed and demonstrate that you have seriously thought about all the tasks still remaining for completion of your dissertation.

### **Doctoral Dissertation Checklist<sup>4</sup>**

#### General Checklist for the Dissertation Prospectus

- |  |  |
|--|--|
| ✓ The title is clear and concise;  | ✓ Hypotheses, elements, or research questions are clearly stated;                              |
| ✓ Problem is significant and clearly stated;   | ✓ Hypotheses, elements, or research questions are testable, discoverable, or answerable;       |
| ✓ Limitations of the study are stated;   | ✓ Hypotheses, elements, or research question are derived from the review of the literature;    |
| ✓ Limitations are well defined and appropriate to the solution of the problem;                       | ✓ Relationship of the study to previous research is clear;                                     |
| ✓ Assumptions are clearly stated;  | ✓ Review of the literature is efficiently summarized;  |
| ✓ Assumptions are tenable;   | ✓ Research design is clearly and comprehensively stated, and demonstrated to be related to the |
| ✓ The research projected by the prospectus does not violate human rights or animal care obligations; |  |
| ✓ Important terms are well defined;  |  |
| ✓ Specific questions to be studied are clearly stated;   |  |

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<sup>4</sup> Adapted from the University of Nebraska at Omaha:  
<http://avalon.unomaha.edu/pubadminphd/resources/DissertationGuidelines.pdf>

- research questions, elements, or hypotheses;
- ✓ Methods of data collection are clearly presented and demonstrated to be related to the research questions, elements, or hypotheses;
  - ✓ Techniques of analysis whether quantitative or qualitative are clearly stated and justified within the context of the research design;
  - ✓ Sentence structure, grammar, spelling, and punctuation are correct;
  - ✓ Material is clearly written;
  - ✓ Tone is unbiased and impartial.
  - ✓ If used, tables or figures are used effectively. Textual explanation of the tables is provided along with the tables; 22.
- ✓ Results of the research are presented clearly;
  - ✓ Major findings are discussed clearly and related to previous research;
  - ✓ Importance of the findings is explained;
  - ✓ The relationship between the research and the findings is demonstrated with tight, logical reasoning;
  - ✓ Conclusions are clearly stated;
  - ✓ Conclusions are based on the results;
  - ✓ Generalizations are confirmed;
  - ✓ Limitations and weakness of the study are discussed;
  - ✓ Implications of findings for the field are discussed; and
  - ✓ Suggestions for future research are offered.

## APPENDIX D: IRB APPLICATION

### UNIVERSITY OF BALTIMORE

Information about UB's Institutional Review Board is available at <http://www.ubalt.edu/about-ub/offices-and-services/provost/reporting-units/sponsored-research/institutional-review-board.cfm>

All DPA students, regardless of dissertation project or type of research, must complete an IRB application. Dissertation research cannot be conducted without an approval of the research project from UB's Institutional Review Board. Prior to completing and submitting an IRB application, all researchers – students and faculty – must complete training for human subjects research. Training modules can be accessed through the CITI Program. Instructions for logging in to CITI training are at [http://www.ubalt.edu/about-ub/offices-and-services/provost/reporting-units/sponsored-research/CITI\\_training-register\\_instructions.pdf](http://www.ubalt.edu/about-ub/offices-and-services/provost/reporting-units/sponsored-research/CITI_training-register_instructions.pdf)

IRB applications are submitted online through UB's Quali Protocols, accessible in MyUB. You must attach sample study instruments and applicable consent documents in your application; your Chair must also approve the application in Quali. When the IRB has approved the application, the investigator will be notified in writing. Any changes to an approved protocol must be re-submitted for review and approval.

Review of IRB applications can take up to 5 weeks; allow sufficient time for you to receive approval before beginning data collection.

APPENDIX E: DEFENSE OF PROPOSAL OR DISSERTATION

**Prospectus or Dissertation Approval Form<sup>1</sup>**

Please print:

Student Name \_\_\_\_\_

Program \_\_\_\_\_ Date \_\_\_\_\_

Thesis or Dissertation Prospectus Title

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Prospectus / Dissertation is is not accepted.

Prospectus is is not eligible for follow-up review<sup>1</sup>

\_\_\_\_\_/ \_\_\_\_\_ Dissertation Chair / Date

\_\_\_\_\_/ \_\_\_\_\_ Committee Member / Date

\_\_\_\_\_/ \_\_\_\_\_ Committee Member / Date

\_\_\_\_\_/ \_\_\_\_\_ Student / Date

\_\_\_\_\_/ \_\_\_\_\_ Program Director / Date

<sup>1</sup> If eligible for follow-up review and 2<sup>nd</sup> defense, attach required changes and/or additions and date of 2<sup>nd</sup> review to this form

## APPENDIX F: SAMPLE DISSERTATION TITLE PAGE

This page illustrates how the title page must appear.  
The title of dissertation is in the position of these two sentences.

A Dissertation

Submitted to  
College of Public Affairs  
University of Baltimore  
in partial fulfillment of the requirements for the degree  
of  
Doctor of Public Administration

By

author's name

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Chair's name

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Committee member's name

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Committee member's name

School of Public Affairs  
University of Baltimore  
Baltimore, Maryland  
Month, Year

## APPENDIX G: DISSERTATION SUBMISSION & VERIFICATION

Information on the requirements and process for printing and submitting your dissertation can be found at <http://library.ubalt.edu/services/thesis-submission.cfm>

Before submitting your dissertation to the Library, you must complete a Dissertation Verification Form - <http://library.ubalt.edu/services/uploads/documents/dissertation-verification.pdf>

Steps in the process:

1. Defend your dissertation and, when the faculty committee agrees that all required work is complete, have the title page of the dissertation signed by each member of the committee.
2. Upload the final electronic version of your dissertation (and any required electronic components of it) to KnowledgeWorks@UB AND to ProQuest/UMI. [There is no longer a charge to submit a dissertation to ProQuest, only for additional services like copyright registration] Library staff will approve the submission to KnowledgeWorks@UB and to ProQuest/UMI as part of their verification process. So, it is important to move to the next step.
3. The Library requires one copy of the text of your dissertation and pays for binding that volume (at no cost to you). You are also required to pay for one bound copy of your dissertation for your academic program. In addition, you may purchase additional bound copies for your personal use.  
For each bound copy of the dissertation you must submit to the Library a printed copy of the entire dissertation in the required format. The archival copy MUST contain the original signed title page on which the faculty members have attested to your successful completion of the dissertation. Additionally, a copy of that page should be included with each copy of the dissertation. For some dissertations electronic records in an appropriate format must also be submitted to the library and the program. Payment for personal copies must accompany the submission.
4. Complete the top of the verification form and the binding request form and take them with you to the Library and the librarian will sign it. He/she will give you two copies of the verification form (one to keep for yourself and one to give to your program director).
5. It is your responsibility to take the second copy of the signed verification form to your dissertation director who will then complete the paper work for grade changes for all of your dissertation (and continuous enrollment) credits.
6. In your last semester you must apply for graduation. A grade for the dissertation (and hence your diploma) cannot be issued until all submissions above have been completed. In order for you to actually graduate in the semester in which you apply to graduate all of the above steps must be completed within 60 days of the last day of examinations.

## ASPA'S CODE OF ETHICS

(American Society for Public Administration: [www.aspanet.org](http://www.aspanet.org))

- I. **Serve the Public Interest** –Serve the public, beyond serving oneself. ASPA members are committed to:
  - a) Exercise discretionary authority to promote the public interest.
  - b) Oppose all forms of discrimination and harassment, and promote affirmative action.
  - c) Recognize and support the public's right to know the public's business.
  - d) Involve citizens in policy decision-making.
  - e) Exercise compassion, benevolence, fairness and optimism.
  - f) Respond to the public in ways that are complete, clear, and easy to understand.
  - g) Assist citizens in their dealings with government.
  - h) Be prepared to make decisions that may not be popular.
- II. **Respect the Constitution and the Law** –Respect, support, and study government constitutions and laws that define responsibilities of public agencies, employees, and all citizens. ASPA members are committed to:
  - a) Understand and apply legislation and regulations relevant to their professional role.
  - b) Work to improve and change laws and policies that are counterproductive or obsolete.
  - c) Eliminate unlawful discrimination.
  - d) Prevent all forms of mismanagement of public funds by establishing and maintaining strong fiscal and management controls, and by supporting audits and investigative activities.
  - e) Respect and protect privileged information.
  - f) Encourage and facilitate legitimate dissent activities in government and protect the whistleblowing rights of public employees.
  - g) Promote constitutional principles of equality, fairness, representativeness, responsiveness and due process in protecting citizens' rights.
- III. **Demonstrate Personal Integrity** –Demonstrate the highest standards in all activities to inspire public confidence and trust in public service. ASPA members are committed to:
  - a) Maintain truthfulness and honesty and to not compromise them for advancement, honor, or personal gain.
  - b) Ensure that others receive credit for their work and contributions.
  - c) Zealously guard against conflict of interest or its appearance: e.g., nepotism, improper outside employment, misuse of public resources or the acceptance of gifts.
  - d) Respect superiors, subordinates, colleagues and the public.
  - e) Take responsibility for their own errors.
  - f) Conduct official acts without partisanship.
- IV. **Promote Ethical Organizations** –Strengthen organizational capabilities to apply ethics, efficiency and effectiveness in serving the public. ASPA members are committed to:
  - a) Enhance organizational capacity for open communication, creativity, and dedication. Subordinate institutional loyalties to the public good.
  - b) Establish procedures that promote ethical behavior and hold individuals and organizations accountable for their conduct.

- c) Provide organization members with an administrative means for dissent, assurance of due process and safeguards against reprisal.
- d) Promote merit principles that protect against arbitrary and capricious actions.
- e) Promote organizational accountability through appropriate controls and procedures.  
Encourage organizations to adopt, distribute, and periodically review a code of ethics as a living document.

V. **Strive for Professional Excellence** –Strengthen individual capabilities and encourage the professional development of others. ASPA members are committed to:

Provide support and encouragement to upgrade competence.

Accept as a personal duty the responsibility to keep up to date on emerging issues and potential problems.

Encourage others, throughout their careers, to participate in professional activities and associations.

Allocate time to meet with students and provide a bridge between classroom studies and the realities of public service.