

UC SANTA CRUZ

DISSERTATION AND THESIS PREPARATION GUIDELINES

The submission of the Doctoral dissertation or Master's thesis is the final step in the program leading to the award of your degree. The manuscript is a scholarly statement of the results of a substantial period of research and preparation. It will be made available for public use in McHenry Library, and published by UMI Dissertation Publishing/ ProQuest Information and Learning.

For these reasons, the Graduate Council has established guidelines for uniformity in the physical format of the manuscript. The concern of the Graduate Council in establishing these guidelines is to obtain a permanent and readily reproducible form of presentation and consistency in the arrangement of the contents. The dissertation or thesis must be a professionally finished work in format, style, spelling and appearance.

Deadline: All candidates for a degree must submit an Application for Doctor of Philosophy Degree or Application for Master's Degree to the Graduate Studies by the date stated in the Academic and Administrative Calendar for the quarter you wish to receive the degree.

Registration Requirement: A student is required to be registered or on filing fee status, whichever is applicable, during the quarter in which the degree is conferred. Students should consult Graduate Studies or the department to determine which option fits their situation.

PREPARATION OF FINAL COPIES

A. Number of copies

One approved pdf copy should be submitted through the ProQuest/UMI dissertation site by the date stated on the Academic Calendar. Consult your graduate adviser to determine the number of additional copies required by the faculty committee. Please note that your department may require a separate electronic or paper copy.

B. Fonts

Embedded fonts REQUIRED. Post Script Type 1 fonts required. Any legible font except script, italic or ornamental fonts, equivalent in scale to 10pt. Arial or 12pt. Times New Roman accepted. However, fonts should not be mixed inappropriately. Italicized font may be used for non-English words and quotations. Applies to all text including captions, footnotes/endnotes, citations, etc.

C. Spacing

Double spacing throughout the dissertation/thesis should be used except in footnotes, indented quotations set off from the text, bibliographic entries of more than one line, and materials such as captions or tables and appendices of data.

D. Margins

Every page of the dissertation or thesis must be kept within margins set as follows: a minimum margin of 1.5 inches (for binding purposes) on the left side of the page; 1.25 inches at the right side; 1.25 inches at the top and the bottom of the page. Page numbers must print at least 0.75 inches from the edge of the page.

E. Pagination

All pages of the dissertation are counted, but not all pages have the number displayed.

The following pages are counted in lower case Roman numerals (i, ii, iii, etc.): title page, copyright page (or blank page if you choose not to copyright), Table of Contents, List of Figures, Table of Illustrations, Abstract, Dedication and Acknowledgment. However, the page number should NOT be displayed on the title page or copyright page (or blank page if you choose not to copyright).

Beginning with the first page of text, all pages should be numbered in Arabic sequence beginning with “1” and all numbers should be displayed. This includes the footnotes section, appendices, computer printout material, and bibliography.

All page numbers (Roman or Arabic) that are displayed must be centered at the bottom of each page, at least 0.75 inches away from the edge of the paper. No words, punctuation, or diacritics of any kind accompany the page number: it says “4”, not “-4-” or “4.” or “Page 4”.

F. Figures, Tables, Oversize Materials, etc.

Figures may be embedded in the text or take up a full page. Full-page tables, charts, graphs and other non-text material require the same margins as text pages. If necessary, wide tables,

charts, and figures can be placed sideways; however, the page number must still appear at the vertical bottom of the page, centered at least 0.75 inches from the edge.

Each figure or table must be numbered and should have a caption. With full page figures, captions must be on the facing page. Such a caption page must be the mirror image of a normal page, i.e., the wider margin (1.5”) is on the right. The caption page precedes the figure. The caption itself should be single-spaced and centered on the page. Both pages are numbered, e.g. caption page 34, figure page 35. Page numbers remain centered at least 0.75” from the bottom of the page. When listing your full-page figure or table in the Table of Contents, list the page number for the full-page figure or table (not the caption).

Supplemental material, (oversize materials, digital art, movies, etc.) may be included as a separate file.

G. Published material

As the author of the dissertation/thesis manuscript, you will be asked to certify that any previously copyrighted material used in your work, beyond “fair use,” is with the written permission of the copyright owner.

With the approval of the dissertation/thesis committee and the Department, your own published material may be accepted as all or part of the Master’s thesis or Doctoral dissertation, where the publication or publications represent research or scholarship comparable in scope and contribution to that portion of the standard thesis or dissertation they are intended to replace, and where the published material is substantially the product of the candidate’s period of graduate study at UCSC. There should be an introduction showing the historical development, methods used, and results.

If your own published material lists a co-author, and if the co-author is listed by reason of having directed and supervised the research that serves as the basis of the dissertation or thesis, only the candidate’s name is listed as the author in the preliminary pages. The acknowledgment page should state: *The text of this dissertation [or thesis] includes reprint[s] of the following previously published material: [give full publication information here]. The co-author listed in this publication directed and supervised the research which forms the basis for the dissertation [or thesis].* If your own published material approved for submission has co-authors other than the research director, the candidate must obtain permission from the co-authors and copyright holders giving their approval for the material to be used. Permission letters may be included as a supplementary file attached to your dissertation submission, or may be submitted separately to ProQuest. A detailed statement of the contribution by the candidate to all multiauthored publications must be included in the acknowledgment.

If your own published material is approved by the dissertation/thesis committee for submission as a part or whole of the dissertation or thesis, a memorandum stating this and

approving the student's acknowledgment statement must be submitted by the committee chair to the Dean of Graduate Studies.

The pages of the published material must have the same margins as specified for the dissertation, which may necessitate reduction of the material. Note that enlargement of the materials to meet standard margin requirements is not needed. When using reprints, page numbers of the reprint should be removed and replaced with numbers corresponding to the position of the reprint within the dissertation. Each chapter that is an article reprint may have an abstract of its own, but in any event there must be a general abstract covering the entire dissertation.

PREPARING THE MANUSCRIPT AS A FORMATTED PDF

In its final form the dissertation or thesis is arranged in the following order:

1. Title Page (to view the accepted format go to the end of this document)

One original title page, prepared in the exact format as the attached sample, must be submitted with the original signatures of all members of the Dissertation/Thesis Reading Committee. The title page included in the electronic copy should be unsigned. The date on the title page will depend on the quarter you will receive your degree and must reflect one of the four dates listed below.

Quarter degree conferred	Title page date (month and year)
Fall	December 20xx
Winter	March 20xx
Spring	June 20xx
Summer	September 20xx

The *only* degree designations and disciplines to be indicated on the title page are as follows:

Discipline Designation

Anthropology
Applied Mathematics and Statistics
Astronomy and Astrophysics
*Bioinformatics

Degree Designation

Doctor of Philosophy
Master of Science/Doctor of Philosophy
Doctor of Philosophy
Master of Science/Doctor of Philosophy

Biomolecular Engineering & Bioinformatics	Master of Science/Doctor of Philosophy
Chemistry	Master of Science/Doctor of Philosophy
Collaborative Leadership	Doctor of Education
Computer Engineering	Master of Science/Doctor of Philosophy
Computer Science	Master of Science/Doctor of Philosophy
Earth Sciences	Master of Science/Doctor of Philosophy
Economics	Doctor of Philosophy
Ecology and Evolutionary Biology	Master of Arts/Doctor of Philosophy
Electrical Engineering	Master of Science/Doctor of Philosophy
Education	Master of Arts/Doctor of Philosophy/
Environmental Studies	Doctor of Philosophy
Feminist Studies	Doctor of Philosophy
Film & Digital Media	Doctor of Philosophy
History	Doctor of Philosophy
History of Consciousness	Doctor of Philosophy
*International Economics	Doctor of Philosophy
Latin American & Latino Studies	Doctor of Philosophy
Linguistics	Master of Arts/Doctor of Philosophy
Literature	Master of Arts/Doctor of Philosophy
Mathematics	Master of Arts/Doctor of Philosophy
Microbiology and Environmental Toxicology	Doctor of Philosophy
Molecular, Cell and Developmental Biology	Master of Arts/Doctor of Philosophy
Music	Master of Arts/Doctor of Philosophy
Music Composition	Doctor of Musical Arts
Ocean Sciences	Master of Science/Doctor of Philosophy
Philosophy	Doctor of Philosophy
Physics	Master of Science/Doctor of Philosophy
Politics	Doctor of Philosophy
Psychology	Doctor of Philosophy
Sociology	Doctor of Philosophy
Statistics and Applied Mathematics	Master of Science/Doctor of Philosophy
*Statistics and Stochastic Modeling	Master of Science/Doctor of Philosophy
Visual Studies	Doctor of Philosophy

*The names of these programs have been changed. Students who matriculated under the previous name may choose to receive their degree under either the original or current program name.

If you have completed a designated emphasis in addition to your graduate degree it should be included on your title page per the following example:

HISTORY OF CONSCIOUSNESS
with an emphasis in FEMINIST STUDIES

2. Copyright Notice or Blank Page

If you are planning to copyright your dissertation or thesis, include a copyright statement on a separate page directly following the title page (sample attached). If you do not wish to copyright your dissertation or thesis, you should insert a blank page in lieu of the copyright page. Either way, the page in question is counted as page ii of the preliminary materials, but the page number is not printed on the page.

Doctoral students may register the copyright of their dissertation using the services of ProQuest. Information on ProQuest services and the required forms are included in the online submission process.

3. Table of Contents

Theses and dissertations are expected to have a Table of Contents for the convenience of the reader. The Table of Contents always begins on page iii of the dissertation [thesis].

4. List of Figures and/or Table of Illustrations

If plates or illustrations (i.e. maps, diagrams, charts, photographs, etc.) are scattered throughout the text, include a separate List of Figures and/or Table of Illustrations after the Table of Contents.

5. Abstract

An abstract must be included in your dissertation or thesis. The abstract must (a) state the problem briefly; (b) describe the methodology; (c) summarize the findings. The abstract should include the word Abstract, the dissertation or thesis title, and your name, centered at the top of the page. It should be double-spaced, and should be within the dissertation/thesis margin requirements. There is no word limit on your abstract. However, ProQuest still publishes print indexes that include citations and abstracts of all dissertations and theses published by ProQuest/UMI. These print indexes require limits of 350 words for doctoral dissertations and 150 words for master's theses. If it exceeds these word limits ProQuest will simply truncate your abstract and remove any non-text content. You may wish to limit the length of your abstract if this concerns you. The abstract as you submit it will NOT be altered in your published manuscript.

6. Dedication and/or Acknowledgments

If you wish, you may include a page with a brief note of dedication or acknowledgment of help received from particular persons. (See Section G under Preparation of Final Copies, Published Material, regarding acknowledgment for published material).

7. Text

The text of the dissertation/thesis follows at this point. The first text page is Arabic numeral 1.

8. Footnotes

The placement of footnotes is a matter of preference that you should discuss with your advisers. Footnotes may be placed at the bottom of the pages, at the end of the chapter, or at the end of the text preceding the appendices.

9. Appendices

A last section may contain supporting data for the text in the form of one or more appendices. Examples of appendix material are data sheets, questionnaire samples, glossary, illustrations, maps, charts, etc. If the appended data includes oversized illustrations or maps (as in the case of an Earth Sciences thesis or dissertation) you may submit them as a separate file. (See ProQuest instructions for acceptable formatting).

10. Supplemental Files

List supplementary files that are included in your submission; these may include a computer printout or programming data, audio or video files, etc.

11. Bibliography

A section headed Bibliography or References follows after the text and notes. Discuss the physical arrangement/style of the bibliography with your advisers. It should include all of your citations and references in alphabetical order by the author's last name and should be in a format that is considered adequate for professionally published material in the field in question. The section should be double spaced between citations, but may be single spaced within a multiple lined entry.

ELEMENTS OF THE MANUSCRIPT

1. Title page
2. Copyright notice or blank page
3. Table of Contents
4. List of Figures and/or Table of Illustrations, if applicable
5. Abstract
6. Dedication and/or Acknowledgments

7. Text
8. Footnotes (if displayed at the end of the dissertation/thesis)
9. Appendices, if applicable
10. List of supplemental files, if applicable
11. Bibliography

SUBMISSION INSTRUCTIONS

Graduate degree candidates must submit the following items to the Graduate Division by the deadline date listed in the Academic Calendar for the quarter the degree is to be conferred.

1. One electronic copy of the dissertation/thesis must be submitted online via ProQuest <http://www.etdadmin.com/cgi-bin/main/submschools>. Please pay particular attention to correctly formatting your dissertation/thesis title in ProQuest; titles must be in Upper and lower case NOT all caps.
2. Signed title page (This gets handed in directly to the Graduate Division, Kerr Hall, 2nd Floor)

In addition, Doctoral students should submit the following required forms:

1. Survey of Earned Doctorates Form – Complete online via the following link <https://sed.norc.org/survey>
2. Online UCSC Doctoral Exit Survey – Submit online via <http://graddiv.ucsc.edu/current-students/applications-forms/index.html#six>

Both forms are available on line at the Graduate Division web site:
http://graddiv.ucsc.edu/student_affairs/formsdownloads.php.

If you wish to participate in the June commencement ceremony, please register online at <http://graddiv.ucsc.edu/current-students/applications-forms/index.html#six>. Scroll down the webpage to “Degree Application and Commencement Forms”.

The Graduate Division encourages you to have your dissertation/thesis formatting checked by our office prior to submitting your final draft online via ProQuest. Contact the Graduate Division for assistance.

The following pages contain the format of the copyright page and title page. You should reproduce the format of these pages exactly.

(SAMPLE COPYRIGHT PAGE)

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(SAMPLE TITLE PAGE FOR DISSERTATION)

UNIVERSITY OF CALIFORNIA
SANTA CRUZ

**PSYCHOLOGICAL EFFECTS OF STRESS AND FATIGUE IN NORTHERN
CALIFORNIA GRADUATE STUDENTS**

A dissertation submitted in partial satisfaction
of the requirements for the degree of

DOCTOR OF PHILOSOPHY

in

PSYCHOLOGY
with an emphasis in FEMINIST STUDIES

by

Ima. S. Tressing

December 20xx

The Dissertation of Jane Smith-Jones is
approved:

Professor Mary Jones, chair

Professor John F. Doe

William Brown, Ph.D.

Tyrus Miller
Vice Provost and Dean of Graduate Studies

(SAMPLE TITLE PAGE FOR MASTER'S DEGREE)

UNIVERSITY OF CALIFORNIA

SANTA CRUZ

COASTAL EROSION IN CAPITOLA

A thesis submitted in partial satisfaction
of the requirements for the degree of

MASTER OF SCIENCE

in

EARTH SCIENCES

by

Sandy Beach

June 2010

The Thesis of Sandy Beach
is approved:

Professor Mary Jones, Chair

Professor John F. Doe

Professor William Brown

Tyrus Miller
Vice Provost and Dean of Graduate Studies