

UNIVERSITY OF CALIFORNIA
RIVERSIDE

*Dissertation and Thesis Format Guide:
Instructions for Preparation and Submission*

*Graduate Division
Graduate Academic Affairs
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INSTRUCTIONS FOR THE PREPARATION
AND SUBMISSION OF
THESES AND DISSERTATIONS
UNIVERSITY OF CALIFORNIA, RIVERSIDE

OVERVIEW OF THE PROCESS

As a graduate student, not only are you required to follow the guidelines and specifications established by your department and committee for the completion of your thesis or dissertation, but you must also comply with the requirements of the Graduate Division concerning the physical format of your manuscript as established in these instructions. **Never use as a precedent dissertations or theses on file in the University Libraries or in your academic department because the manuscript requirements have changed over the years.**

Before beginning work on a thesis or dissertation, you must receive approval of the proposed subject matter from the faculty committee in charge of your program. Your committee has responsibility for both the contents and written style of the manuscript so you need to receive their approval on both areas. Style, including footnote and bibliographic form is at the discretion of your committee, so long as consistency is maintained throughout the manuscript. For assistance in resolving questions concerning style, you and your committee may consult established manuals of style (such as the *Chicago Manual of Style*, *Elements of Style* by Strunk and White, or the *MLA Style Sheet*) or manuals of style specific to your area of expertise (such as the *American Psychological Association Manual*). Using these style guides will help you, but be careful, Graduate Division regulations may differ slightly.

All members of your committee must signify approval of the completed dissertation or thesis by signing the approval page.

After completion of your manuscript, approval by your committee, and your final defense, master's thesis students will file two final copies with the Graduate Division. Beginning Fall 2009, all PhD Dissertation students will file electronically. No changes to the manuscript will be allowed once it has been filed with the Graduate Division.

For those completing a doctorate, the following forms must be filed. These forms are available on the Graduate Division website or you may pick them up from the Academic

Affairs office after the Graduate Division has reviewed a rough draft of your dissertation and completed a format review:

- Ph.D. Form 5 - Report on Final Examination for the Degree of Doctor of Philosophy – this form is not available online, speak to the program assistant in your department to ensure it is available for your committee on the day of the defense.
- Acceptance and Deposit Form
- NORC Survey of Earned Doctorates
- UCR Doctoral Exit Survey
- ProQuest Dissertation Publishing agreement – this will be completed online

If you are a master's candidate you must file the following forms with your thesis:

- Acceptance and Deposit Form
- Report of Final Defense for a master's degree (if your department requires a defense)

ELECTRONIC DISSERTATION FILING PROGRAM OVERVIEW

Beginning Fall 2009 all PhD students submitting Dissertations will be required to submit a draft and the final version electronically. Student submitting a master's thesis are not subject to the electronic filing procedures.

Go to <http://www.etdadmin.com/ucr> to begin the submission process. All deadlines still apply.

Students are required to:

- Submit a draft electronically for format review. Formatting requirements remain the same for the electronic version as for the hard copies. No hard copy is required to complete the format review. Complete all the screens on the website and submit. Graduate Affairs staff will review the draft.
- You will receive an email outlining any changes that need to be made to your document. Make the suggested changes and re-submit the final version electronically. The signature page in the electronic version should remain blank.

- Submit the original signature page, Final Defense Form, Acceptance and Deposit Form, Graduate Division Exit Survey and Survey of Earned Doctorates to the Graduate Academic Affairs Office. The ProQuest publishing agreement will be submitted online with your electronic version.

Format Review

PhD Dissertation

The format review for the Dissertation is submitted electronically at <http://www.etsadmin.com/ucr> at least one week prior to the final filing date. Please complete the entire online process. Once you submit, the Graduate Academic Affairs office will be notified and your document will be reviewed. You will receive an email outlining any changes that need to be made. The email will also include additional instructions for completing the final filing.

Master's Thesis

We recommend bringing a hard copy of your entire document to our office for a format review at least one week prior to the final filing deadline. At the Graduate Division, your manuscript will be inspected to ensure your compliance with the instructions in this booklet. Should your manuscript not conform to these guidelines, you will be required to make changes.

This review should take about one hour. No appointment is needed. Simply drop off a hard copy of your document anytime during business hours. When you return to pick it up a staff member will review with you any changes that need to be made in addition to giving you the paperwork and additional instructions for submitting the final version.

Submission of the Final Version

PhD Dissertation

Once the corrections are made to the document, it must be re-submitted to ProQuest at <http://www.etsadmin.com/ucr>. The required forms, in addition to a hard copy of your original signature page, must be submitted to Graduate Academic Affairs by the posted deadline.

The University of California contracts with ProQuest for the production of microfilm copies and online posting of all its dissertations to ensure their availability to the public and their indexing in *Dissertation Abstracts International*.

After your manuscript is accepted and all required forms have been received, you will receive a Certificate of Completion indicating that all degree requirements have been met.

Master's Thesis

Once the corrections are made, two unbound hard copies of your manuscript must be submitted. Both will end up in the library; one will be on the shelves while the other will be held in Archives.

After your manuscript is accepted and all required forms have been received, you will receive a Certificate of Completion indicating that all degree requirements have been met.

Final Transcript and Diploma

The official transcript with the degree posted on it will be available approximately 6-8 weeks after the conferral date. You must order this from the Registrar's office. It will not be generated for you automatically. Transcripts can be ordered online through GROWL.

Approximately 5 months after your official degree conferral date (not the date you file), the Registrar should have your diploma ready. The Registrar will notify you by mail, if you have a domestic address, once it is ready. It can be picked up at the Registrar's Office, or you can arrange to have it mailed to a forwarding address for a fee. You must make such arrangements with the Registrar's Office.

You will have access to GROWL after your graduation and you should always keep your address updated with the Registrar through that website (<http://growl.ucr.edu>).

NEED HELP?

The Graduate Division Academic Affairs Office is always willing to answer any questions concerning interpretation of these instructions (951-827-3315 or kara.oswood@ucr.edu). Feel free to bring any part of your manuscript to our office for prior approval of its physical format. We are located in the University Office Building, Room 140. You may also visit “Dissertation Central” online at <http://www.graduate.ucr.edu/Dissertation> for additional links and information.

Dissertation/Thesis format information workshops are typically held during the 5th week of each quarter. Check your UCR webmail regularly for announcements regarding future workshops.

PREPARING THE MANUSCRIPT

Copies of your manuscript will be bound and published by the library. The hard copies of master’s theses must be camera ready with consistently clear and dense print, and produced using materials that can best withstand the test of time. Our requirements for type of paper have been established to allow for maximum library shelf life of your manuscript.

Paper Quality

The master’s thesis may be either printed directly onto or photocopied onto high-quality, durable, white paper. This paper must be 8¹/₂ x 11 inches in size and must be acid-free. There is no specific weight, cotton percentage or watermark requirement. Both the University Bookstore and the Campus Printing and Reprographics Department are aware of these requirements.

Typeface/Font Size

The type size used should be 10- or 12-point overall. A notable exception to this rule is in tables and figures. In tables and figures, the type may be slightly smaller. It is important to remember that when ProQuest reproduces a PhD dissertation manuscript they will reduce the original copy by 25%. Therefore, in order to test whether the type is too small, reduce the copy by 25% and see if the print is still legible.

The print should be black, and the characters consistently clear and dense. **Use the same typeface throughout the manuscript.** Confirm that the typeface of your page numbers matches the text. Do not use script or italics as the main type face; use it only as necessary for book titles, Latin nomenclature, etc.

Margins

The margins of **one and one-half (1.5") inches on the left and top, one-inch (1") on the right and bottom of the page** must be observed on each page. Tables, charts, maps, illustrations as well as appendices must have the same margins as required for text. If they necessitate the use of larger than 8¹/₂ x 11 inch paper, follow the instructions in this manual for oversized materials.

The choice of whether or not to justify the right-hand margin is up to students and their committees. We suggest that you use right-justified margins only if your program does this well and does not leave large gaps in the text or separate punctuation from text characters.

If using the facing page caption option, the caption page is the left page, facing the figure that is on the right page. Do not forget to switch the side margins on the caption page since it will face the figure. The right margin becomes the binding margin and must be one and one-half inches.

Spacing

The text must be double-spaced, except for the following that will ordinarily be single-spaced:

- ◆ Captions

- ◆ Footnotes
- ◆ Long quotations (those of more than three lines)
- ◆ Bibliography entries of more than one line
- ◆ Some material in tables and appendices (text in appendices should still be double-spaced)

A blank line must appear between footnotes and bibliography entries. Note that the acknowledgements and/or dedication section, if included in your manuscript, must be double-spaced.

The text must be arranged so that gaps or white spaces within major sections are minimal. The only blank space should be appearing at the end of major sections when necessary to allow the first typing of the next major section to begin on a new page.

Avoid widows (one line of text from the end of a paragraph appearing at the top of a sheet of paper) and orphans (one line of text from the beginning of a paragraph appearing at the bottom of a sheet of paper or a heading or subheading at the bottom of a page that is not followed immediately by text on that page). There should be at least two lines at the top and bottom of each page.

Print on one side of the page only.

Pagination

Theses and dissertations are to be paginated as follows:

Preliminary pagination: The title, copyright, and approval pages are counted in the pagination but the number is not printed on the page. The remaining preliminary pages are numbered with lower case Roman numerals centered on the text at the bottom of the page below the margin line.

The main body of the text is numbered with Arabic numerals beginning with page "1" of the introduction and continuing throughout, including text, figures, bibliography and appendices.

Page numbers are centered on the text at the bottom of the page, below the margin line. (or centered between the bottom margin and the bottom of the page.) All pages

except the title page, copyright page and approval page are to have page numbers printed on them. The numbers should appear without periods, parentheses or dashes.

Pages that are landscape oriented must still have a portrait style page number.

Corrections

Do not use correction fluid (white-out) on paper master's theses submitted for filing; these materials are known to flake off the page after several years. Pages with illegible or unsightly changes, or changes likely to be unclear in photographic reproduction or microfilming, will be rejected and you will be required to replace them.

Tables, Graphs and Figures

For tables, full-page diagrams, pages with figures or photographs, the same margins are required as for typewritten pages. Full-page figures may have accompanying caption pages facing them; such figures and their caption pages must be counted and numbered. If the figure caption is on a separate page, the caption page is on the left page, facing the figure that is on the right page. Do not forget to switch the margins on the figure caption page since it will face the figure. The left margin becomes the right and vice versa.

Landscape orientation may be used to print wide figures, graphs and illustrations. All landscape pages must read from the bottom to the top of the paper. In other words, the top of the figure, when in landscape orientation, must be printed along the binding edge of the paper. The location of page numbers will remain the same (portrait style).

It is recommended that figures and tables be placed as near as possible to the part of the text they illustrate. This is to allow those reading your manuscript greater ease of access to the information contained in this illustrative material at the point that they first read about it.

Figure and table numbering must be either continuous throughout the manuscript, or continuous within each chapter (i.e., 1.1, 1.2, 2.1, 2.2, etc.). The numbering method chosen must be consistent throughout the document. Two figures cannot bear the same number.

Where line-drawn plates form part of a manuscript, the original copy will include either the original drawings, or photographic or clear Xerox reproductions of such plates.

Blueprints are not acceptable as reproductions. Any original illustrative material to be submitted should be rendered with black ink. This includes music scores. Do not use pencil. Do not use felt-tip pen since the color bleeds through to the adjacent pages.

Avoid the use of color as the sole source of identification in printed master's theses; it will appear as slightly varying shades of gray when it is either photocopied or microfilmed. Lines on a graph should be identified by labels or symbols rather than colors. Similarly, shaded areas--such as countries on a map--have better contrast if cross-hatching is used instead of color. If you need the services of a professional illustrator, contact Creative Design Services at (951) 827-5187.

Printed Copies for Submission (Master's Theses only)

Two official unbound copies on acid-free paper are required by the Graduate Division of all theses. Photocopies may be used for both official copies if they are of good quality. Be sure that each copy of your manuscript is properly collated and that no pages are missing, duplicated or turned sideways. The final copies must be printed on one side of each sheet of paper only (except as noted for music scores). If the copies that you bring in to file with us have been produced by a photocopy process, the type must be straight on the page with no blurred images.

In addition, you may be required to prepare sufficient bound copies for the use of your faculty committee, your department, and yourself. For the necessary number of such additional copies, you should consult the Graduate Advisor or Graduate Program Assistant in your major department or program. You are responsible for the creation of these copies.

Oversized Materials

It is recommended that the use of oversized pages be avoided unless absolutely necessary. They require special care during both the binding and microfilming processes. Try a different layout for the chart or table to see if it can be placed on a standard page, or use a photographic reduction of the graphic material. If you must use oversized pages they should be numbered together in their own section at the back of the manuscript.

The same physical specifications as listed under "paper quality" must be applied to all oversized materials, including minimum type size and margin requirements (a one and one-half inch margin is required on the binding edge).

The oversized sheets must not be folded; they should be submitted in two cardboard mailing tubes with a copy of your title page on the outside of the tube. The oversized sheets must have page numbers on them. These sheets will be folded and inserted at the bindery.

Language Considerations

The manuscript must be written using the English language. Requests for exceptions to use another language for all or part of the manuscript have been allowed for students in the language programs or in the Spanish or Comparative Literature program. Students must petition the Graduate Dean for such an exception. If an exception is granted, the candidate will be required to present a title page and abstract of the dissertation entirely in English. An abstract in the language of the manuscript may also be submitted if desired.

Binding

Do not bind the two official file copies of the master's thesis. The copies submitted to the Graduate Division will be processed and bound by the University. Campus Printing and Reprographics, for a fee, will photocopy your manuscript, reduce your graphs, and bind any of your extra copies in a hard or soft format for your personal use.

This service may also be purchased through ProQuest Dissertation Publishing. Additionally, you may wish to use a professional binding company of your own choosing.

LaTeX Documents

A LaTeX template is available. Please email kara.oswood@ucr.edu if you would like the files sent to you. Overall the template follows the correct format, you will still be required to complete a format review and may be asked to make minor adjustments.

Music Dissertations/Theses Including Scores

Two copies of the final score must be filed if you submit original scored music with the master's thesis. It must be rendered with black ink or printed on a laser jet or inkjet printer.

Music scores are the only manuscripts that may be printed on both sides of the paper; this is allowed for the ease of performers. All margin and pagination requirements must still be observed. In order to ensure a binding margin of one and one-half inches, remember that all left-handed pages will need to have the wider margin placed on the right side.

All the standard preliminary pages as described in these instructions are still required, but note that they will usually have to be produced on oversized sheets in order to be bound in the same volume as your score. However, for original music, place the copyright notice on the first page of the music rather than on a separate sheet. Also include details of orchestration, duration, and any special performance instructions on the left page prior to the beginning sheet of music.

For students submitting a thesis that has a prose section in addition to a musical score, smaller scores will be placed into a pouch in the back of the thesis. Larger scores will be bound into a second volume.

Creative Writing and Writing for the Performing Arts Theses

Theses from the Creative Writing and Writing for the Performing Arts program have a unique composition and may be treated differently than other theses. Any questions students may have about their document can be addressed at the format review. The main areas of difference are:

- Preliminary Pages – A title page and signature page are required. A Table of Contents and other pages may not be necessary.
- Spacing – Single spacing is widely accepted for poetry and other genres.
- Screenplays – Margins and pagination requirements still apply. Screenplay software can be adapted to these requirements. Instructions regarding adjusting the page number placement in “FinalDraft” are available. Please email kara.oswood@ucr.edu for the instructions.

This list cannot encompass all the questions students may have. Please contact our office with any questions regarding a thesis from this program of study.

FORMAT OF THE THESIS OR DISSERTATION

After the members of the faculty committee have read and given preliminary approval of the manuscript, the final draft is to be prepared using the following format:

Preliminary Pages: Overview

Preliminary pagination: The title, copyright, and approval pages are counted in the pagination but the number is not printed on the page. If you are completing a document for the master's degree (thesis) remember to use the word "Thesis" instead of "Dissertation" on the preliminary pages. Preliminary pages include (in the following order):

- Title page – required
- Copyright page – optional, but recommended
- Signature Approval Page – required
- Acknowledgements – optional
- Dedication – optional
- Abstract – required for PhD, optional for master's
- Table of Contents – required
- Lists – required if more than one figure, table etc.
- Preface/Forward - optional

Title Page

The manuscript must include a title page. See Appendix for sample title page. Do not use any stylized text on your title page (italics may be allowed for Latin nomenclature). No bold type! Note the title page is counted in the pagination but should not be numbered.

Dissertation /Thesis title - The rules for capitalization in the title are strict. The first, last, all principal words and words with 4 letters or more must be capitalized, including those that follow hyphens in compound terms. The only words that should not be capitalized are articles (a, an, the), prepositions (e.g., in, to), and conjunctions (e.g., and, but, for). Use word substitutes for formulas, symbols, superscripts, Greek letters, or other non-alphabetical symbols in the title.

Degree name - The degree name on the title page will be Doctor of Philosophy, Master of Arts, Master of Science, Master of Business Administration, or Master of Fine Arts.

Program name - The field of study listed is the major on file with the Registrar's Office. For example, if your major is English, do not list English Literature on your title page.

Official name - The name used on the title page is your name exactly as it is found on file with the Registrar's Office. If you wish to record your name in a different manner, you may file a name change petition with the Registrar.

Date - The month the degree is to be conferred or awarded (not the month of filing) is to appear on the title page along with the year. Degrees are conferred four times per year in December, March, June, and August/September (please check with the Graduate Division for exact conferral date for the Summer term).

Committee - The thesis or dissertation committee is the committee approved by the Graduate Dean. If you have changed your committee at any point during your career since it was approved, please contact the Graduate Division to make sure you have had the change approved.

Copyright Page

When a manuscript is to be copyrighted, a statement to that effect must be enclosed on a separate page following the title page. By including this page you are not committing to pay any additional money for copyright services. See Appendix for a sample copyright page. Note the copyright page is counted in the pagination but should not be numbered.

Signature Approval Page

All committee members on the same piece of paper must originally sign the signature approval page. The original signed approval page must be included in one of the two-filed copies of the master's thesis and is required for graduation.

The electronic version of the PhD Dissertation must include a blank version of the signature page. The original signed version will be submitted separately to the Graduate Academic Affairs office. The signature page must be received by the posted deadline and is required for graduation.

See Appendix for a sample approval page. The approval page is to follow the title page, or if the dissertation is to be copyrighted, the copyright page will follow the title page. Note, the approval page is counted in the pagination but should not be numbered.

Acknowledgments and/or Dedications

You may want to include an acknowledgment of help received from particular people or a brief note of dedication. Such notes should follow at this point. If you are using published material in the main body of the manuscript, you must enclose an acknowledgment indicating where your work has been published. Do not include acknowledgements at the end of each chapter. Everything of this nature should be included in this preliminary page.

This page should be numbered using lower case Roman numerals. This is the first page to be numbered and normally it is page iv. If you choose to include both Acknowledgements and Dedications, they should be on separate pages, with the Acknowledgement page appearing first. The body of these pages must be double-spaced.

Abstract

For the doctoral dissertation, an abstract not to exceed 350 words or 2,450 characters is to be included--approximately one and one-half pages doubled-spaced. The abstract should state the research problem briefly, describe the methods and procedures used in gathering data or studying the problem, and give a condensed summary of the findings of the study. The abstract heading, prepared according to sample page in the Appendix,

must include the title of the dissertation, your name as it appears on your records at the Registrar's Office, the degree, graduate program, name of the institution, date of award of degree, and the name of your committee chairperson.

For a master's thesis, no abstract is necessary unless your thesis committee requires it. If an abstract is included, it must follow the format guidelines as presented in this guide.

Table of Contents

Each thesis or dissertation is expected to have a table of contents for the convenience of the reader. There is no specific format that students must follow in this case. The table of contents should be easy to read, consistent and have page numbers listed on the right side of the page. The table of contents can include page numbers reference for the preliminary pages, but it is not required.

Lists

If illustrations (i.e., figures, maps, diagrams, charts, tables, photographs, etc.) are to be scattered throughout the text, or if more than one of illustrations, etc., are used, then a separate "List of Figures", or "List of Tables", or "List of Illustrations" etc, must be included after the "Table of Contents". This (these) list(s) must not only reference the figure/table/illustration number and the page that it appears, but also the subject matter (i.e. caption). Each list must be separate and begin on a new page.

Text

The text of the manuscript follows at this point. Typically this will be "Chapter 1" or the Introduction chapter. Begin using Arabic numerals here starting with page 1.

Notes

Notes may appear as footnotes at the bottom of individual pages, may be gathered together in a section at the end of each chapter, or may be placed all together in a section at the very end of the text. This is a matter of preference that you should discuss with your committee. Remember that note entries should be single spaced, with a blank line between each entry (see "Spacing" earlier in this manual). Notes that are grouped at the

end of each chapter or at the end of the document must have a header of “Endnotes” at the top of the page.

Bibliography

A Bibliography, Works Cited or Reference Section should follow the text and notes but will always begin at the top of a new page. References are single-spaced with a blank line between each entry. The order of the bibliography and its arrangement is another matter for discussion with your committee. They may prefer that you include these references at the end of each chapter. However, for the ease of the reader it is preferable to have one complete alphabetical listing at the end of the manuscript.

Appendices

A last section may contain supporting data for the text in the form of one or more appendices. Appendices should be placed after the bibliography. If the appended data should include oversized maps or illustrations, do not fold this material, but submit it as described in the “Oversize Materials” section of this manual.

The appendices must fall within the margin requirements and may be single-spaced if necessary. Text in the appendices will continue to be double-spaced.

SCIENTIFIC JOURNAL FORMAT

If approved by your committee, you may use a format for your manuscript that presents the results of your research as a series of papers. Reports of research that you have undertaken during graduate study, and which have been published in appropriate media or which have been prepared in a format suitable for such publication, may be used as individual chapters in your manuscript.

Reprints as received from journal publishers may not be used in the final copies of the thesis or dissertation. The version of the published manuscript used as a chapter for the manuscript must meet the format requirements described in these instructions. This may require that the chapters be re-formatted so that the style is consistent from one chapter to the next (i.e. bibliography sections throughout the manuscript must match in format and

style). Additionally, figures and tables must be numbered to allow consistency throughout the entire document.

If you choose to present your dissertation using the scientific journal format, it must contain the following elements:

- An abstract,
- A general introduction which may contain a review of relevant literature followed by,
- Major chapters prepared in a format generally used for publishing articles, and then
- A general conclusion that presents, discusses and integrates the main findings of the research.

Please be aware that the abstract of your dissertation is not a substitute for a comprehensive and integrated discussion of the major findings of the research. This should be presented in the general conclusions of the manuscript.

PUBLISHED MATERIAL & COPYRIGHT

Use of Your Previously Published Material

With the approval of your committee, you must submit to the Dean of the Graduate Division a petition to use material that you have already published or has been accepted for publication. This petition must explain what articles are to be used and where they have appeared in print. No manuscript using such published material will be accepted unless the Graduate Dean has given prior written approval. A letter of consent from the publisher should be attached to the petition.

If the published material lists a co-author, and if this co-author is listed by reason of having directed and supervised the research that serves as the basis of your thesis or dissertation, you should list only your own name as the author in the preliminary pages of your dissertation. However, in your acknowledgments section you must state, "The text of this dissertation (or thesis), in part or in full, is a reprint of the material as it appears in _____ [name(s) and date (s) of publications]. The co-author (name of research director) listed in that publication directed and supervised the research which forms the basis for this dissertation (or thesis)." If any other co-authors are listed in the publication, you must specify in what way they contributed to the publication (i.e., provided technical expertise).

No thesis or dissertation incorporating reprint material that has been copyrighted will be accepted without appropriate authorization. It is your responsibility to resolve any copyright problems arising from the use of published material.

Use of Other Published Material

Students preparing theses or dissertations are reminded that plagiarism is a serious offense. Any material of another author, either in direct quotations or paraphrase, must be given proper credit in footnote citation. Direct quotations of 150 words or more from another author's work must not be used without permission in writing from the copyright owner. Additionally, reproductions of photographs, charts, data, drawings, tables, standardized tests, or any other reproductions made directly from any published work (such as newspapers, magazines, professional journals, websites, or books) may not be used without prior written permission from the copyright owner. Failure to observe these regulations may result in non-acceptance of the manuscript. Additionally, it is recommended that students protect their own work against plagiarism by copyrighting the manuscript. For more information about copyright law, please visit the Crews Guide at http://www.proquest.com/products_umi/dissertations/copyright.

Copyright and Publication of Manuscript

Under the Copyright Act of 1976, your manuscript will automatically be copyrighted without notice or registration with the U.S. Copyright Office and no one can legally copy your work without consent for your lifetime plus 70 years. Copyright registration is optional, although it is highly recommended. If infringement is discovered and your dissertation has not been registered with the U.S. Copyright Office, you may not file a lawsuit unless you have registered your manuscript. Registration in a timely fashion also offers additional legal rights, in particular, the ability to receive statutory damages and attorney fees in an infringement action. A good rule of thumb is to register your dissertation, and hope that you never have to call upon your legal rights in an infringement lawsuit.

In order to register your work with the Library of Congress, you may obtain the necessary forms from <http://www.copyright.gov>. They will require two copies of your

manuscript, completed forms and a filing fee. The cost is currently \$35.00 for electronic filing and \$45.00 for paper.

Alternately, copyright registration may also be arranged through ProQuest Dissertation Publishing as indicated on the submission website (for Ph.D. candidates only). Please note their special instructions on this matter, particularly if you submit a dissertation containing material previously published or copyrighted. Note also that they charge a fee for this service, currently \$65.00.

If your graduate work was supported by outside agencies, you may have special obligations with respect to copyrighting the dissertation. Please consult the conditions pertaining to the award for further clarification.

If you have questions about copyright law, they should be directed to the U.S. Copyright Office (1-202-707-3000 or <http://www.copyright.gov>) or ProQuest Information & Learning (1-800-521-0600 x7020 or <http://il.proquest.com>).

USE OF THESIS OR DISSERTATION

Unless special arrangements to the contrary are made in individual cases, the University Library is granted full discretion in the use to be made of the file copies of your manuscript for research purposes, including interlibrary lending and photographic copying.

Since the function of a thesis or dissertation is to make your research available to other scholars, the library has long had the responsibility of responding to requests from scholars for copies of dissertations. Two master's thesis copies are furnished by you, but the library still has the responsibility noted.

ProQuest Dissertation Publishing primarily handles this function for the University of California. Each PhD Dissertation student signs an agreement with ProQuest allowing specific rights of reproduction. ProQuest reproduces the dissertations and offers them for purchase to allow wide distribution of your research results.

If for some reason your dissertation is no longer available through ProQuest, and

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FILING OF YOUR THESIS OR DISSERTATION

The quarter in which you graduate you must be either registered or on filing fee status. To file during the summer months free of charge, you must have been enrolled or on filing fee status during every quarter of the previous academic year. If you were not, (i.e., were on leave or withdrawn for one or more quarters) you must be enrolled in and pay for two units of directed research (course number 299) in Summer Session. You may use filing fee during the Summer if necessary and if you have not used it previously.

Master's candidates must file an application for advancement to candidacy no later than the first day of the quarter in which they plan to graduate.

Dates for filing the thesis or dissertation with the Graduate Division are announced each quarter in the official calendar published in the Schedule of Classes and on the Graduate Division website (<http://www.graduate.ucr.edu>). It is your responsibility to know these dates. The last day for filing with the Graduate Division is always the last business day of the quarter. This deadline is strictly observed. We recommend that you complete a format review of the manuscript with the Graduate Academic Affairs Office at least one week prior to filing. This will alert you to any problems in the formatting which need correction prior to filing.

Master's Thesis Filing

Master's thesis candidates must bring two copies of the manuscript, printed on acid-free paper, to the Graduate Division for final approval and filing. At least one copy must have an original signature sheet. Each copy of the manuscript must be placed in an

appropriate sized box or large manila clasp envelope. A copy of the title page must be taped to the cover of each envelope or box and indicate your date of birth (for cataloging purposes). Any oversized material should be filed using a large envelope or a cardboard tube (such as a map tube) with a copy of your title page firmly affixed.

Master's candidates who are held for a final defense must file paperwork indicating that they have passed that defense. The Acceptance and Deposit form is also due at the time of filing.

PhD Dissertation Filing

The final version of the PhD Dissertation must be submitted to <http://www.etsadmin.com/ucr>.

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Doctoral candidates are responsible for ensuring that their completed and signed Ph.D. Form 5 (Report of Final Examination for the Degree of Doctor of Philosophy) is received by the Graduate Division prior to or at the point of filing the dissertation.

Doctoral candidates may also complete a Survey of Earned Doctorates from the National Opinion Research Center and a UCR Doctoral Exit Survey from the Graduate Division. All candidates must complete an Acceptance and Deposit form.

When all is filed, please accept our warm congratulations on the attainment of your advanced degree.

APPENDICES

Sample Title Page

UNIVERSITY OF CALIFORNIA
RIVERSIDE

A Study of the Mental State of Doctoral Candidates upon
Filing Their Dissertations

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

Doctor of Philosophy

in

Psychology

by

John Homer Doe

June 2010

Dissertation Committee:
Dr. Linda G. Scott, Chairperson
Dr. Karen Smith
Dr. Kara Oswood

Sample Copyright Page

Copyright by
John Homer Doe
2010

Sample Signature Approval Page

The Dissertation of John Homer Doe is approved:

Committee Chairperson

University of California, Riverside

Sample Abstract Page

ABSTRACT OF THE DISSERTATION

A Study of the Mental State of Doctoral Candidates upon
Filing Their Dissertations

by

John Homer Doe

Doctor of Philosophy, Graduate Program in Psychology
University of California, Riverside, June 2010
Dr. Linda G. Scott, Chairperson

Begin typing the abstract here, double-spaced, and limited to 350 words.

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COMMON ERRORS

Entire Manuscript:

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- Out of margins
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Title Page:

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- Wrong degree and/or major
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Abstract:

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- Incorrect capitalization of title
- Wrong date/name/degree listed
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**UCR Graduate Division
Electronic PhD Dissertation Filing Checklist**

- **Format Guide – www.graduate.ucr.edu/Dissertation.html:** Reviewing the format guide is the first step when preparing your manuscript for submission. It covers all aspects of what is required of your document. Please read it over and look at the sample pages. Your preliminary pages should match our samples.
- **Format Review:** Every student planning on submitting a Dissertation must submit a document for format review at least one week prior to the final filing deadline. The format review is submitted online at www.etsadmin.com/ucr. Please complete all the required screens and “SUBMIT” your document. Graduate Division staff will review your submission and identify portions of the Dissertation that are not in compliance with format requirements. We will communicate with you electronically regarding these changes. This is an important step towards ensuring your document will be ready by the filing deadline.
- **Final Defense:** If your program requires a final defense you must submit proof of its completion to the Graduate Division by the filing deadline. The Graduate Program Assistant in your academic department can assist you with the form (Form 5). The approval of your final defense is separate from the signature page in your document. Both are required in order for your degree requirements to be completed.
- **Signature Page:** The signature page is a critical part of your final document. On this page your committee gives their final approval. Please make sure to allow enough time to get all the signatures prior to the final submission deadline. Make sure you know your committee members schedules! This form will be submitted on paper. The version in your pdf should be blank and will not include signatures.
- **Submission:** After you complete your format review online, the requirements for final submission of your document will be emailed to you. This includes information regarding what additional paperwork will be needed. You will return to www.etsadmin.com/ucr to re-submit the updated electronic version of your document. Your signature page and any required paperwork must be submitted to the Graduate Academic Affairs Office by the filing deadline.
- **Deadlines:** The last day to file a Dissertation is typically the last business day of the quarter. It is in December for Fall quarter, March for Winter quarter, June for Spring quarter and August/September for Summer quarter. A current list of final filing dates is located on the Graduate Division website at www.graduate.ucr.edu/ESforms.html.

- **Workshops:** The Graduate Division holds workshops each quarter to help students understand the requirements. Check your UCR Webmail for the announcement of dates.
- **Questions:** Any questions you may have regarding the filing process can be directed to Graduate Academic Affairs. You may call 951-827-3315, email kara.oswood@ucr.edu or drop by our office in Room 140 of the University Office Building.

UCR Graduate Division Master's Thesis Filing Checklist

- **Format Guide – www.graduate.ucr.edu/Dissertation.html:** Reviewing the format guide is the first step when preparing your manuscript for submission. It covers all aspects of what is required of your document. Please read it over and look at the sample pages. Your preliminary pages should match our samples. It is also important that students do not base their format on a previous student's document as requirements have changed over the years.
- **Signature Page:** The signature page is a critical part of your final document. On this page your committee gives their final approval of your document. Please make sure to allow enough time to get all the signatures for the final submission deadline. Faculty have been known to leave campus or leave town altogether when the quarter is close to completion. Make sure you know your committee members schedules!
- **Format Review:** Every student planning on submitting a Thesis should come to the Graduate Division for a format review at least one week prior to the final filing deadline. The format review will take about one hour. Graduate Division staff will help to identify portions of the Dissertation/Thesis that are not in compliance with format requirements. This is an important step towards ensuring your document will be ready before the filing deadline. No appointment is needed, drop by anytime during business hours.
- **Final Defense:** If your program requires a final defense you must submit proof of its completion to the Graduate Division by the filing deadline. There are two different forms, one for PhD students and one for Master's. The Graduate Program Assistant in your academic department can assist you in getting the correct form. The approval of your final defense is separate from the signature page in your document. Both are required in order for your degree to be completed.

- **Submission:** At your format review the requirements for final submission of your document will be discussed. This includes how the document should be submitted and what additional paperwork will be needed.
- **Deadlines:** The last day to file a Thesis is typically the last business day of the quarter. It is in December for Fall quarter, March for Winter quarter, June for Spring quarter and August or September for Summer quarter. If you have any question regarding when the final day to file is, you can look on the Graduate Division website for a list of deadline dates at www.graduate.ucr.edu/ESforms.html.
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