

UNIVERSITY OF CALIFORNIA, SANTA CRUZ DIVISION OF GRADUATE STUDIES

**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, microfilmed for archival preservation, and in the case of Doctoral dissertations, will be 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 uniformly high quality of paper, 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 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**

**1. Number of copies**

One approved, unbound copy should be submitted to Graduate Studies by the date stated on the Academic Calendar. Please check with your Department to determine if the Department requires that a separate copy be submitted to it. Consult your graduate adviser to determine the number of additional copies required by the faculty committee.

**2. Paper**

The dissertation/thesis must be printed on standard size, 8-1/2 x 11 inches, white, unpunched, non-glossy, non-textured paper. The original copy submitted to Graduate Studies must be on acid-free 100% cotton fiber paper. Only one side of the paper may be used.

### **3. Style**

No particular choice of font or typeface is mandated; any clearly legible font that is not ornate or fancy, in a size between 10 and 12 points, is acceptable. However, fonts should not be mixed inappropriately.

### **4. 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.

### **5. 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 above the bottom margin.

### **6. Pagination**

As pagination requirements can be very confusing, please read this section carefully to ensure that your document meets all the requirements stated here.

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, and Dedication and Acknowledgment. However, the page number should NOT be displayed on the title page, copyright page (or blank page if you choose not to copyright) or Abstract.

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 1.25 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”.

### **7. 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 1.25 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 1.25" 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).

There are several methods of including over-size material: submit pages to be folded and inserted by the Library, indicating the appropriate page number; fold the material and request that it be placed in a pocket in the back of the dissertation/thesis; or have the material photographically or xerographically reduced.

## **8. 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 submit letters to the Office of Graduate Studies from the co-authors and copyright holders giving their approval for the material to be used. These letters will be attached to your ProQuest Dissertation Agreement Form, but they do not become part of the dissertation or thesis. 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 and type of paper 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 (optional for master's thesis).

## **ARRANGEMENT OF MANUSCRIPT**

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

### **1. Title Page** (see back page for accepted format)

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. In addition, Doctoral candidates must also submit an unsigned copy of the title page, which will be used for microfilmed and digital copies to prevent unauthorized use of digital signatures. The title page must be printed on the same 100% cotton paper as the rest of the manuscript, and conform to the margin requirements. 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.

<b>Quarter degree conferred</b>	<b>Title page date Month Year</b>
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:

<i>Discipline Designation</i>	<i>Degree Designation</i>
Anthropology	Doctor of Philosophy
Applied Mathematics and Statistics	Master of Science/Doctor of Philosophy
Astronomy and Astrophysics	Doctor of Philosophy
Bioinformatics	Master of Science/Doctor of Philosophy
Chemistry and Biochemistry	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
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/ Doctor of Philosophy
Environmental Studies	Doctor of Philosophy
Microbiology and Environmental Toxicology	Doctor of Philosophy
History	Doctor of Philosophy
History of Consciousness	Doctor of Philosophy
International Economics	Doctor of Philosophy
Linguistics	Master of Arts/Doctor of Philosophy
Literature	Master of Arts/Doctor of Philosophy
Marine Sciences	Master of Science
Mathematics	Master of Arts/Doctor of Philosophy
Molecular, Cell and Developmental Biology	Master of Arts/Doctor of Philosophy
Music	Master of Arts/Doctor of Philosophy Doctor of Musical Arts
Ocean Sciences	Master of Science/Doctor of Philosophy
Philosophy	Doctor of Philosophy
Physics	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

The following are examples of title page disciplines for students with approved parenthetical notations:

History of Consciousness (Feminist Studies)

or

Earth Sciences (Geophysics)

## 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 publishing agreement forms are available at the Graduate Division web site. ProQuest does not offer these services to Masters students.

### **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 doctoral dissertation. For a master's thesis an abstract is optional. The abstract must (a) state the problem briefly; (b) describe the methodology; (c) summarize the findings. ProQuest recommends that the Abstract be no longer than 350 words, as it may be posted to sites with limited file size. The abstract should include the word Abstract, your name, and dissertation or thesis title, centered at the top of the page. It should be double-spaced, using only one side of the paper, and should be within the dissertation/thesis margin requirements. The abstract pages should be counted in small Roman numerals but the page number is not printed on the page.

### **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 8 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 should include oversize illustrations or maps (as in the case of an Earth Sciences thesis or dissertation) several alternative methods of inclusion are available. (See Section 7 under Preparation of Final Copies, Photographs, Plates, Tables, etc.).

## **10. Computer Printout Material**

Computer printout material may be included only in an appendix on the appropriate grade of paper with the proper page margins.

## **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.

### **ARRANGEMENT OF 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 (optional for master's thesis)
6. Dedication and/or Acknowledgments
7. Text
8. Footnotes (if displayed at the end of the dissertation/thesis)
9. Appendices, if applicable
10. Computer printout material, if applicable
11. Bibliography

## **SUBMISSION OF A DISSERTATION OR THESIS**

Students should submit the following items to Graduate Studies by the deadline date listed in the Academic Calendar for the quarter the degree is to be conferred.

1. One unbound original copy of the dissertation/thesis. The copy must be printed on acid-free 100% cotton paper and packaged in a sturdy 8-1/2" x 11" box.
2. Signed title page (Doctoral students should provide both a signed and an unsigned title page).

**In addition, Doctoral students must submit the following required forms:**

1. ProQuest publishing agreement form – submit with dissertation (Attach permission letters for previously published work if applicable) Include payment information or check made to PQIL if you are ordering optional services.
2. Survey of Earned Doctorates Form – submit with dissertation
3. Online UCSC Doctoral Exit Survey – submit online

All three forms are available on line at the Graduate Division web site:

[http://graddiv.ucsc.edu/student\\_affairs/formsdownloads.php](http://graddiv.ucsc.edu/student_affairs/formsdownloads.php)

The Graduate Division encourages you to visit our office for a dissertation or thesis check before you do the final printing. Drop in hours for dissertation/thesis checks are Wednesday & Thursday afternoons from 2-4, or contact Danielle Lipson, [dlipson@ucsc.edu](mailto:dlipson@ucsc.edu) to make an appointment.

*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 Ph.D DEGREE)*

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

by

**Ima S. Tressing**

June 2010

The Dissertation of Ima S. Tressing  
is approved:

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Professor Mary Jones, Chair

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Professor John F. Doe

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Professor William Brown

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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:

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Professor Mary Jones, Chair

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Professor John F. Doe

---

Professor William Brown

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Tyrus Miller  
Vice Provost and Dean of Graduate Studies