

## UC SANTA CRUZ

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### *DISSERTATION AND THESIS PREPARATION GUIDELINES*

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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.

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### *PREPARATION OF FINAL COPIES*

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#### **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 title page and copyright page (or blank page if you choose not to copyright) are counted, but should not have page numbers on them.
- The Table of Contents should be labeled page iii, and roman numerals should continue to the first page of your main text (i.e. the List of Figures, Table of Figures, Abstract, Dedication, and Acknowledgment should all have roman numerals).
- 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.

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.

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## *MANUSCRIPT FORMATTING REQUIREMENTS*

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

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

### **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 to the Graduate Division (email to [vlarkin@ucsc.edu](mailto:vlarkin@ucsc.edu)). Due to Covid, we are currently accepting electronic signatures. These signatures should be through DocuSign, or your adviser will need to email [vlarkin@ucsc.edu](mailto:vlarkin@ucsc.edu) to confirm that the signatures are valid.

Your title page needs to have all of the signatures of your committee. We will get the signature for the dean. NOTE: the new Dean of Graduate Studies as of July 1, 2021 is Peter Biehl. His name must be on the title page.

The title page that you submit to ProQuest must 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.

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

The name of the degree that you put on your title page must match the name of the degree you are registered for. The *only* degree designations and disciplines to be indicated on the title page are as follows:

***Discipline Designation***

Anthropology  
 Applied Economics and Finance  
 Applied Mathematics  
 \*Applied Mathematics and Statistics  
 Astronomy and Astrophysics  
 \*Bioinformatics  
 Biomolecular Engineering & Bioinformatics  
 Chemistry  
 Collaborative Leadership  
 Computational Media  
 Computer Engineering  
 \*Computer Science  
 Computer Science and Engineering  
 Digital Arts & New Media  
 Earth Sciences  
 Economics  
 Ecology and Evolutionary Biology  
 \*Electrical Engineering  
 Electrical and Computer Engineering  
 Education  
 Environmental Studies  
 Feminist Studies  
 Film & Digital Media  
 Games and Playable Media  
 History  
 History of Consciousness  
 Human Computer Interaction  
 \*International Economics  
 Latin American & Latino Studies  
 Linguistics  
 Literature  
 Mathematics  
 Microbiology and Environmental Toxicology  
 Molecular, Cell and Developmental Biology  
 Music  
 Music Composition  
 Natural Language Processing  
 Ocean Sciences  
 Philosophy  
 Physics  
 Politics  
 Psychology  
 Scientific Computing & Applied Mathematics  
 Serious Games

***Degree Designation***

Doctor of Philosophy  
 Master of Science  
 Master of Science/Doctor of Philosophy  
 Master of Science/Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Science/Doctor of Philosophy  
 Master of Science/Doctor of Philosophy  
 Doctor of Education  
 Master of Science/Doctor of Philosophy  
 Master of Fine Arts  
 Master of Science/Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Arts/Doctor of Philosophy  
 Master of Science/Doctor of Philosophy  
 Master of Science/Doctor of Philosophy  
 Master of Arts/Doctor of Philosophy  
 Doctor of Philosophy  
 Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Science  
 Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Science  
 Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Arts/Doctor of Philosophy  
 Master of Arts/Doctor of Philosophy  
 Master of Arts/Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Arts/Doctor of Philosophy  
 Doctor of Musical Arts  
 Master of Science  
 Master of Science/Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Science/Doctor of Philosophy  
 Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Science  
 Master of Science

Social Documentation	Master of Fine Arts
Sociology	Doctor of Philosophy
Statistical Science	Master of Science/Doctor of Philosophy
Statistics and Applied Mathematics	Master of Science/Doctor of Philosophy
*Statistics and Stochastic Modeling	Master of Science/Doctor of Philosophy
Theater Arts	Master of Arts
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, but you must make sure the name of your program is correct in your MyUCSC student portal. If you need it to be updated please contact your program adviser.

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 or 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 must be double-spaced, and should be within the dissertation/thesis margin requirements.

It must be labeled with the appropriate roman numeral page number at the bottom of the page.

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 main 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. Appendix material needs to meet the margin and page numbering requirements. Examples of appendix material are data sheets, questionnaire samples, glossary, illustrations, maps, charts, etc.

If the appended data includes oversized illustrations, maps, or musical scores (as in the case of an Earth Sciences or Music Composition 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 as a separate file; these may include a computer printout or programming data, audio or video files, etc.

The library has prepared a helpful guide to best practices for supplementary files in your submission at: <https://guides.library.ucsc.edu/etds/supplementaryfiles>

## 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.

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### *SUBMISSION INSTRUCTIONS*

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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. 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 (emailed to vlarkin@ucsc.edu)

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

1. Survey of Earned Doctorates Form
2. Online UCSC Doctoral Exit Survey

Links to both forms can be found at:

<http://graddiv.ucsc.edu/current-students/applications-forms/index.html#six>

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)*

Copyright © by

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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**

September 2021

The Dissertation of Jane Smith-Jones is  
approved:

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Professor Mary Jones, chair

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Professor John F. Doe

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William Brown, Ph.D.

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Peter Biehl  
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**

September 2021

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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Peter Biehl  
Vice Provost and Dean of Graduate Studies