



Dissertation and Thesis Format Guide:  
Instructions for Preparation and Submission

Graduate Division  
Graduate Academic Affairs  
2020/2021

Last revised 7/15/20

## Table of Contents

<b>OVERVIEW OF THE PROCESS.....</b>	<b>4</b>
<b>GRADUATION OVERVIEW.....</b>	<b>4</b>
Dissertation/Thesis Filing.....	5
<b>POLICY ON OPEN ACCESS FOR THESES AND DISSERTATIONS .....</b>	<b>6</b>
<b>USE OF YOUR DISSERTATION/THESIS .....</b>	<b>6</b>
<b>DISSERTATION &amp; THESIS FILING OVERVIEW.....</b>	<b>7</b>
<b>ProQuest ETD Website – <a href="http://www.etdadmin.com/ucr">http://www.etdadmin.com/ucr</a> .....</b>	<b>7</b>
PQ Publishing Options .....	7
Select Publishing Options – Search Engines.....	8
Access Options (e.g.) Delaying the Release of Your Work (aka Embargo).....	8
IR Publishing Options.....	9
University Agreement .....	9
Creative Commons.....	9
Copyright Permission (in PDF submission screen).....	10
Administrative Documents - Acknowledgement of Previously Published Material.....	10
Register U.S. Copyright .....	11
Order Copies.....	11
Submit .....	11
<b>Format Review .....</b>	<b>12</b>
<b>Submission of the Final Version.....</b>	<b>12</b>
<b>Required Additional Paperwork.....</b>	<b>13</b>
<b>Final Transcript and Diploma.....</b>	<b>13</b>
<b>PREPARING THE DOCUMENT.....</b>	<b>14</b>
Typeface/Font Size .....	14
Margins.....	14
Spacing.....	15
Pagination .....	15
Tables, Graphs and Figures .....	16
Language Considerations.....	17
LaTex Templates .....	18
<b>FORMAT OF THE DISSERTATION/THESIS .....</b>	<b>18</b>
Preliminary Pages: Overview.....	18
Title Page .....	19
Copyright Page.....	20
Signature Approval Page.....	20
Acknowledgments and/or Dedication .....	20
Abstract .....	21
Table of Contents .....	21
Lists .....	22

Text.....	22
Notes.....	22
Bibliography .....	22
Appendices .....	23
<b><i>SCIENTIFIC JOURNAL FORMAT .....</i></b>	<b><i>23</i></b>
<b><i>COPYRIGHT AND FAIR USE .....</i></b>	<b><i>24</i></b>
Copyright and Publication of Manuscript.....	24
Plagiarism and Copyright Permission.....	25
Copyright Information and Resources.....	25
<b><i>POST GRADUATION DISSERTATION/THESIS SUBMISSION SURVEY.....</i></b>	<b><i>26</i></b>
<b><i>NEED HELP? .....</i></b>	<b><i>26</i></b>
Contact Us.....	26
Format Workshops.....	26
<b><i>APPENDICIES .....</i></b>	<b><i>27</i></b>
Sample Title Page.....	28
Sample Copyright Page.....	29
Sample Signature Approval Page.....	30
Sample Abstract Page.....	31
Sample Table of Contents.....	32

UNIVERSITY OF CALIFORNIA, RIVERSIDE

INSTRUCTIONS FOR THE PREPARATION AND SUBMISSION OF  
THESES AND DISSERTATIONS

**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 Council 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 content and written style of the manuscript. You must receive approval in 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 outlined in this guide may differ slightly.

**GRADUATION OVERVIEW**

The quarter in which you graduate you must be either a registered student 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, on *ready to enroll* status, or withdrawn for one or more quarters) you must be enrolled in and pay for two units of directed research (course number 299) in the 10-week 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 candidacy no later than the first day of the quarter in which they plan to graduate. This application is found in the R'Grad link in the authorized applications menu in R'Web.

Dates for filing the thesis or dissertation with the Graduate Division are announced each quarter on the Graduate Division website – <https://graduate.ucr.edu/graduation-procedures>. It is your responsibility to know these dates. The deadline for filing with the Graduate Division is always 12:00pm (Noon) on 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 two weeks prior to filing. This will alert you to any problems in the formatting, which may need correction prior to filing.

#### Dissertation/Thesis Filing

The format review and final version of the dissertation or thesis must be uploaded to <http://www.etdadmin.com/ucr>. Details on this process can be found in the Dissertation/Thesis filing overview section later in this guide.

Doctoral candidates are responsible for ensuring the completed and “wet” signed **Ph.D. Form 5** (Report of Final Examination for the Degree of Doctor of Philosophy) and the original “wet” **signature approval page** is received by the Graduate Division. Both must be submitted by 12:00pm (Noon) on the posted deadline date.

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.

Master's candidates who are held for a final defense must file paperwork indicating that they have passed that defense (**Report of Final Exam for Master's Degree**). The original “wet” **signature approval page** is also due at the time of filing.

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

### **POLICY ON OPEN ACCESS FOR THESES AND DISSERTATIONS**

The University of California (“University”) is committed to disseminating research and scholarship conducted at the University as widely as possible. Such commitment encompasses the scholarship generated by the University’s graduate students. The University affirms the long-standing tradition that theses and dissertations, which represent significant contributions to the advancement of knowledge and the scholarly record, should be shared with scholars in all disciplines and the general public. To that end, this policy extends the principles of the University’s existing open access policies – including the Academic Senate’s policy dated July 24, 2013 and the systemwide Presidential policy dated October 23, 2015, and local open access policies already adopted at some University campuses – to theses and dissertations prepared by the University’s graduate students at all University locations. This policy requires theses or dissertations prepared at the University to be (1) deposited into an open access repository, and (2) freely and openly available to the public, subject to a requested delay of access (“embargo”) obtained by the student. The policy does not affect students’ copyright ownership rights in their theses or dissertations. The complete policy may be found at <http://policy.ucop.edu/>.

### **USE OF YOUR DISSERTATION/THESIS**

The University Library is granted full discretion in the use to be made of your manuscript for research purposes.

Since the function of a thesis or dissertation is to make your research available to other scholars, it is the policy of the University of California to encourage the distribution of all theses and dissertations. Digital copies of all UCR theses and dissertations (ETDs) will be routed to the Library. The Library will preserve and make accessible to the public all theses and dissertations in accordance with Library policies and best practices. Such access includes but is not limited to online access to the public through platforms such as eScholarship, the University of California's open access institutional repository. If a student chooses to delay the release of his or her dissertation in ProQuest, the Library will provide access to the electronically submitted dissertation only after the embargo period concludes.

In addition to the Library's use, each PhD Dissertation and Master's Thesis student completes an agreement with ProQuest allowing specific rights of reproduction. ProQuest reproduces the documents and offers them for purchase to allow wide distribution of your research results.

## **DISSERTATION & THESIS FILING OVERVIEW**

ProQuest ETD Website – <http://www.etdadmin.com/ucr>

All dissertations and theses are submitted online through the ProQuest ETD website. The format review/rough draft and final version of your document will be uploaded to this website. Email attachments, digital files, and paper copies brought into the Graduate Academic Affairs office cannot be accepted.

You will be asked to create an account and fill out several screens of information when logging onto this site. Please read the instructions and make use of the *Resources and Guidelines* tab if necessary. Below is some general information regarding the website that corresponds to the links you will see down the left side.

### **PQ Publishing Options**

On this screen you will have the choice between Traditional and Open Access Publishing. Traditional publishing has no additional cost; Open Access currently costs

\$95. Please read the information describing the different options. The choice is yours to make.

It is worth noting that as a UCR student, you do not need to pay for Open Access Publishing through ProQuest to ensure global distribution of your work. All theses and dissertations from UCR are published to eScholarship (the University of California's open access institutional repository). This increases the availability and dissemination of your work.

This screen also includes options to limit or widen the availability of your work in ProQuest. Again, these choices are up to you, so please think about what is best for your situation. You will not be able to make adjustments to these choices after the format review.

#### Select Publishing Options – Search Engines

If you choose to limit access to search engines, that will only be applied to your ProQuest document. All UCR documents available in eScholarship will be accessible to major search engines.

#### Access Options (e.g.) Delaying the Release of Your Work (aka Embargo)

If you choose to delay the release of your work to ProQuest, you will have the option of 6 months, 1 year, or 2 years. The choice to delay the release of the document to ProQuest is yours to make. The longest delay UCR will currently allow is 5 years. If you wish to request the 5-year delay, please make a note to the administrator in the **Notes** section. Each request will be reviewed, and additional justification may be required. The UCR Library will honor the delayed release time period you choose in the ProQuest publishing options and will not make the document available until the embargo period is over.

Most students opt to give broad reach to their work immediately rather than choosing an embargo. Reasons students have chosen to embargo their theses/dissertations include:

- It is based on data that will be used for other/future publications of a research group, and the research group wishes the thesis/dissertation embargoed until these



other works are published. If you think this situation applies to you, discuss it with your research group and advisor.

- The student plans on obtaining a patent based on work in his/her thesis/dissertation.
- The student is under grant or contract obligations that forbid publication in these circumstances.
- The student plans on, or already has a contract to publish the thesis/dissertation with a publisher who requires that the work not be published elsewhere. Generally, theses and dissertations require revision and editing prior to publication to such an extent that publishing this original version is not necessarily an obstacle to a later publishing contract.

#### IR Publishing Options

This is a delayed release request specific to the UC institutional repository (IR), eScholarship. The delayed release time-period you choose here will be honored by eScholarship. The document will not be available on that website until the time has elapsed. The same policies outlined in the section above apply to this delay.

#### University Agreement

This screen informs you what will happen to your document after publication. You must confirm that you have read and understand this information before continuing the submission. For more information, please see the section earlier in this guide titled “Use of your Dissertation/Thesis.”

#### Creative Commons

This is optional. This screen gives you the opportunity to apply a Creative Commons (CC) License to your dissertation or thesis. Creative Commons Licenses inform others of how they can use your work. CC Licenses are useful for authors who want their work to be easily shared and built upon. You may choose from 6 different Creative Commons Licenses or elect not to use one. If you need assistance in selecting the appropriate CC

License, the Creative Commons website has a tool to help you at

<http://creativecommons.org/choose/>.

The Creative Commons License selected will apply to your document at the UCR Library and in eScholarship. ProQuest's use of your work is governed by the ProQuest Publishing Agreement.

If you have chosen to delay the release of your document, it will not be available until after the embargo period ends. Selecting a Creative Commons License will not change this. Please see the Creative Commons website (<http://creativecommons.org/>) for additional information on CC Licenses.

#### Copyright Permission (in PDF submission screen)

If you are using any material in your document that is copyrighted by someone else, upload the permission in this section. For more information about when copyright permission is required, please see the section of this guide entitled "Copyright and Fair Use."

#### Administrative Documents - Acknowledgement of Previously Published Material

This section gives you the option to upload the Acknowledgement of Previously Published Materials petition. This form is different from copyright permission. The Acknowledgment petition allows your advisor to confirm with Graduate Division that he/she is aware and approves of the material you have previously published and are using in your dissertation.

If the previously published material lists a co-author, in your acknowledgments section you must state:

The text of this dissertation (*or thesis*), in part or in full [*choose one*], 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).

The petition can be found at <https://graduate.ucr.edu/filing-resources>.

#### Register U.S. Copyright

This is optional. You do not have to file for copyright through ProQuest. You can do it on your own or not at all. Registering your work with the Library of Congress gives you additional recourse under the law if someone uses your work without permission. The copyright page may be included in the document even if you do not register and your work is copyrighted even if you do not register. See the later section in this guide titled “Copyright and Fair Use” for more information. ProQuest currently charges \$55 in order to file for copyright on your behalf.

#### Order Copies

This is also optional. You are not obligated to order printed copies from ProQuest. There are other options for printed copies, such as Printing and Reprographics on campus or your neighborhood copy shop. If you do order printed copies from ProQuest, keep in mind it may take a few months before they arrive. ProQuest does not begin processing your order until the documents are uploaded from campus. That is done in a batch about 6-8 weeks after the end of the quarter.

If you choose not to order copies through ProQuest at the time you submit your document for format review, you will have another opportunity later using an order form provided by ProQuest. This order form is included in an email once your document is complete. If you decide you no longer want the copies you ordered originally, you will need to withdraw your entire submission and start over.

#### Submit

**This is a critical step.** Please do not be concerned that you are submitting directly to ProQuest - you are not. Only the Graduate Academic Affairs staff can submit your document to the publisher. Completing this step sends the staff an email and allows us to review your submission.

### Format Review

The format review for the dissertation is submitted as a pdf file to <http://www.etdadmin.com/ucr> at least two weeks prior to the final filing deadline. Please complete the entire online process and make sure all the required boxes on the left side of the screen are checked. Only then will you be permitted to submit your document for format review. Once you click submit, the Graduate Academic Affairs (GAA) staff will be notified and your document will be reviewed. You will receive an email from GAA staff through ProQuest outlining any changes required for the final submission. The email will also include additional instructions for completing the final filing.

Do not be concerned that this rough version of the document will be submitted to the publisher. Only GAA staff will submit the final, approved version of the dissertation.

### Submission of the Final Version

Once the corrections are made to the document, it must be re-submitted to ProQuest at <http://www.etdadmin.com/ucr>. Choose the “revise” option when logging back into the ETD site. The required forms and the final version of the dissertation must be submitted to Graduate Academic Affairs by 12:00pm (Noon) on the posted deadline. Remember to click the submit button to ensure that your document is submitted to Graduate Academic Affairs on or before the 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*. The dissertation posted on eScholarship is the same file as uploaded to ProQuest.

### Required Additional Paperwork

For those **completing a PhD**, the following forms must be filed in addition to uploading your dissertation. These forms are available on the Graduate Division website at <https://graduate.ucr.edu/filing-resources>.

- Original signature approval page, “wet” signed by your entire approved committee. (This is something *you* create. An unsigned version goes in your pdf.)
- Ph.D. Form 5 - Report on Final Examination for the Degree of Doctor of Philosophy, with original “wet” signatures
- NORC Survey of Earned Doctorates (completed online)
- UCR Doctoral Exit Survey (completed online)
- Acknowledgement of Previously Published Materials (upload to ProQuest if applicable)

If you are a **master's candidate** you must file the following forms in addition to uploading your thesis:

- Original signature approval page, “wet” signed by your entire approved committee. (This is something *you* create. An unsigned version goes in your pdf.)
- Report of Final Exam for Master’s Degree (if your department requires a defense)
- Acknowledgment of Previously Published Materials (upload to ProQuest if applicable)

After your manuscript is accepted and all required paperwork has been submitted you will be emailed a Certificate of Completion from Graduate Academic Affairs indicating that all degree requirements have been met. In most cases, we can provide this certificate to you the same day you complete the filing procedures.

### Final Transcript and Diploma

The official transcript with the degree posted on it will be available approximately

4 weeks after the conferral date. It will not be generated for you automatically. Official transcripts can be ordered through R'Web or by contacting the Registrar's Office. Transcript information can be found at <http://registrar.ucr.edu/registrar/transcripts-grades-and-academic-records/request-transcript.html>. An *unofficial* copy of your transcript may be downloaded through your Student Profile on R'Web.

Approximately 2 months after your official degree conferral date (not necessarily the date you file), the Registrar may have your diploma ready. The Registrar will mail your diploma to you using your Permanent Address on file in R'Web. Diploma information can be found at <http://registrar.ucr.edu/registrar/guide-to-graduation/diplomas.html>.

You will have access to R'Web after graduation and you should always keep your contact information updated with the Registrar through R'Web. You will be able to use your R'Mail account indefinitely after graduation.

## **PREPARING THE DOCUMENT**

### Typeface/Font Size

The type size used should be 10, 11 or 12-point overall and should remain consistent throughout the document. A notable exception to this rule is tables and figures. In tables and figures, the type may be slightly smaller.

All print should be black, and the characters consistently clear and dense. **Use the same typeface throughout the document.** 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. Hyperlink text may be blue, if you prefer.

### Margins

The margins of **one and one-half (1.5") inches on the top and left, one-inch (1") on the bottom and right** must be observed on each page. Tables, charts, maps, illustrations as well as appendices must have the same margins.

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 software program does this well and does not leave large gaps in the text or separate punctuation from text characters.

### 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)

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 appear 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 alone at the top of a sheet of paper) and orphans (one line of text from the beginning of a paragraph appearing alone 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 of text at the top and bottom of each page.

### 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 at the bottom of the page below the margin line. Page number labeling will begin with lower case Roman numeral iv.

**Main body:** Numbered with Arabic numerals beginning with page 1 of the introduction and continuing throughout, including text, figures, bibliography and appendices.

Page numbers are centered at the bottom of the page, below the margin line. (centered between the bottom margin and the bottom of the page.) All pages except the title page, copyright page and signature approval page 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. A template is available at <https://graduate.ucr.edu/filing-resources> if you need assistance with formatting the page number on a landscape-oriented page.

The dissertation must be submitted as one pdf document. The different pagination areas can make this a challenge. There are two main ways to accomplish this:

1. Format the correct pagination in one document and convert the entire document to pdf; or
  2. Create three separate pdf documents and combine them into one before uploading.
- Helpful hints and templates with this pagination already built in are available at <https://graduate.ucr.edu/filing-resources> and in the Resources tab of the ProQuest website.

### Tables, Graphs and Figures

For tables, full-page diagrams, pages with figures or photographs, the same margins are required as for text pages. Full-page figures may have accompanying captions on a separate page; such figures and their caption pages must be counted and numbered.

Landscape orientation may be used to print wide tables, figures, graphs and illustrations. The top of the figure, when in landscape orientation, must be printed along



the binding edge of the paper (left-side). 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. The use of color in figures, photographs, etc. is acceptable.

#### Printed Copies

Printed copies of the dissertation are not currently produced or required to complete official graduation requirements. If your advisor or department would like a printed copy, you are responsible for creating that on your own. Many students use Printing and Reprographics, located on campus, for this service. Campus Printing and Reprographics, for a fee, will print your manuscript, reduce your graphs, and bind any of your extra copies in a hard or soft format for your personal use. You can order a bound copy while submitting your dissertation to the ProQuest website, but you are not obligated. Copies ordered through ProQuest can sometimes take up to 6 months to arrive. Additionally, you may wish to use a professional printing and binding company of your own choosing.

#### 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 Spanish or Comparative Literature programs. 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. When the document is

written in a language other than English, all aspects of the title page and abstract page must be in English.

### LaTeX Templates

Two LaTeX templates are available on the Graduate Division website at <https://graduate.ucr.edu/filing-resources>. Overall the template follows the correct format, but you will still be required to complete a format review and may be asked to make minor adjustments.

If you are skilled in LaTeX and would like to submit an updated template for future students to use, please email [amanda.wong@ucr.edu](mailto:amanda.wong@ucr.edu).

### **FORMAT OF THE DISSERTATION/THESIS**

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 strongly recommended
- Signature Approval Page – required
- Acknowledgements – optional, but strongly recommended
- 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 the Appendix of this document or <https://graduate.ucr.edu/filing-resources> for a sample title page. Do not use any stylized text on your title page (italics may be allowed for Latin nomenclature). Do not use bold type. Note, the title page is counted in the pagination but does not have a printed page number label.

**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 have the first letter 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) with fewer than 4 letters. Use word substitutes for formulas, symbols, superscripts, Greek letters, or other non-alphabetical symbols in the title.

**Degree name** - The degree 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. Concentrations within your program will not be listed.

**Official name** - The name used on the title page is your name as it is found on file with the Registrar's Office. If your middle name is a part of your UCR record, you may use either your full middle name spelled out or your middle initial only. Please do not use nicknames or your preferred name. If you wish to record your name in a different manner, you may file a name change petition with the Registrar prior to graduation.

**Date** - The month and year the degree is to be conferred or awarded is to appear on the title page. Degrees are conferred four times per year in December, March, June, and September. Even if you file in the middle of the quarter you will still list the conferral month and year on your title page and abstract page.

**Committee** - The Graduate Dean approves the thesis or dissertation committee. If you have changed your committee at any point during your career since it was originally approved, please contact Graduate Academic Affairs to make sure we have your updated committee membership on file.

#### Copyright Page

When a manuscript is copyrighted, a statement to that effect should be enclosed on a separate page following the title page. You are not committing to pay any additional money for copyright services by including this page. See Appendix or <https://graduate.ucr.edu/filing-resources> for a sample copyright page. Note, the copyright page is counted in the pagination but will not have a printed page number label. For more information about copyright concerns, see the “Copyright and Fair Use” section later in this guide.

#### Signature Approval Page

**All committee members, on the same piece of paper, must originally sign the signature approval page. This is a crucial part of the graduation process. Electronic signatures are NOT accepted.**

The digital version of the document (ETD) must include a blank version of the signature page. The original “wet” signed version will be submitted separately to the Graduate Academic Affairs office. The signature page must be received by 12:00pm (Noon) PST on the posted deadline day. This is *required* for graduation.

See Appendix or <https://graduate.ucr.edu/filing-resources> for a sample signature approval page. Note, the approval page is counted in the pagination but should not have a printed number.

#### Acknowledgments and/or Dedication

It is recommended that you include an acknowledgment of help received or a brief personal note of dedication. Such notes should follow at this point. Do not include acknowledgements within each chapter. Everything of this nature should be included in this preliminary page.

The Acknowledgments page must include acknowledgment the following:

- All material in your document that you have previously published elsewhere (see page 10 of this guide for suggested wording).
- All co-authors if the copyright of material used in your document is held jointly.
- Any work copyrighted by someone else that you have permission to include.
- Any financial support received.

These pages should be numbered using lower case Roman numerals. The Acknowledgments page is the first to have a printed page number. It is normally page “iv”. If you choose to include both Acknowledgements and Dedication, they should be on separate pages, with the Acknowledgement page appearing first. The text of these pages must be double-spaced.

#### Abstract

For the doctoral dissertation, an abstract not to exceed 350 words is to be included--approximately one and one-half pages with the main body of text 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 or at <https://graduate.ucr.edu/filing-resources>, 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, conferral date of degree (month and year only), and the name of your committee chairperson(s).

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 requirements 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 number references for the preliminary pages, but it is not required.

#### Lists

If illustrations (i.e., figures, tables, maps, diagrams, charts, tables, photographs, etc.) are to be scattered throughout the text, or if more than one illustration, etc., is used, then a separate "List of Figures", or "List of Tables", or "List of Illustrations" etc., must be included after the "Table of Contents". These lists must reference the figure/table/illustration number and the page number that it appears. It is also a good idea to list some information (a brief description or the caption) about each figure/table/illustration, etc. so that your reader is able to use the list to find what they are looking for in the document. 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 to label the pages 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 and will always begin on a new page. References are single-spaced with a blank line between each entry. The order of the bibliography and its format is a 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. The appendices must fall within the margin requirements and should typically be double-spaced, but may be single-spaced if necessary.

The ProQuest ETD website gives students the option to upload “Supplemental Files” in addition to the thesis/dissertation. Supplemental files can include large appendix type material, images, audio files, etc. When the Library makes your dissertation/thesis available on eScholarship (UCR’s open access institutional repository), any supplemental files that you provide through ProQuest are also made available along with the document on eScholarship.

### **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.

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.

## **COPYRIGHT AND FAIR USE**

### **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. Additional copyright registration is optional, but 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 and information from <http://www.copyright.gov>.

Alternately, copyright registration may also be arranged through ProQuest Dissertation Publishing as indicated on the ETD submission website. They charge an



additional fee for this service. This is optional; you are not required to purchase copyright registration.

### Plagiarism and Copyright Permission

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. 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. When completing the information on the ProQuest ETD website, you will have the opportunity to upload any copyright permission you have obtained.

### Copyright Information and Resources

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.

The Graduate Division has compiled a list of resources to assist you with copyright questions that may arise in the process of writing and filing your dissertation. These resources can be found at <http://copyright.universityofcalifornia.edu/use/faq.html>. On this page, you will find answers to frequently asked questions about copyright and fair use. Please note that this information is meant to act as a general guide and not as a substitution for professional legal advice.

If you have questions about copyright law that are not encompassed by these resources, 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 [online](#)). A UCR librarian may also be able to assist you with copyright and fair use questions.

### **POST GRADUATION DISSERTATION/THESIS SUBMISSION SURVEY**

About one month after you have completed the requirements for your degree, you will be sent an electronic survey asking your opinion of UCR's dissertation/thesis resources and submission process. Please consider participating in this survey in order to help the Graduate Division improve the process for future students.

### **NEED HELP?**

#### Contact Us

The Graduate Division Academic Affairs Office staff is always available to answer any questions concerning interpretation of these instructions: [amanda.wong@ucr.edu](mailto:amanda.wong@ucr.edu) (last names A-L) or [trina.elerts@ucr.edu](mailto:trina.elerts@ucr.edu) (last names M-Z). You can reach Amanda and Trina at 951-827-3315. We are located in the University Office Building, Room 140. You may also visit <https://graduate.ucr.edu/dissertation-and-thesis-submission> for additional links and information.

#### Format Workshops

Dissertation/Thesis format information workshops are typically held during the 5<sup>th</sup> week of each quarter. Check your R'Mail regularly for announcements regarding future workshops. The workshop PowerPoint presentation and recorded version of the online workshop is also available at <https://graduate.ucr.edu/filing-resources>.

## **APPENDICIES**

*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 2021

Dissertation Committee:

Dr. Kara Oswood, Chairperson  
Dr. Amanda Wong  
Dr. Trina Elerts

*Sample Copyright Page*

Copyright by  
John Homer Doe  
2021

*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 2021  
Dr. Kara Oswood, Chairperson

Begin typing the abstract here, double-spaced, and limited to 350 words.  
The main body of text for the abstract will be indented and double spaced.

## *Sample Table of Contents*

### **Table of Contents**

<b>Introduction .....</b>	<b>1</b>
References .....	19
<b>Chapter 1</b>	
Abstract .....	29
Introduction .....	31
Materials and Methods .....	35
Results .....	49
References .....	63
Figures and Tables .....	70
<b>Chapter 2</b>	
Abstract .....	87
Introduction .....	89
Materials and Methods .....	93
Results .....	233
Discussion .....	110
References .....	117
Figures and Tables .....	124



### **Chapter 3**

Abstract .....	152
Introduction .....	154
Materials and Methods .....	157
Results .....	174
Discussion .....	183
References .....	190
Figures and Tables .....	194
<b>Conclusion</b> .....	<b>226</b>
References .....	233
<b>Appendix A</b> .....	<b>236</b>
<b>Appendix B</b> .....	<b>242</b>

## *Sample List of Tables*

### **List of Tables**

#### **Introduction**

Table I.1: Psychology Student Population at UCR..... 17

Table I.2: Psychology Student Population at All UC Campuses..... 18

#### **Chapter 1**

Table 1.1: Mental States of Graduate Students at UCR..... 70

Table 1.2: Mental States of Graduate Students at UC ..... 71

Table 1.3: Methods of Dealing with Stress of Graduate School..... 75

#### **Chapter 2**

Table 2.1: Stress Factors for Graduate Students ..... 124

Table 2.2: Stress Factors During Exam Periods ..... 125

Table 2.3: Stress Factors During Oral Qualifying Exam ..... 126

#### **Chapter 3**

Table 3.1: De-Stressing Methods..... 194

Table 3.2: How Stress Disappears After Graduation..... 195

Table 3.3: Ways of Coping With Grad School Withdrawal ..... 196

## COMMON ERRORS

### **Entire Manuscript:**

- Incorrect margins
- Page numbers printed above the margin line

### **Title Page:**

- Incorrect capitalization of title
- Wrong degree and/or major
- Name does not match Registrar's Office records
- Inaccurate degree conferral date (must be month and year only)
- Printed page number
- Committee not approved by Graduate Division

### **Copyright:**

- Name does not match Registrar's Office records
- Printed page number

### **Signature:**

- Name does not match Registrar's Office records
- Printed page number

### **Acknowledgements/Dedications:**

- Single spaced body
- Page number missing
- Page number not lower case Roman numeral

### **Abstract:**

- Title does not match title page/title in ProQuest
- Incorrect capitalization of title
- Wrong date/name/degree listed
- Body exceeds 350 words
- Page number missing
- Page number not lower case Roman numeral

### **Table of Contents:**

- Not included
- Page number missing
- Page number not lower case Roman numeral

**List of Figures/Tables/Illustrations:**

- Combining lists on one page
- Page number missing
- Page number not lower case Roman numeral
- Not including a description of the figure or table or illustration/figure or table or illustration caption

**Text:**

- Incorrect margins
- Numbering does not begin with 1
- Text is not double-spaced
- Style of headings is not consistent through manuscript

**Footnotes/Endnotes/Bibliography:**

- Entries are not single spaced with blank line between each entry
- Bibliography does not begin on a new page

**Graphs/Tables/Illustrations:**

- Incorrect margins
- Type is too small to read
- Page number missing
- Landscape pages not oriented correctly
- Page number is not portrait style

**Appendices:**

- Page numbers do not continue
- Incorrect margins