

UNIVERSITY OF CALIFORNIA, SANTA CRUZ  
DIVISION OF GRADUATE STUDIES

**DISSERTATION AND THESIS  
PREPARATION GUIDELINES**

**TO THE ADVANCED DEGREE CANDIDATE**

The submission of your Doctoral dissertation or master's thesis is the last step in the program leading to the award of your degree. Your 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 Bell & Howell (formerly University Microfilms International).

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. The finished document reflects on you and on the University. The physical format of the manuscript should be perfect. We would not expect you to settle for less; nor will we. Failure to follow these instructions may result in rejection of your thesis or dissertation, or an instruction to re-prepare it.

**DEADLINE:** All candidates for a degree must submit an Application for Doctor of Philosophy degree or Application for Master's Degree to the Division of Graduate Studies by **4 p.m.** on 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.

If registered or on approved leave the previous quarter, a student may use the Filing Fee rather than registering provided that all requirements for the degree have been met, except for the filing of a dissertation or thesis. A student using the filing fee should submit the Application for Filing Fee, signed by all members of the dissertation/thesis committee. The committee members are certifying that they have read the final draft and except for minor revisions, the thesis is acceptable and will be submitted to Graduate Studies by the Academic Calendar deadline date. This form should be submitted to the department assistant for your Department by the end of the second week of the quarter. Check the [Academic and Administrative Calendar](#) for the exact date.

A candidate on filing fee is not eligible to register for courses, or to use University facilities (libraries, laboratories) or faculty time (other than for the reading of the dissertation/thesis). Nor is the student eligible for financial support (Graduate Student Researchship, Teaching Assistantships, Graduate Fellowships of any kind, or need-based aid including loans).

A candidate who finds it necessary, after paying the filing fee, to use the University's facilities or to call upon faculty time beyond the reading of the dissertation/thesis, must resume registration. If this should occur during the quarter in which the student has paid the filing fee, the amount paid may be credited toward the Registration Fee. A student who does not complete the thesis or dissertation must register as an active graduate student. The filing fee may normally be used only once.

## PREPARATION OF FINAL COPIES

### 1. Number of copies.

**Two** approved unbound copies should be submitted to Graduate Studies by the date stated on the Academic & Administrative 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 and any copies submitted to Graduate Studies must be on **acid-free paper** and **100% cotton fiber**. (Your thesis/dissertation will be on file in the university library for a time that may stretch into hundreds of years, and high quality paper is essential to prevent premature deterioration.) A supply of suitable paper of 100% cotton fiber is normally kept in stock at the Bay Tree Bookstore. Only one side of the paper may be used. Erasable bond types of paper are not permitted. If you are using continuous feed paper, it must conform to the above specifications and there must be no signs of perforation on any part of the thesis. Contact [Graduate Studies](#) should you have questions about the type of paper that is required.

### 3. Typing a dissertation/thesis.

Consistency of typeface is vital. Use any standard pica or elite typeface, but be uniform throughout the entire thesis. Avoid script or other ornate typefaces. Either underlining or italic typeface may be used for purposes of emphasis or for distinguishing section headings.

Make corrections with the greatest care. Interlineations, crossing out of letters or words, strikeovers or erasures are not permissible. If an IBM Selectric typewriter is used, corrections can be made by the sticky tape system that lifts the offending letter right off the paper surface. Otherwise, except for very small and unobtrusive erasures, a page with a typing error should be re-typed.

### 4. Computer-produced dissertations and theses.

A dissertation/thesis produced by means of computer word processing must meet similar standards of quality. The paper must be of the appropriate grade, **acid-free 100% cotton fiber, plain white**, with no ragged edges. The printing must be of what is called 'letter quality': it must be as clear and dense as if it were typed using a carbon ribbon.

No particular choice of font or type face 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.

To ensure that your printer produces output acceptable for submission, it is recommended that you bring a sample to the Office of Graduate Studies for final determination.

## **5. Spacing.**

Use **double spacing** throughout 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.

## **6. 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 **bottom** of the page. (NOTE: Place footer/page number margin at 1.25".) Any page submitted with less than the minimum margins will be rejected. See Item 9 for minimum specifications for figures, charts, graphs, illustrations and appendices.

## **7. Justification and hyphenation.**

If computer word processing is employed, the right margin may be justified (straight) if this improves appearance and legibility. Long words may be hyphenated at the discretion of the typist to prevent unusually short lines from appearing, but hyphenation should be minimized.

## **8. Pagination.**

The page numbers that are displayed must be centered at the bottom of each page, at the bottom 1.25 inch margin. Make sure the page numbers are at least 1.25 inch away from the edge of the paper. Note that no words, punctuation, or diacritics of any kind accompany the page number: it says "4", not "-4-" or "4." or "Page 4".

All pages except the title page, copyright page, and abstract page (optional for master's thesis) are numbered. This includes full page photographs, charts and graphs, the bibliography and appendices. For the preliminary pages, use small Roman numerals (ii, iii, etc.). Page i is the title page, but the page number is not printed on this page. Page ii is the copyright page or a blank page if you are not copyrighting your work (the page number is not displayed). The Table of Contents follows the copyright page (or blank page if you are not copyrighting) and is numbered with the page number(s) displayed. The abstract follows and is numbered, but the page number(s) will not be displayed.

The **first** item on the Table of Contents list will be the Abstract (optional for master's thesis) unless you have a List of Figures or Table of Illustrations. The abstract (optional for master's thesis) is numbered, but the page number(s) will not be displayed. This will be followed by any dedication or acknowledgment section you may wish to include. This is numbered in the small Roman series, with the page numbers displayed. The remainder of the dissertation/thesis (beginning with the main body of text) is numbered with Arabic numerals (1, 2, etc.).

## 9. Photographs, plates, tables, etc.

Photographs may be included in the thesis. There are two options for including photographs in your thesis.

1. All photographs must be printed on paper size 8-1/2" x 11". The print should be printed on the top of the page so that there is 1.5" left hand margin, a 1.25" right hand margin, a 1.25" bottom margin, and a 1.25" top margin. A size 5" x 7" photograph printed onto a size 8-1/2" x 11" size paper will accommodate the margin requirements.

2. Photographs may be color xeroxed onto paper which is 8-1/2" x 11" with a 1.5" left hand margin, a 1.25" right hand margin, and a 1.25" bottom and top margin.

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

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. Page numbers remain centered at the bottom 1.25" margin. 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).

## 10. 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. (See the *Chicago Manual of Style* for an explanation of "fair use.")

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 which 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. A detailed

statement of the contribution by the candidate to all multiauthored publications must be included in the acknowledgment. These letters will be attached to your University Microfilm Dissertation Agreement Form, but they do not become part of the dissertation or thesis.

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 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 must be 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. (There must be at least three members of your reading committee, a majority of them must be members of the Santa Cruz Division of the Academic Senate of the University of California, and the committee must be approved by your Department and Graduate Dean.) The title page is counted as i, but the page number is not displayed. The date on the title page will depend on the quarter you will receive your degree and must reflect one of the four dates listed below.

Quarter degree conferred	Title page date
Fall	December 20__
Winter	March 20__
Spring	June 20__
Summer	September 20__

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

*Discipline Designation*  
 Anthropology  
 Astronomy and Astrophysics  
 Biology  
 Chemistry  
 Computer Science

*Degree Designation*  
 Doctor of Philosophy  
 Doctor of Philosophy  
 Master of Arts/Doctor of Philosophy  
 Master of Science/Doctor of Philosophy  
 Master of Science/Doctor of Philosophy

Computer Engineering	Master of Science/Doctor of Philosophy
Earth Sciences	Master of Science/Doctor of Philosophy
International Economics	Master of Arts/Doctor of Philosophy
Education	Master of Arts
Environmental Studies	Doctor of Philosophy
Environmental Toxicology	Doctor of Philosophy
History	Doctor of Philosophy
History of Consciousness	Doctor of Philosophy
Linguistics	Doctor of Philosophy
Literature	Doctor of Philosophy
Marine Sciences	Master of Science
Mathematics	Master of Arts/Doctor of Philosophy
Music	Master of Arts
Ocean Sciences	Doctor of Philosophy
Physics	Doctor of Philosophy
Politics	Doctor of Philosophy
Psychology	Doctor of Philosophy
Sociology	Doctor of Philosophy

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

History of Consciousness (Politics)

or

Earth Sciences (Geophysics)

## 2. COPYRIGHT NOTICE OR BLANK PAGE

A Master's thesis should include a blank page in lieu of the copyright page. If you are planning to copyright your Ph.D. dissertation, include a copyright statement on a separate page directly following the title page (sample attached). Otherwise, insert a blank page following the title page. Either way, the page in question is page ii of the preliminary materials, and the page number is not displayed.

United States copyright law is quite complex. Whether or not the dissertation is copyrighted, you retain the right to publish all or any part of it by any means at any time, except for reproduction from a negative microfilm as described in the agreement form with Bell & Howell. To retain the exclusive rights to reproduce, publish, or sell the dissertation, you must copyright the material.

Simply by adding a copyright notice, which should be included in all copies, you have copyrighted the dissertation. At this point, you have a number of options:

- You may have the copyright registered for you by Bell & Howell for a fee. They will submit for you the two required copies to the Library of Congress. See the Bell & Howell booklet for detailed information as well as the amount of the fee.

- You may register the copyright yourself by paying the registration fee and sending two copies of the dissertation to the Library of Congress. In order to have full protection against infringement, this should be done as soon as possible.
- You may choose to copyright your dissertation by adding the notice but not registering it. You will then hold the legal rights to your work. However, to protect your rights in a copyright dispute and in order for you to be eligible to be compensated for damages caused by infringement, your copyright must be registered.

### 3. TABLE OF CONTENTS

Theses and dissertations are expected to have a Table of Contents for the convenience of the reader. If plates or illustrations (i.e. maps, diagrams, charts, photographs, etc.) are scattered throughout the text, include a separate List of Figures or Table of Illustrations after the Table of Contents.

### 4. ABSTRACT (optional for Master's thesis):

An abstract must be included with each copy of your dissertation. For master's thesis an abstract is optional. The abstract must (a) state the problem briefly; (b) describe the methodology; (c) summarize the findings and must be limited to 350 words (about 2,450 characters) in length. The abstract should **include your name and dissertation or thesis title**. It should be **double-spaced**, using only one side of the paper, and should be within the thesis margin requirements. The abstract must adhere to the **350 word limit**, but can be more than one page in length. Its pages should be assigned a place in the small Roman number sequence for the preliminary pages, but the **numbers should not be displayed** on the abstract pages themselves.

### 5. 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 10 under Preparation of Final Copies, Published Material, regarding acknowledgment for published material). The pages of this section should be assigned a place in the small Roman number sequence for the preliminary pages, and the numbers should be displayed on the pages in the usual way (centered at the bottom margin).

### 6. TEXT:

The text of the dissertation/thesis follows at this point. Its first page, typically the first page of either an introduction or a first chapter, will be numbered 1 in Arabic numerals with the number displayed.

### 7. FOOTNOTES:

The placement of footnotes is a matter of preference which 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.

### 8. 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 9 under Preparation of Final Copies, Photographs, plates, tables, etc.).

#### **9. COMPUTER PRINTOUT MATERIAL:**

Computer printout material may be included only in an appendix on the appropriate grade of paper. Take care to insure that proper page margins are observed after detaching perforated edges and trimming. Rather than submitting original computer printout material, xerox it onto the appropriate grade of paper and include it in an Appendix.

#### **10. BIBLIOGRAPHY:**

A section headed Bibliography or References follows after the text and notes. Discuss the physical arrangement / style of the bibliography with your advisers. Graduate Studies requires only that it is in a consistent format that is considered adequate for professionally published material in the field in question.

<b>ARRANGEMENT OF MANUSCRIPT</b>
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1. TITLE PAGE (see back page for accepted format)
2. COPYRIGHT NOTICE OR BLANK PAGE (for Doctoral dissertations only)
3. TABLE OF CONTENTS
4. LIST OF FIGURES OR TABLE OF ILLUSTRATIONS
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
10. COMPUTER PRINTOUT MATERIAL
11. BIBLIOGRAPHY



### SUBMISSION OF A MASTER'S THESIS

Submit the following items to the Office of Graduate Studies by the deadline date listed in the Academic Calendar for the quarter the degree is to be conferred.

3. The unbound original, plus an unbound copy of the thesis. The **2 copies** must be submitted in a sturdy 8-1/2" x 11" **box**.
4. A **3 x 5 inch card** with your name and permanent address must accompany the thesis.
5. **Signed title page.**
6. **Alumni form.** (available from Graduate Studies).

### SUBMISSION OF DOCTORAL DISSERTATION

Submit the following items to the Office of Graduate Studies by the date listed in the Academic Calendar for the quarter the degree is to be conferred.

5. The unbound original, plus an unbound copy of the dissertation. The **2 copies** must be submitted in a sturdy 8 1/2 x 11-inch **box**.
6. A **3 x 5 inch card** with your name and permanent address must accompany the dissertation.
7. **Signed title page.**

**EXIT PACKET:** (takes about 30 minutes to complete)

- ☐ **Bell & Howell** (formerly University Microfilms) **agreement form** (available from Graduate Studies). Include a check made payable to Bell & Howell, if the dissertation or thesis is to be copyrighted and/or if reprints are ordered.
- ☐ **Survey of Earned Doctorates Form.** (available from Graduate Studies)
- ☐ **Graduate Studies confidential Survey of Ph.D. Recipients Form.** (available from Graduate Studies)
- ☐ **Alumni form.** (available from Graduate Studies)

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