



Dissertation and Thesis Format Guide:  
Instructions for Preparation and Submission

Graduate Division  
Graduate Academic Affairs  
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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 your 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. **DO NOT use dissertations or theses on file in the University Libraries or in your academic department as a guide for formatting 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 format 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**

You must be either a registered student or on filing fee status during the quarter you graduate. To file during the summer quarter without enrollment and tuition, 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 If you were not, (i.e., were on leave, on *ready to enroll* status, or withdrawn for one or more quarters) you must be enrolled in and pay for two units of directed research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) for the 10-week Summer Session. You may use filing fee during the Summer, if necessary, if you have not used it previously. *Note: filing fee status may only be used once.*

Master's candidates must file an application for candidacy no later than Friday of week three of the quarter in which they plan to graduate. This application is found in R'Grad which is in the authorized applications menu in R'Web. PhD candidates will advance to candidacy approximately 2 years prior to graduation (normally at the time they pass the Oral Qualifying Exam).

Master's and PhD candidates are expected to file a graduation application via R'Web no later than Friday of week three of the quarter in which they plan to graduate. Deadlines for both the master's application for candidacy and the PhD/Master's graduation application can be found at <https://graduate.ucr.edu/graduation-procedures-phd-masters-degrees>.

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-phd-masters-degrees>. It is your responsibility to know these deadlines. 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 enforced. We require that you complete a format review of the manuscript with the Graduate Academic Affairs Office at least two weeks prior to filing which is also strictly enforced. This will alert you to any problems in the formatting which need correction prior to the final filing deadline. Instructions for the format review and a checklist of are items to complete for graduation are found at <https://graduate.ucr.edu/dissertation-and-thesis-submission>.

#### Dissertation/Thesis Filing

The format review and final version of the dissertation or thesis must be uploaded to ProQuest via <http://www.etdadmin.com/ucr>. Details on this process can be found in the Dissertation/Thesis filing overview section later in this guide. We also provide instructions in the format workshop recording which is available at <https://graduate.ucr.edu/filing-resources#format-workshops>.

Doctoral candidates are responsible for ensuring the completed and approved **Final Defense PhD** and the **Signature Approval Page** is received by the Graduate Division. Both must be submitted via R'Grad no later than 12:00pm (Noon) on the posted deadline date.

Doctoral candidates are also asked to complete a National Opinion Research Center (NORC) Survey of Earned Doctorates and a Graduate Division Doctoral Exit Survey. The links to these surveys are found at <https://graduate.ucr.edu/filing-resources#phd-dissertation-paperwork>.

Master's candidates who are held for a final defense must file paperwork indicating that they have passed the defense using the **Final Defense Master's** petition. The **Signature Approval Page** is also required. Both must be submitted via R'Grad no later than 12:00pm (Noon) on the posted deadline date.

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

### **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 UCR Library. The UCR 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 the dissertation in ProQuest, the Library will provide access to the electronically submitted dissertation or thesis only after the embargo period concludes.

In addition to the UCR 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.

For more information about the UC Open Access Policy, visit <https://graduate.ucr.edu/uc-open-access-policy-theses-and-dissertations>.

## **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 the final version of your document will be uploaded to this website. This is the only accepted way to submit your document.

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 on the ProQuest site 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 there is a 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.

It is worth noting that all UCR theses and dissertations are published to eScholarship which is the University of California's open access institutional repository. This increases the availability and dissemination of the work.

This screen also includes options to limit or widen the availability of the manuscript in ProQuest. Please think about what is best for your situation as no adjustments can be made 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 the ProQuest document. All UCR documents available in eScholarship will be accessible to major search engines.

### Access Options for 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 will be required for the Graduate Dean's approval. The UCR Library will honor the delayed release time you choose in the ProQuest publishing options and will not make the document available until the embargo period has expired.

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

- It is based on data that will be used for other/future publications of a research group, and the research group wishes the manuscript embargoed until these other works are published.
- The student plans on obtaining a patent based on work in the manuscript.
- 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 manuscript 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.

If you think any of the above situations apply to you, discuss it with your research group and your advisor before making a request for embargo.

### IR Publishing Options

The delayed release time-period you choose for ProQuest will be matched by eScholarship (UC's Institutional Repository or IR). The document will not be available via either ProQuest or the UC IR until the embargo has expired. The same policies outlined in the section above apply to this delay.

### University Agreement

The University Agreement 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

Creative Commons (CC) selections are optional. CC 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, visit <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.

Selecting a Creative Commons License will not change the embargo period you have selected. 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" and visit <https://graduate.ucr.edu/copyright-and-fair-use-resources>.

### Register U.S. Copyright

You are not required to file for copyright through ProQuest – it is entirely optional. You can also do it on your own or choose not to do it 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 (see the section of this guide titled “Format of the Dissertation/Thesis”) should be included in the document even if you do not register. In addition, 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 \$75 to file for copyright on your behalf. *Note: Students who have filed for copyright on their own have reported that this fee is quite reasonable considering the amount of time it takes to complete this process.*

### Order Copies

You are not obligated to order printed copies from ProQuest. There are other options for printed copies, such as UCR’s Digital Print Services (<https://cbs.ucr.edu/digital-print-services>) or your neighborhood copy shop. If you do order printed copies from ProQuest, keep in mind it may take several months before they arrive. ProQuest does not begin processing your order until the documents are set to them by the Graduate Academic Affairs office (electronically). This 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.

Pricing ranges from \$31 to \$62 per copy depending on the type (soft or hardcover) and the number of copies ordered.

### 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 your submission to be reviewed and processed by Graduate Academic Affairs.

### 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. Both the format review deadline and the final filing deadline are strictly enforced (<https://graduate.ucr.edu/graduation-procedures-phd-masters-degrees>). 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 initial version of the document will be submitted to the publisher. Only GAA staff can submit the final, approved version of the dissertation upon completion of all graduation requirements.

### 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. This deadline is strictly enforced. 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 to produce copies and online posting of all dissertations and theses to ensure their availability to the public and their indexing in *Dissertation Abstracts International*. The same version appears via ProQuest and eScholarship.

### Required Additional Paperwork

For those **completing a PhD**, the following must be submitted in addition to the uploading your dissertation. See also <https://graduate.ucr.edu/filing-resources>.

- Signature Approval Page (Dissertation or Thesis)
- Final Defense PhD
- NORC Survey of Earned Doctorates
- Graduate Division Doctoral Exit Survey

If you are a **master's candidate**, you must submit the following in addition to uploading your thesis. See also <https://graduate.ucr.edu/filing-resources>.

- Signature Approval Page (Dissertation or Thesis)
- Final Defense Master's (if your department requires a defense – check your degree audit in your R'Web menu to verify)

After your manuscript has been approved and all required documentation been submitted, you will receive an email through ProQuest that your submission has been accepted.

### Final Transcript and Diploma

The official transcript showing degree completion 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 <https://registrar.ucr.edu/grades-records/request-transcript>. An *unofficial* copy of your transcript may be downloaded through your Student Academic Summary via 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 <https://registrar.ucr.edu/graduation-guide/diplomas>.

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 as a member of the UCR alumni community.

## **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.** The typeface of your page numbers must match 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 on ALL PAGES must be **one and one-half (1.5") inches on the top and left, one inch (1") on the bottom and right.** Tables, charts, maps, illustrations as well as appendices must follow these margin specifications.

The choice of whether 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 and orphans**.

A **widow** is:

- one line of text from the end of a paragraph appearing alone at the top of a sheet of paper.

An **orphan** is:

- 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. Examples of these may be found in the format workshop slides (<https://graduate.ucr.edu/filing-resources#format-workshops>).

### Pagination

Theses and dissertations are to be paginated in three sections as follows:

1. **Preliminary pagination:** The title, copyright, and approval pages are counted in the pagination as i, ii, and iii but the number is NOT printed on the page.
2. 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.
3. **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 using section breaks to accommodate the three different page number sections 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, and 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 and encouraged.

#### 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 Digital Print Services (<https://cbs.ucr.edu/digital-print-services>), located on campus, for manuscript printing and binding. Digital Print Services, 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. (A hardbound copy with the UCR seal, title, and author in gold on the cover starts at \$80.) You can order a bound copy while submitting your dissertation to the ProQuest website, but you are not obligated. Alternately, 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

LaTeX is a typesetting system often used for scientific document production. It is one of many acceptable ways to create and display your dissertation or thesis including text and data. It is fine to use LaTeX to create your document, but the formatting must adhere to the instructions in this format guide. When you upload your manuscript to ProQuest, it must be in PDF format.

## **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 – strongly recommended, but optional
- Signature Approval Page – required
- Acknowledgements – optional unless you are using previously published material. Most academic works include an acknowledgements section.
- 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 as page i 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. You may verify your major by viewing your degree audit in R'Web portal.

**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. If you wish to record your name in a different manner, you may submit a lived name request, or a name change request 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 since it was originally approved, please contact your program advisor to make sure your updated committee membership has been approved.

### 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 as page ii 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. Graduate Academic Affairs highly recommends including this page.

### Signature Approval Page

**All committee members must electronically sign the Signature Approval Page (Dissertation or Thesis) via R’Grad. This is a crucial part of the graduation process.**

The digital version of the document (ETD) must include a blank version of the signature page. The official version of the signature approval page with electronic signatures will be submitted via R’Grad 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 and the deadline is strictly enforced.

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 does not have a printed page number label.

### 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 the preliminary section.

The Acknowledgments page must include acknowledgment the following:

- All material in your document that you have previously published elsewhere.
- 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

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## **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 2027

Dissertation Committee:  
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2027

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The Dissertation of John Homer Doe is approved:

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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 2027  
Dr. Jane Smith, Chairperson

Begin typing the abstract here, double-spaced, and limited to 350 words or 1,450 characters. The main body of text for the abstract will be indented and double spaced.

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