Dissertation and Thesis Format Guide: Instructions for Preparation and Submission

Graduate Division
Graduate Academic Affairs
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**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 If you were not, (i.e., were on leave, on *ready to enroll* status, or withdrawn for one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.

<div align="center">Dissertation/Thesis Filing</div>

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** <u>and</u> 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 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.

<u>Select Publishing Options – Search Engines</u>

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.

<u>Access Options for Delaying the Release of Your Work (aka Embargo)</u>

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 <u>publishing this original version is not necessarily an obstacle to a later publishing contract</u>.

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.

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<u>Required Additional Paperwork</u>

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.

<u>Final Transcript and Diploma</u>

The official transcript showing degree completion will be available approximately 4 weeks after the conferral date. It will <u>not</u> 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).

<div align="center">Pagination</div>

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

1. **Preliminary pagination:** The title, copyright, and approval pages are <u>counted</u> in the pagination as i, ii, and iii but the number is <u>NOT</u> printed on the page.
2. The **remaining preliminary pages** are numbered with <u>lower case Roman numerals</u> centered at the bottom of the page <u>below</u> the margin line. Page number labeling will begin with lower case Roman numeral iv.
3. **Main body:** Numbered with <u>Arabic numerals</u> 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. <u>All pages</u> except the title page, copyright page, and signature approval page have page numbers printed on them. The numbers should appear <u>without</u> 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.

<u>Tables, Graphs and Figures</u>

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.

<u>Printed Copies</u>

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 ethe 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.

<u>Language Considerations</u>

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 <u>counted</u> in the pagination, but the number <u>is not</u> 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.

<div align="center">Copyright Page</div>

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.

<div align="center">Signature Approval Page</div>

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.

<div align="center">Acknowledgments and/or Dedication</div>

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

For the doctoral dissertation, an abstract not to exceed 350 words or 1,450 characters is to be included. This translates to 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. The table of contents should be single-spaced with a blank line between each entry. It 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. You must also list

some information (a brief description or the caption) about each figure/table/illustration, etc. so that your reader can use the list to find what they are looking for in the document. Each list must be separate and begin on a new page. The lists should be single-spaced with a blank line between each entry.

<div align="center">Text</div>

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.

<div align="center">Notes</div>

Notes may appear as footnotes at the bottom of individual pages, may be gathered 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.

<div align="center">Bibliography</div>

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. If you choose to place the references at the end of each chapter, the format of the references must be consistent throughout the document.

<div align="center">Appendices</div>

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.

<u>Supplemental Files</u>

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.

<u>SCIENTIFIC JOURNAL FORMAT</u>

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 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.

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 (currently $75). This is optional; you are not required to purchase copyright registration. *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.*

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.

<u>Copyright Information and Resources</u>

<u>No thesis or dissertation incorporating reprint material that has been copyrighted will be accepted without appropriate authorization</u>. 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 https://graduate.ucr.edu/copyright-and-fair-use-resources. 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, please contact 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 to help the Graduate Division improve the process for future students.

NEED HELP?

Contact Us

The Graduate Division Academic Affairs Office staff is available to answer any questions concerning interpretation of these instructions.

Amanda.Wong@ucr.edu (Last Names A-H)

Trina.Elerts@ucr.edu (Last Names I-P)

Jessica.Renteria@ucr.edu (Last Names Q-Z and students with no listed last name)

GAA@ucr.edu (General GAA email address)

We can be reached by telephone at 951-827-3315 and our office is in University Office Building, rooms 123-129. Our appointment calendars can be found at https://graduate.ucr.edu/directory under Graduate Academic Affairs.

Format Workshops

Dissertation/Thesis format information workshops are typically held during the 5th 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

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:
    Dr. Jane Smith, Chairperson
    Dr. Robert Robertson
    Dr. Norma Normal

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 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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Chapter 3: How Satisfied are Graduate Students With their Choice of Graduate School

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PHD DISSERTATION AND MASTER'S THESIS FILING CHECKLIST
https://graduate.ucr.edu/dissertation-and-thesis-submission

*The order below is meant to be a suggestion for best practice. You may find that the order of completion differs in your own case, particularly steps 5-12. Although the steps may be taken out of order, keep in mind that **deadlines are STRICTLY enforced.***

1) **Advance to Candidacy**
   a) Master's students must file an *Application for Candidacy for Master's Degree* no later than Friday of week three for the quarter in which they plan to graduate. The Application for Candidacy is accessed through R'Grad and must be in the Graduate Dean's queue by the posted deadline to be considered. **Deadlines are strictly enforced.**
   b) It is expected that PhD students will have completed the oral qualifying exam and advanced to candidacy prior to filing the dissertation.

2) **Apply to Graduate**
   a) PhD and master's students must submit a graduation application through R'Web by Friday of week three of the quarter they plan to graduate.
   b) See the Graduation Procedures page* for specific deadlines and instructions.

3) **Review the Format Guide**
   a) Reviewing the format guide is the first step in preparing your manuscript for submission. It explains all aspects of the submission and graduation requirements. Please read it carefully and review the sample pages. Ensure that your preliminary pages match the samples.
   b) For additional formatting help and information, including templates and samples, visit the Filing Resources page.*

4) **Attend a Format Workshop**
   a) The Graduate Academic Affairs office holds workshops each quarter to help students understand the requirements. The workshops are typically held in week five of the quarter but be sure to check your R'Mail for announcements. *Attending a format workshop is highly recommended.*
   b) The workshop video and slides can be found on the Filing Resources page.*

5) **Review the Deadlines**
   a) The deadline to file your manuscript is the last business day of the quarter at NOON. Deadlines for the current year are posted on the Graduation Procedures page.*
   b) To meet the deadline for graduation, you must advance to candidacy (step 1 in this checklist), apply for graduation (step 2 in this checklist), and submit your document for format review by the posted deadline.

c) The final version of the dissertation/thesis and all additional paperwork, including the completed Signature Approval Page and Final Defense Form (both submitted via R'Grad), must be in the Graduate Dean queue by 12:00pm (noon) on the posted deadline.

6) Submit the Dissertation/Thesis for Format Review
   a) Every PhD student and every master's thesis student planning to file and graduate must submit a dissertation/thesis for format review by the posted deadline for the quarter. **<u>These deadlines are strictly enforced.</u>**
   b) The format review is uploaded via the ProQuest ETD web site*. Please complete all the required screens and SUBMIT your document online. For additional information visit the ProQuest ETD FAQ page*.
   c) After uploading your dissertation/thesis for a format review to the ProQuest ETD website*, you will receive an email from the Graduate Academic Affairs staff. The email will include a review of the requirements for graduation and final submission. You should receive the email within 2 business days of submission of your document. If you do not receive this email, please check your junk email folder or contact GAA@ucr.edu.
   d) Graduate Academic Affairs staff will review your submission to identify any formatting issues and will communicate with you via email regarding necessary changes to the document. You may be asked to upload your document multiple times. You will be notified once the formatting has been approved and no further changes are needed. This is an important step to ensure your final document is ready by the posted deadline.
   e) Please do not be concerned that submitting this draft to ProQuest will result in in being published. You will have the opportunity to submit a final version. The Graduate Academic Affairs staff will submit the approved final version to ProQuest once you have completed all graduation requirements.
   f) ProQuest offers students the opportunity to order bound copies of the dissertation at the time of the format review submission. Please note that this is an optional service and that there are other ways to order printed copies of the dissertation such as UCR's Digital Print Services* or your neighborhood print/copy shop. If you do order copies through ProQuest, please be aware that it will take several months for the copies to be prepared and shipped to you. ProQuest will not begin processing your order until the documents are uploaded from UCR which may take 6-8 weeks from the end of the quarter in which you graduate.

7) Participate in a Final Defense and Get Signatures of Approval.
   a) If your program requires a final defense, you must submit proof of its completion via R'Grad. To meet the deadline, the *Final Defense Form* must be in the Graduate Dean queue by 12:00pm (noon) on the posted deadline.
   b) Required Signatures are:
      i) Master's Thesis students: only the signature of your chair is required on the Final Defense Master's form.

ii) PhD Students: all committee members must sign the Final Defense PhD form.
c) The approval of your Final Defense is separate from the Signature Approval Page (see step 8 below) in your dissertation or thesis.

8) **Submit the *Signature Approval Page* (Dissertation or Thesis)**
   a) The Signature Approval Page is a critical part of your final document. On this pate, your committee gives their final approval of the written dissertation/thesis document. Please make sure to allow enough time to obtain all the signatures prior to 12:00pm (noon) on the final filing deadline. <u>All committee members **must** digitally sign the R'Grad Signature Approval Page.</u> Signature Approval Pages will not be accepted by any other method. Be aware of your committee members' schedules and make plans to accommodate this requirement!
   b) All committee members for both master's and PhD students must digitally sign the Signature Approval Page.
   c) To meet the deadline, the Signature Approval Page must be in the graduate Dean queue by 12:00pm (noon) on the posted deadline. **<u>These deadlines are strictly enforced.</u>**
   d) The Signature Approval Page that you include in your digital dissertation or thesis in ProQuest will <u>not</u> include signatures.
   e) A Signature Approval Page template for inclusion in your document may be found on the filing resources page.

9) **Complete Any Additional Paperwork**
   a) PhD students are expected to submit two exit surveys. Both surveys are completed online. You do not have to submit anything to Graduate Academic Affairs to show completion of these surveys.
   b) If your manuscript contains previously published information or copyrighted material, you may need to acquire approval to reprint it.
   c) For additional information about copyright and fair use in your dissertation, visit our Copyright Resources page.*
   d) A complete list and links to the paperwork can be found on our Filing Resources page.*

10) **Submit the Final Version of your Document on or Before the Deadline**
   a) Complete any changes requested in the format review and by your committee. When the document is complete, return to the ProQuest ETD website* to submit the final version of your dissertation/thesis. When logging back in, choose the "revise" option. Once the deadline for the quarter has passed, you will not be permitted to make additional changes to your document, so take all precautions to ensure your version is complete.
   b) Please be aware of all filing deadlines* to be sure that you complete all required steps in plenty of time to meet the deadline for the quarter in which you expect to receive your degree. **<u>These deadlines are strictly enforced.</u>**

c) For information about what happens to your document after submission, visit the ProQuest ETD FAQ page.*

11) Update your Permanent Address in R'Web.
   a) Your diploma will be mailed ot your permanent address in R'Web approximately 2 months after your degree conferral date. Any questions about diploma should be directed to reghelpdesk@ucr.edu. You may also visit the Registrar's web site* for more information.
   b) Transcripts – both official and unofficial – with your degree conferral noted – will be ready approximately 4 weeks after your degree conferral date. Official transcripts may be ordered through your R'Web portal. Unofficial transcripts may be accessed from your Student Academic Summary in your R'Web portal.

12) Participate in the Commencement Ceremony (optional)
   a) If you wish to participate in the commencement ceremony, offered in June each year, you must verify your eligibility and submit your intent to participate.
   b) Information for graduate students regarding Commencement and the requirements for participation can be found on the Commencement Information page.* The main UCR Commencement page* has information about the schedule of ceremonies, tickets and much more.

*Web site information
Commencement (main site): https://commencement.ucr.edu/
Copyright Resources: https://graduate.ucr.edu/copyright-and-fair-use-resources
Digital Print Services (copies of dissertations with UC seal):
https://cbs.ucr.edu/dissertation-printing
Dissertation and Thesis Filing Checklist:
https://graduate.ucr.edu/dissertation-and-thesis-submission
Filing Resources (Format Guide, Format Workshops, Templates, Surveys, etc.):
https://graduate.ucr.edu/filing-resources
Graduate Division: https://graduate.ucr.edu/
Graduate Division Commencement: https://graduate.ucr.edu/commencement-2026
Graduation Procedures (includes filing/graduation deadlines):
https://graduate.ucr.edu/graduation-procedures-phd-masters-degrees
ProQuest ETD submission website: https://www.etdadmin.com/?siteId=165
ProQuest ETD FAQ: https://graduate.ucr.edu/proquest-etd-faqs
Registrar Web Site (transcripts, diplomas, name and address information, etc.):
https://registrar.ucr.edu/grades-records
R'Grad (Graduate Student Petition Portal): www.rgrad.ucr.edu
R'Web (UCR Student Portal): www.portal.ucr.edu

COMMON ERRORS

<u>Entire Manuscript:</u>
      Incorrect margins
      Page numbers printed above the margin line

<u>Title Page:</u>
      Incorrect capitalization of dissertation/thesis 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 label
      Committee not approved by Graduate Division

<u>Copyright:</u>
      Name does not match Registrar's Office records
      Printed page number label
      Date information (only list the year here)

<u>Signature:</u>
      Name does not match Registrar's Office records
      Printed page number label

<u>Acknowledgements/Dedications:</u>
      Single spaced body
      Page number missing
      Page number not lower-case Roman numeral
      Starting page numbering with i instead of iv

<u>Abstract:</u>
      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

<u>Table of Contents:</u>
      Not included
      Page number missing
      Page number not lower-case Roman numeral

List of Figures/Tables/Illustrations:
      Combining all 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

Main Body of 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
      Landscaped pages not oriented correctly
      Page number is not portrait style

Appendices:
      Page numbers do not continue
      Incorrect margins