

UC SANTA BARBARA

Academic Services

Graduate Division

2018-19

Guide to Formatting and Filing
Theses, Dissertations,
and DMA Supporting Documents



A Message from the Dean of the Graduate Division

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

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Dear Graduate Student,

A doctoral dissertation/supporting document or master's thesis represents the culmination of a University of California, Santa Barbara (UCSB) degree program and documents a graduate student's contribution to academic research in a specific discipline. Key to this contribution is the presentation of research results that reflect the highest degree of scholarship and adherence to the disciplinary norms for presentation within your discipline.

The Guide to Formatting and Filing Theses, Dissertations, and DMA Supporting Documents outlines requirements for the submission and dissemination of your doctoral dissertation/supporting document or master's thesis at UCSB. These have been written to ensure consistency and accuracy in the formatting and completion of your thesis or dissertation/supporting document. Following these guidelines from an early point in the production of your work saves time reformatting later and helps instill in you the practice of professional academic writing.

We wish you all the best in this important final stage of completing your degree. Please feel free to contact the Graduate Division staff if you have questions about this process.

Sincerely,

Carol Genetti

Dean

UC Santa Barbara Graduate Division

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Chapter I

Academic Senate Policy and Student Responsibility for Dissertations, DMA Supporting Documents, and Theses

Academic Senate Policy and Student Responsibility for Dissertations, DMA Supporting Documents, and Theses

Doctoral dissertations/supporting documents and master's theses submitted to UCSB must meet the requirements set by Graduate Council for the degree candidate to be eligible for a graduate degree¹. A doctoral dissertation must be the result of original research conducted in the candidate's specialization and must be approved in its entirety by the student's doctoral committee. A DMA supporting document must be a written document that demonstrates evidence of scholarly research, all judged satisfactory by the doctoral committee. A master's thesis must be a significant research work and must be approved in its entirety by the master's committee. For the remainder of this guide, "dissertation" will refer to all doctoral degrees, including DMA.

Students and their committee members are responsible for everything contained in the manuscript. The complete master's thesis or doctoral dissertation must be submitted to the members of the student's supervising committee for their review and final approval. This includes all preliminary pages or front matter (e.g., dedication, acknowledgements, abstract), the main body of text (including any charts or other inserted matter), and the back matter (e.g., the notes and bibliography, any appendices). It is the responsibility of all committee members to read the entire content of the manuscript before approving. Nothing can be added once the committee has given final approval as indicated by their signatures on the signature page.

Students should electronically file (e-file) the thesis or dissertation only when it is completed and approved in its entirety by all their committee members. This means making the revisions requested by supervising committee members prior to obtaining final signatures and electronically filing the document.

Once the Graduate Division has accepted the e-filed document, it is final and cannot be changed. Students and committee members are responsible for ensuring that all standards of publication (including fair use², copyrighting, patents, and publication rights) and all standards of research are met, including, where appropriate, approval of the Human Subjects Committee (contact the [Office of Research](#) at 805-893-3807) or approval of the [Institutional Animal Care and Use Committee \[IACUC\]](#) (contact IACUC@lifesci.ucsb.edu).

Per Graduate Council policy, master's theses and doctoral dissertations must be published through ProQuest Information and Learning using microfilm and electronic means. As such, students grant ProQuest the non-exclusive right to reproduce and distribute their theses or dissertations in and from microfilm and in and from an electronic format. Students also grant ProQuest the non-exclusive right to reproduce and distribute their abstracts in any format in whole or in part. Students may grant other publication rights as they wish in other forms – hard or soft cover, posters, screenplay, etc.

ProQuest keeps a master microfilm of each thesis and dissertation deposited with them, offers copies of the documents for sale, and publishes an abstract of the document in Masters Abstracts International or Dissertation Abstracts International (available on the Internet). ProQuest pays a royalty on sales of copies of the thesis or dissertation. ProQuest may use third party agencies to collect orders for theses and dissertations, but ProQuest fills the orders. During the e-filing process, students choose whether or not to allow third party sales of their document. Authors retain all rights to their theses and dissertations, and sales are tracked for royalty payments.

It is the policy of UCSB to deposit all electronic theses and dissertations (ETDs) at the UCSB Library. The ETDs will be archived in the Library's institutional repository (IR), Alexandria Digital Research Library (ADRL), and will be accessible to patrons visiting the Library. For additional information, please review the UCSB Library Publishing Agreement as well as ProQuest's Authors website.

1 These include UCSB Academic Senate Regulations 350, 355, and 360 (Amended 7 Nov 96) covering the doctorate, and A.S. Regulations 300 and 305 A-B (Amended 7 Nov 96) covering the master's degree.

2 For an overview of copyright law and fair use as it applies to master's theses and doctoral dissertations, see the manual [Copyright Law & Graduate Research: New Media, New Rights, and Your Dissertation](#) by Kenneth D. Crews. The manual is available from ProQuest at <http://www.proquest.com/en-US/products/dissertations/copyright/> or by calling (800) 521-0600, ext. 7020. Crews cites four factors to evaluate and balance in determining whether there is fair use: (1) the purpose of the use, including a non-profit educational purpose; (2) the nature of the copyrighted work; (3) the amount of the copying; and (4) the effect of the copying on the potential for, or value of, the original work. Crews' manual also includes a sample permission letter

Specifications of the Document

It is the responsibility of the student to determine whether or not reprint permission letters are necessary for The specifications in the following pages were adopted in consultation with UCSB Library and based on the publication standards of ProQuest. These standards assure uniformity in the degree candidates' manuscripts to be archived electronically in the Library, as well as to ensure the widest possible dissemination of student-authored knowledge. Samples of a MS Word and LaTeX formatted thesis and dissertation, including preliminary pages, body text with figures, references and appendix, are available on-line and may be used as templates. Please note that using one of the templates does not guarantee that formatting (especially page margins and numbers) will be correct. The varying software versions and editing documents can alter the format.

English Required in Text

The manuscript must be written in English, unless the student is a degree candidate in a foreign language department that encourages or requires theses/dissertations in the language of study. Even if the text is in another language, all information in the preliminary pages, except the title, Acknowledgements, and Table of Contents, must be in English.

Font and Font Sizes

The font used must be clear, legible, and large enough to be easily readable on microfilm.

A font size of at least 12 must be used for the text. Standard fonts such as Arial, Century, Helvetica, or Times New Roman are recommended¹. A font size of at least 10 must be used for footnotes and captions.

Italics may be used for quotations, headings, labels, book titles, foreign words, scientific names or for occasional emphasis. Fonts and font sizes used for appendices, charts, drawings, graphs, maps and tables may differ from that used for the text. Script, calligraphy, italics, and specialized art fonts are not acceptable for the main body of the text. The print should be letter quality with dark black characters that are clear and dense.

Minimum Margins

Large margins are necessary because of the binding process (some students may choose to purchase bound copies via ProQuest or other vendor). The student may set larger margins, but must be sure that the final text lies well within the following guidelines:

PAGE/PAPER SIZE = 8.5 x 11

TOP LINE OF TYPE = 1 inch from top of page

BOTTOM LINE OF TYPE = 1 inch from bottom of page

LEFT = 1.25 inches (this margin is wide for binding requirements and microfilming)

RIGHT = 1 inch

PAGE NUMBER = centered .75 inches from bottom of page

Except for page numbers, nothing must intrude into the margins. These minimum specifications also apply to all figures, charts, graphs, illustrations and appendices.

¹ For the complete list of recommended fonts, please see here: http://www.etdadmin.com/UMI_PreparingYourManuscriptGuide.pdf

Page Numbers and Pagination

Page numbers should be centered .75 inches from the bottom edge of the portrait oriented page. Placement of page numbers must be consistent throughout the manuscript. Word processing software manuals will contain instructions for page number and other formatting procedures.

Except where noted below, each page of the entire manuscript must be numbered consecutively; pages should be counted or numbered in accord with the following standards:

- 1) Neither the title page nor signature page should have visible page numbers, although these pages are counted as page one (i) and page two (ii).
- 2) All preliminary pages following the title and signature pages must be numbered consecutively beginning with lower case Roman numeral "iii" and continuing with iv, v, vi, etc. This includes the copyright page, dedication, acknowledgements, vita (required for dissertations only), abstract, table of contents, list of figures/tables/symbols/illustrations, and introduction⁴.
- 3) The main body of the text and any back matter must be numbered consecutively at the bottom of the portrait page with Arabic numerals beginning with "1" (1, 2, 3, etc.), including text, illustrative materials, bibliography, notes, and appendices.

Correct pagination is required for the manuscript to be acceptable. The document must be free of missing pages, blank pages, or duplicate numbers or pages.

Double Spacing of Text Required

The abstract and all textual materials in the main body of the manuscript should be double-spaced. Single spacing is acceptable for: vita, dedication/acknowledgements, table of contents, long quotations, footnotes, text that appears within figures or tables or maps, bibliographies, and captions. Survey instruments and other materials used by the student to conduct research that are reproduced in an appendix may be single-spaced.

Preliminary Pages

Except for the title page and signature page, all preliminary pages are numbered in sequence with lower case Roman numerals centered and placed .75 inches from the bottom of the portrait page. The page after the signature page begins with number “iii.” Samples of a [MS Word and LaTeX](#) formatted thesis and dissertation are available [online](#) and may be used as templates. Please note that using one of the templates does not guarantee that formatting (especially page margins and numbers) will be correct. The varying software versions and editing documents can alter the format.

Title Page (Required, double-spaced)

- The name of the institution conferring the degree – University of California, Santa Barbara – should appear at the top of the title page. See [templates](#) for sample title page.
- The title should be specific, unambiguous, and descriptive of the research, with easily identifiable key words that will ensure electronic retrieval. The title should not be overly lengthy, and generally speaking, should not contain more than 50 words.
- Scientific titles must use words, not symbols, formulas, or Greek letters in the title. Subscripts and/or superscripts may be used, but will not appear correctly on your UCSB Official Transcript (e.g. X₂ would appear as “X2”).
- The student must use a brief summary title when the manuscript is a compilation of two or more publishable papers that are referenced in the title.
- Master’s students should refer to their manuscript as a thesis. Doctoral students should refer to their manuscript as a dissertation or for DMA students, a supporting document.
- The degree major listed should be the degree that UCSB will confer (e.g, Chemistry, not Chemistry & Biochemistry). Please see the [UCSB General Catalog](#) for graduate degree majors.
- Students may use their preferred first name and legal last name or full legal name as recorded with the UCSB Office of the Registrar. Using their middle initial is okay if preferred. The name format should be consistent throughout the manuscript. For example:
 - Legal First Name, Legal Middle Name, Legal Last Name
 - Legal First Name, Legal Middle Name Initial, Legal Last Name
 - Preferred First Name, Legal Middle Name, Legal Last Name
 - Preferred First Name, Legal Middle Name Initial, Legal Last Name
- All committee members must be listed, chairperson first, using the generic title Professor unless the member is:
 - affiliated with UCSB, but is not ladder faculty, list the member as “Dr.” and include member’s affiliation. If highest degree is not a doctorate, list highest degree after member’s name.
 - * Dr. Jane Doe, Lecturer/Adjunct Professor/Researcher
 - * John Doe, M.S., Lecturer/Adjunct Professor/Researcher
 - outside of academia, include the member’s highest degree and company (optional)
 - *Jane Doe, B.S., Microsoft
 - *John Doe, M.A.

- For a committee member who is a professor at another UC or university, list the member as “Professor” and include the member’s institution:
 - * Professor Jane Doe, Stanford University
 - * Professor John Doe, University of California Santa Cruz
- A deceased committee member may be listed on the title page, but typically not on the signature page, following the above naming policy, with the words “in memoriam” after the member’s name.
 - *Professor John Doe, in memoriam
- **Date on the title page must be month and year of degree conferral:** December for a Fall degree; March for a Winter degree; June for a Spring degree; September for a Summer degree.
- The title page is not numbered, although it is counted as page “i” in the sequential numbering of the preliminary pages. **The title and signature pages are the only manuscript pages without visible page numbers.**

Signature Page (Required, double-spaced)

Students must obtain, on at least one plain white 8.5 x 11 sheet of paper, original committee member signatures in permanent black or blue ink. The signatures must correspond to the names of committee members listed on the title page, but the committee chair is listed last and signs on the bottom line. The signature page must include the month and year that the committee signs, indicating their approval and acceptance of the entire document. An original signed (“wet” signatures) signature page along with submission of the e-filed manuscript is required to meet a [filing deadline](#).

As with the title page, the signature page is not numbered (although it is counted sequentially as page ii). Preliminary page numbering, following the signature page, will vary depending on which of the optional pages (described below) the student chooses to include.

Copyright Notice (Optional, double-spaced)

Students can include a separate page for the statement of copyright. The use of a copyright notice is no longer required under U.S. law, but is considered important and beneficial because it informs the public that the work is protected by copyright, identifies the copyright owner, and shows the year of first publication. Additional information on copyrighting appears in Chapter III. Students should use the same form of their name that appears on the title page (full legal name as recorded with the UCSB Office of the Registrar). See the copyright notice example in the sample [thesis](#) and [dissertation](#).

Vita (Required ONLY for doctoral students, single spacing allowed)

A biographical notice, or vita, is required only of doctoral candidates. The vita should contain the following:

- Name (as recorded with the UCSB Registrar’s Office)
- Colleges attended and degrees earned.
- Professional appointments (may include military assignments).
- Publications (may include the title of an unpublished master’s thesis).
- Fields of study and names of faculty who supervised research. Group fields into related teaching or research headings where possible.

See *sample dissertation for vita* [example](#).

Abstract (Required, double-spaced)

The abstract is required for both theses and dissertations, and must include:

- The title of the thesis or dissertation
- The student's legal name (as recorded with the UCSB Registrar's Office)
- A brief statement of the problem
- A description of the methods and procedures used to gather data or study the problem
- A condensed summary of the findings

Table of Contents (Optional, single spacing allowed)

Very brief works need not have a table of contents, but most theses and all dissertations are easier to use with a table of contents. If images or illustrations such as maps, diagrams, charts, and photos are scattered throughout the document, include an optional "List of Figures" or "Table of Illustrations" to follow the table of contents. Include page numbers.

The Main Body of the Manuscript (Required, double-spaced)

Except where specified otherwise in these requirements, the organization, presentation, and documentation of the student's thesis or dissertation should meet the standards for publishing journal articles or monographs in the field of inquiry. For general information, consult a standard style guide such as the [Chicago Manual of Style](#). Students who have discipline-specific questions should consult style sheets from journals in the field of inquiry, as well as their committee members. The first page of the main body of text must be numbered as an Arabic "1."

Notes (Optional, single spacing allowed)

Footnotes, citations, and bibliographic references will vary by discipline. Footnotes may be embedded in the text, placed at the bottom of each page, or collected at the end of each chapter or at the end of the entire work, preceding the bibliography. Students should consult their committee regarding the format specific to their discipline and use it consistently throughout the document.

Bibliography (Optional, single spacing allowed)

Some disciplines put bibliographic notes at the end of each chapter; others collect extensive bibliographies at the end of the work. Committee members and disciplinary formatting guidelines should be consulted regarding the form and organization to be used in presenting bibliographic material.

Appendices (Optional, single spacing allowed)

Appendices typically contain supporting material such as data sheets, questionnaire samples, illustrations, maps, charts, etc. Students may need to shrink some items to less than 100% in order to fit them within the margins. See [Chapter IV, Special Handling for Oversize, Illustrative, and Special Materials](#) for additional information.

Chapter IV

Special Handling for Oversize, Illustrative, and Special Materials

Special Handling for Oversize, Illustrative, and Special Materials

When considering the use of oversize, illustrative, and special materials, students should first seek guidance from their committee members or departments. Oversize, illustrative, and special materials described in the following paragraphs must meet UCSB margin requirements.

Handling Oversize Materials

An image that has been reduced to fit within required margins for an 8.5 x 11-inch page must be legible. Images, computer output, tables, or other illustrative materials with wide margins may be rotated to landscape on the page to fit within required margins, but the top of the material should run along the binding (or left) edge of the paper so as not to intrude into the required 1.25 inch margin. For instructions on how to format the page numbers correctly on a landscaped page, please consult directions for the specific software you are using, or visit [ProQuest FAQ](#) for more information.

Color in Maps and Illustrations

Both black-and-white and color illustrations are acceptable. PDF and print reproductions will include color material, microfilm reproductions will not. ProQuest recommends that color not be used as the key to a graph or map. Further, labels or symbols rather than colors should identify lines on a graph. Shaded areas – such as countries on a map – will have better contrast if cross-hatching is used instead of color.

Submission of Supplementary Material

Audio, video and other supplementary material can be submitted along with the PDF copy of your thesis or dissertation. For information on how to upload supplementary material, please visit [ProQuest's FAQ](#).

Music Compositions

Students preparing music compositions should seek guidance from their faculty when considering compositions utilizing oversize pages for the composition itself. A clear margin of 1.25 inches should be provided on the binding (left) margin of the composition; nothing should intrude in this space. The pages of the composition must be numbered, centered, at .75 inches from the bottom edge of the portrait oriented page.

The preliminary pages – i.e., the title and signature, abstract, vita, acknowledgments – must meet Graduate Council requirements as to page numbering, margins, etc. outlined for all other manuscripts in Chapters I and II of this guide. The composition and preliminary pages must be legible and free of smudges, streaks, or other extraneous marks; neither interlineations nor white-out are permitted. Hand-written compositions should utilize black ink and pay attention to clarity of music notation; the larger the better.

A pre-check of a draft of the composition and preliminary pages by Graduate Division staff can help prevent problems that would otherwise be encountered at the time of filing for the degree.

Fair Use

Material included in a thesis or dissertation that exceeds fair use requires permission of the copyright owner. Although a thesis or dissertation is primarily nonprofit and educational in purpose and character, there is generally no fair use if an entire previously copyrighted work (published or unpublished) is reproduced. A statement from the copyright owner giving the student permission to use the material must be submitted with the thesis or dissertation. It is the student's responsibility to secure all necessary permissions before e-filing their thesis or dissertation.

Permission letters/emails for theses and dissertations must state that the copyright owner is aware that the requested permission extends to any future revisions and editions of the thesis or dissertation, including non-exclusive world rights in all languages, and to the prospective publication of the thesis or dissertation by ProQuest.

Permission letters/emails should be uploaded via ProQuest's website at the same time as e-filing the thesis or dissertation. Students may contact ProQuest to inquire about any aspect of the review and the possible need for copyright permissions at (800) 521-0600, ext. 7020.

For more information and sample permission letters please read the "[Copyright Law and Graduate Research](#)" document.

Copyright

Copyright protection exists from the moment your manuscript is created. Placement of the copyright notice in the proper form and place on published copies of the manuscript is not required, but recommended as a means to protect the material. Whether or not a notice of copyright is affixed to the manuscript, students retain the right to publish all or any part of it by any means at any time. See a sample thesis or dissertation for proper formatting of the copyright notice..

In order to enforce copyright (in case of infringement), a copyright must be registered with the United States Copyright Office. Copyright registration is a legal formality intended to make a public record of the basic facts of a particular copyright. Copyright registration helps protect against infringement of the author's intellectual and property rights. Since decisions by others whether or not to copy a manuscript are often guided by the existence of a registered copyright, prudence dictates that students register the copyright soon after publication.

Students may have ProQuest register their copyright for a fee. Students can choose this option during the electronic filing process. Although ProQuest acts as a publisher, students are not assigning ProQuest the copyright; ProQuest holds no copyrights to the thesis or dissertation. The contract gives ProQuest reproduction, sales, and distribution rights, but authors retain control of the work's intellectual content.

Students also have the option to register the copyright directly through the [U.S. Copyright Office](#).

Graduate Council Thesis & Dissertation Policies

Co-authorship, Previously Published Material, Copyright, and Acknowledgements

The thesis, dissertation, or equivalent (hereafter called the capstone) may include chapters or other segments that involve co-authored work, if allowed by the department and appropriate for the discipline. In cases of co-authorship, the student's capstone committee's approval will be taken as certification that the student's individual contributions are sufficient for the capstone requirement. The acknowledgements or introductory portion of the capstone should clearly detail the role and contributions of the student in coauthored works.

Published, accepted, or in preparation for publication works are included in this policy. To the extent possible, graduate programs should offer guidance about the expectations for co-authorship or single authorship in formal policies. Whenever conflicts arise over collaborative authorships, Graduate Council urges the parties involved to resolve their conflict on the basis of professional ethics, integrity and fair play.

A capstone is expected to conform to appropriate copyright laws. If portions have already been published or presented in copyrighted form, the student must obtain the appropriate permissions from the copyright holder(s). Previously published material must be acknowledged appropriately, as established by a discipline or by the original publication agreement. Published material included in the capstone should be substantially the product of the student's period of study at UCSB; the student's capstone committee's approval will be taken as certification of this requirement.

The acknowledgements portion of the capstone should include acknowledgement of funding sources.

Embargo/Delayed Release

Students may choose to delay the release (embargo) of their ETD due to a pending patent, publication, or other reason. An embargo of 6 months, 1 year, or 2 years may be requested directly via ProQuest at the time of electronic submission. UCSB requires students obtain approval from their Committee Chair and the Graduate Division Dean when requesting to embargo their ETD for a period longer than 2 years. An [Embargo Request Form](#) must be completed and submitted to the Graduate Division if requesting to delay release of the manuscript for longer than 2 years.

Please review ProQuest's [Embargoes and Restrictions](#) for helpful information.

Electronic Thesis and Dissertation Filing

UCSB requires students to electronically file their thesis or dissertation (referred to in this document as “ETD”) with ProQuest. Filing a hardcopy of the thesis or dissertation is no longer required nor accepted.

Electronic Thesis and Dissertation Format

Electronic theses and dissertations (ETDs) must be submitted as a single electronic Portable Document Format (PDF) file¹. If the original ETD is a MS Word or RTF file, it will be converted to PDF at the [UCSB Dissertation/Thesis Submission Site](#). Certain types of fonts and graphics work better with PDF, and special attention should be paid to creating equations for PDF conversion. Please review ProQuest’s [Preparing Your Manuscript for Submission](#) for helpful information. If the ETD is not in MS Word, RTF or PDF – e.g. LaTeX or OneNote – it must be converted to PDF by the student before the ETD can be uploaded. Please review ProQuest’s [“What software do I need to create PDF files?”](#) for helpful information.

How to Submit the Thesis or Dissertation Electronically

Start by creating an ETD account on the [Electronic Thesis and Dissertation \(ETD\) website](#). Log on to your account to submit your manuscript and view/revise an existing submission.

Some basic steps to submission:

- The thesis/dissertation must be submitted as a single electronic PDF file.
- The thesis/dissertation must follow all [institutional formatting guidelines](#) for submitting an electronic manuscript.
- Review all instructions on the [ETD website](#) prior to submitting your thesis/dissertation.

If you have Technical questions or concerns, email [ProQuest](#).

For formatting and degree completion questions contact our [Graduate Division Academic Services Advisors](#).

¹ PDF is commonly used to distribute documents on-line because it allows readers on different platforms (e.g., Windows, Mac and UNIX) to view files as originally intended by the author.

Assistance with the manuscript-writing process is available from the following:

- Graduate Division [Writing Support](#)
- [Statistical Consulting Lab](#)
Assists with evaluation of statistics for research.
Will not write programs for students, but will give advice on how to interpret statistical sets.
- [Counseling & Psychological Services and Career Services](#)
Conduct stress reduction workshops, counseling, and biofeedback.
Building 599, ext. 4411 and 4412, respectively.
- [Association for Support of Graduate Students \(ASGS\)](#)
Organization designed to assist graduate students working on theses and dissertations.

Questions regarding manuscript formatting, filing, and degree completion:

[Graduate Division Academic Services](#)

Cheadle Hall 3117

Office hours: Mon.-Fri. 9 a.m. to 12 noon/1 p.m. to 4 p.m. (excluding holidays)

Questions regarding transcripts, official degree verification, and diplomas:

[Office of the Registrar](#)

Student Records for transcripts and official verifications

Registration for diploma information

Questions regarding copyrighting, including application forms:

[Copyright Office of the Library of Congress](#)

Washington, D.C. 20559

Phone: (202) 707-3000; FAX: (202) 287-9100

[Copyright Frequently Asked Questions](#)

Questions regarding use of previously published, copyrighted work:

[Intellectual Property & Publishing Agreements, Guides & Policies](#)

Questions regarding publication, and retrieval of theses and dissertations:

[Publishing Guides](#)

[Authors-Third party discovery and access to your dissertation/thesis](#)

[ProQuest](#)

[UCSB Library](#)