



## **Preparation and Submission Manual for Doctoral Dissertations and Master's Theses "Bluebook"**

**Graduate Council  
Graduate Division  
2019-2020**

Dear Member of the UC San Diego Graduate Student Community:

All of us at the Graduate Division are delighted that you are approaching the completion of your graduate work. The doctoral dissertation or master's thesis that you are working on will preserve for posterity your creativity and your contributions to original scholarship. As such, it is a document that should be carefully prepared to make it as accessible as possible to future scholars and researchers who seek to consult it. As well as being a volume of which you can be proud, your dissertation or thesis will be preserved in digital form and made available to the general public and to scholars worldwide, including by on-line access, microfilm and inter-library loan programs.

For all of these reasons, the University has adopted uniform requirements that enhance legibility to guide the preparation, submission and dissemination of doctoral dissertations and master's theses at UC San Diego. This manual outlines these requirements and I urge you to familiarize yourself with them thoroughly before starting to prepare your dissertation or thesis in final form. It will save you time in the long run, because your dissertation or thesis cannot be accepted by my office unless and until you follow the guidelines detailed herein.

It is our mission to make this process as painless for you as we can (we know that just writing the document is hard enough!) by providing all the information that you will need to comply with formatting requirements. If you find any part of these instructions unclear or confusing, or if you have any other questions whatsoever, my staff stands ready to assist. Please do not hesitate to contact our office where my staff will be more than happy to address any questions or problems you may have.

We congratulate you on reaching this milestone of graduate study where the products of your hard work and dedication will enter the permanent scholarly record. My staff and I wish you great success in this important final stage of completing your degree.

With warm regards,

James Antony  
Dean of the Graduate Division

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# I.

## Academic Senate Policy and Student Responsibility for Doctoral Dissertations and Master's Theses

Doctoral dissertations and master's theses submitted to UC San Diego must meet the requirements set by Graduate Council of the University of California San Diego for the degree candidate to be eligible for a graduate degree. 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 master's thesis must be a significant research work that must be approved in its entirety by the master's committee.

Students and their committee members are responsible for everything contained in the manuscript. The complete doctoral dissertation or master's thesis 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., the preface, dedication, acknowledgements), the main body of text (including any charts or other inserted matter), and the back matter (e.g., the notes, bibliography, appendices). It is the responsibility of all committee members to read the entire content of the doctoral dissertation or master's thesis before approving. Nothing can be added once the committee has given final approval as indicated by their signatures on the signature page. Only after the committee members have reviewed and approved the final copy of the doctoral dissertation or master's thesis in its entirety may it be submitted.

The submission of the doctoral dissertation or master's thesis is the last step leading to the award of the degree. The finished manuscript is a scholarly work that is the product of extensive research and related preparation. The final copy of the doctoral dissertation or master's thesis, preserved by the UC San Diego Libraries, becomes the official and permanent record, available to other researchers and faculty.

For these reasons, the Graduate Council has established criteria for uniformity in electronic format which have been compiled in this manual. **These are the minimal requirements to which all doctoral dissertations and master's theses must conform in order to be accepted.** To ensure that all of these requirements are met, and to become thoroughly familiar with these instructions students should read this manual in full.

Students are expected to submit a draft of the doctoral dissertation or master's thesis to each member of the doctoral or thesis committee at least one month before the scheduled defense. Students are strongly encouraged to schedule their preliminary appointment with the Graduate Division Academic Affairs Advisers during this time. The student's defense is conducted by the committee members. After the committee members' approval, the doctoral dissertation or master's thesis must be prepared in finished form for reproduction as outlined in this manual. Following a successful examination, students submit the approved doctoral dissertation or master's thesis to the Graduate Division for certification. Then the work is electronically submitted to the University Archivist in the Mandeville Special Collections Library in Geisel Library via the Graduate Division, who accepts it on behalf of the Graduate Council. Acceptance of the doctoral dissertation or master's thesis by the University Archivist, via the Graduate Division in electronic format, and filing the Final Report with the Graduate Division are the final steps in the completion of all requirements by the student.

Unanswered formatting questions may be directed to the appropriate Academic Affairs Adviser in the Graduate Division:

Master's thesis formatting questions:

**Jessica Whittier**, [jwhittier@ucsd.edu](mailto:jwhittier@ucsd.edu) (last names A-L)

**Kim McCusker**, [kmccusker@ucsd.edu](mailto:kmccusker@ucsd.edu) (last names M-Z)

Doctor of Philosophy dissertation formatting questions:

**Van Lee-Yamamoto**, [vleey@ucsd.edu](mailto:vleey@ucsd.edu)

Doctor of Musical Arts, Doctor of Education, and all joint PhD program dissertation formatting questions:

**Sara Miceli**, [smiceli@ucsd.edu](mailto:smiceli@ucsd.edu).

Preliminary and final meetings with the Graduate Division Academic Affairs Advisers are mandatory.

After fully formatting your doctoral dissertation or master's thesis you may schedule your appointments at: <https://gradforms.ucsd.edu/calendar/>.

## II. Specifications of the Doctoral Dissertation and Master's Thesis

The specifications in the following pages were adopted in consultation with Geisel Library and based on the publication standards of ProQuest. These standards assure uniformity in doctoral dissertations and master's theses to be archived electronically in the Mandeville Special Collections Library in Geisel Library, as well as to ensure the widest possible dissemination of student-authored knowledge.

### **Legibility and Appearance**

The original doctoral dissertation or master's thesis must be produced using a typeface or font that is highly legible, dark enough to reproduce clearly, and large enough to be readily readable on microfilm.

### **Minimum Margins \*Please note the new requirements effective Fall 2017\***

Students may set slightly larger margins but must be sure that the final text lies well within these guidelines.

- TOP LINE OF TYPE = 1" from top of paper
- BOTTOM LINE OF TYPE = 1" from bottom of paper
- LEFT = 1" from left side of paper
- RIGHT = 1" from right side of paper

Except for page numbers, nothing must intrude into the margins. Remember, these are minimum requirements. It is recommended that students increase these slightly when formatting the word processing program.

These minimum specifications also apply to all figures, charts, graphs, illustrations and appendices.

### **Font and Font Sizes**

A font size of at least 10 must be used for the text; students may choose one of the following font sizes: 10pt, 11pt or 12pt. Standard fonts are Arial, Century Gothic, Helvetica, or Times New Roman. A font size of at least 10 must be used for footnotes and captions. A consistent font must be used throughout the entire dissertation or thesis.

Italics may be used in the text and the preliminary pages for emphasis, usually a single word or phrase. If students are formatting their doctoral dissertation or master's thesis in the Modern Language Association (MLA) format, headers in italics are allowed.

Colored text is not permitted. All text, including web-site links, must be in black.

### **Page Numbers \*Please note the new requirements effective Fall 2017\***

All page numbers are centered at the bottom of the page, 0.5" from the bottom edge.



## **Pagination**

Except where noted below, each page of the entire doctoral dissertation or master's thesis must be numbered consecutively; pages should be numbered according to the following standards:

- Neither the title page nor the blank or copyright page is to be numbered; however, the two pages are counted when numbering the preliminary pages that follow.
- The signature page is always numbered as page "iii".
- The preliminary pages following the title and blank or copyright pages must be numbered consecutively beginning with lower case Roman numeral "iii" on the signature page. All preliminary pages are to be numbered using lower case Roman numerals (following the title and blank or copyright pages, begin with iii, iv, v, vi, etc.). This includes the signature page, dedication, epigraph, table of contents, list of abbreviations, list of symbols, list of illustrations, list of figures, list of schemes, list of tables, list of photographs, prefaces, acknowledgements, vita (required for doctoral dissertations), and the abstract. The page numbers must be placed at the bottom of the page and centered 0.5" from the bottom.
- The main body of the text and any back matter must be numbered consecutively with Arabic numerals beginning with "1" (1, 2, 3, etc.), including text, illustrative materials, notes, appendices and bibliography. All pages are numbered at the bottom of the page and centered.

Correct pagination (no missing pages, blank pages, or duplicate numbers or pages) is required for the doctoral dissertation or master's thesis to be acceptable.

## **Double Spacing of Text Required**

All textual materials in the main body of text should be double-spaced. The first line of each paragraph must be indented one 0.5" tab. Long quotations, footnotes, text that appears within figures or tables or maps, and captions may be single-spaced. Survey instruments and other materials used by students to conduct research that are reproduced in an appendix may be single-spaced. The vita may also be single-spaced.

## **Doctoral Dissertation and Master's Thesis Written in a Foreign Language**

The doctoral dissertation or master's thesis must be written in English, with the exception that students specializing in German, French, or Spanish literature may write the doctoral dissertation or master's thesis in the respective language.

Students in other disciplines must seek permission to write their doctoral dissertation or master's thesis in a language other than English. To do so, immediately after advancement to candidacy, students must submit to the Dean of the Graduate Division a letter approved by the committee chair, all committee members, and their graduate program chair. All committee members must have a reading knowledge of the language presented in the doctoral dissertation or master's thesis.

There must be legitimate reasons for substituting English with a foreign language such as subject matter, special primary audience, publication arrangements, academic position in a

foreign country, historical or literary value, or principal language(s) used in the documents to be analyzed and interpreted. Inability to write in English is not a valid reason.

### **Abstracts for Foreign Language Doctoral Dissertations and Master's Theses**

If the doctoral dissertation or master's thesis is approved to be written in a foreign language, students must submit two abstracts. One must be approximately 1000 words and in English. The other (350-word limit for a doctoral dissertation and 250 words for a master's thesis) must be written in the language of the doctoral dissertation or master's thesis.

### **Freestanding Chapters**

In some circumstances, the nature of the doctoral dissertation or master's thesis may naturally lead to its division into chapters that can be self-contained or freestanding and that may constitute material essentially ready for submission for publication. Such a division is an acceptable alternative to the customary format but is subject to the following restrictions:

- The doctoral dissertation or master's thesis will contain a general abstract and may contain a general introduction to the subject of research.
- Each chapter may have an abstract, introduction, and subsequent subsections in the style usually followed in the particular discipline.
- All chapters must utilize the same editorial style for footnotes, references, and identifications of figures, equations, and other material, as well as for the location of footnotes, references and figures.
- The figures, tables and appendices must carry chapter identification or be consecutively numbered.

# III.

## Organization of Doctoral Dissertations and Master's Theses

### Preliminary Pages

Except for the title page and blank or copyright page, all preliminary pages are numbered with lower case Roman numerals at the center bottom of the page. Pages are numbered in sequence, and page numbers are centered and placed 0.5" from the bottom of the page. Sample preliminary pages appear in this manual. Students must follow the general layout and spacing used in the sample preliminary pages, but substitute their own name, title, committee members, etc.

### Title Page

- The name of the conferring institution – UNIVERSITY OF CALIFORNIA SAN DIEGO – appears in all capital letters at the top of the page.
- The title should be specific, unambiguous, and descriptive of the research, with easily identifiable key words that will ensure electronic retrieval.
- Scientific titles must use words, not symbols, formulas, superscripts or Greek letters.
- Doctoral students should refer to their document as a dissertation. Master's students should refer to their document as a thesis.
- "in" should be all lowercase and on a line alone.
- The degree title listed should be the title that UC San Diego will actually confer; if unsure, contact your Graduate Coordinator.
- "by" should be all lowercase and on a line alone.
- Students should list their name as it appears with the Office of the Registrar and follow this format throughout the document.
- All committee members must be listed, chair first, using the title Professor. If professor is not applicable to all committee members, list all names without any titles. Use double spacing between "Committee in Charge" and the chair's name. Alphabetize all members after chair and single space all names. Indent all committee members 0.5" from "Committee in Charge". (This section is the only section of the title page that is not centered.)
- Degree year: Students must use the year of the quarter of degree conferral.
- The title page is not numbered; it is counted as page "i" in the numbering of the preliminary pages. The title and blank or copyright pages are the only manuscript pages without page numbers.

UNIVERSITY OF CALIFORNIA SAN DIEGO

This is the Title of My Dissertation

A dissertation submitted in partial satisfaction of the  
requirements for the degree Doctor of Philosophy/Doctor of Musical Arts/  
Doctor of Education

in

My Degree Title

by

[My Name] as listed on UC San Diego official Academic Records

Committee in charge:

Professor Eta Theta, Chair  
Professor Gamma Delta, Co-Chair (*if applicable*)  
Professor Lamda Kappa  
Professor Iota Mu  
Professor Epsilon Zeta

2019

UNIVERSITY OF CALIFORNIA SAN DIEGO

SAN DIEGO STATE UNIVERSITY *(if applicable)*

CALIFORNIA STATE UNIVERSITY, SAN MARCOS *(if applicable)*

This is the Title of My Dissertation in a Joint Doctoral Program

A dissertation submitted in partial satisfaction of the  
requirements for the degree Doctor of Philosophy/ Doctor of Education

in

My Degree Title

by

[My Name] as listed on UC San Diego official Academic Records

Committee in charge:

University of California San Diego

Professor Alpha Epsilon, Co-Chair *(if applicable)*  
Professor Gamma Delta

San Diego State University *(if applicable)*

Professor Iota Kappa, Chair  
Professor Epsilon Zeta

California State University, San Marcos *(if applicable)*

Professor Lamda Mu  
Professor Beta Zeta

2019

UNIVERSITY OF CALIFORNIA SAN DIEGO

This is the Title of My Thesis

A Thesis submitted in partial satisfaction of the requirements  
for the degree Master of Arts/Master of Science/Master of Fine Arts

in

My Degree Title

by

[My Name] as listed on UC San Diego official Academic Records

Committee in charge:

Professor Eta Theta, Chair

Professor Gamma Delta

Professor Epsilon Zeta

2019

### **Copyright Notice (optional)**

Students who are planning to register their copyright 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. Students should use the same form of their name as it appears on the title page. All information on the copyright notice should be centered and at the bottom of the page. For more information on copyrights see Chapter IV or visit [www.copyright.gov](http://www.copyright.gov).

Students who do not wish to include a copyright notice within their doctoral dissertation or master's thesis must include a second page, regardless. In this instance, the second page will be blank. This page does not have a page number.

Copyright (or ©)

[Your Legal Name], 2019

All rights reserved.



## **Signature Page**

Students must submit one signature page with original committee members' signatures in permanent black or blue ink. Black ink is preferred for greater permanence. (No other color ink is acceptable.) The signatures must correspond to the names of committee members listed on the title page. The committee chair signs on the bottom line.

This page is always numbered page iii. Page numbers from here forward in the preliminary pages of the document will vary for individual students, depending on which of the optional pages described below students choose to include. The numbers must be internally consistent for the document.

There is no header on the signature page. The text above the signatures is either left justified or fully justified. The text below the signatures is centered. All information should be centered on the page vertically.

The Dissertation of [Your Name as listed on UC San Diego official Academic Records] is approved, and it is acceptable in quality and form for publication on microfilm and electronically:

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---

Co-chair (if applicable)

---

Chair

University of California San Diego

2019

The Dissertation of [Your Name as listed on UC San Diego official Academic Records] is approved, and it is acceptable in quality and form for publication on microfilm and electronically:

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---

---

Co-chair (if applicable)

---

Chair

University of California San Diego

San Diego State University

California State University, San Marcos (if applicable)

2019

The Thesis of [Your Name as listed on UC San Diego official Academic Records] is approved, and it is acceptable in quality and form for publication on microfilm and electronically:

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Chair

University of California San Diego

2019

## **Optional Preliminary Pages**

All preliminary pages must have consistent headers (text, size, capitalization, placement, etc.). Note, the header on the title page and the abstract must match each other and may only be in the format used on the sample pages.

### **Dedication**

This section may be used to dedicate the doctoral dissertation or master's thesis to someone or to acknowledge particular persons. Within the usual margin restrictions, any format is acceptable for this page.

### **Epigraph**

An epigraph is a quotation that is pertinent but not integral to the text. Within the usual margin restrictions, any format is acceptable for this page.

## DEDICATION

In recognition of reading this manual before beginning to format the doctoral dissertation or master's thesis; for following the instructions written herein; for consulting with the Graduate Division Academic Affairs Advisers; and for not relying on other completed manuscripts, this manual is dedicated to all graduate students about to complete the doctoral dissertation or master's thesis.

In recognition that this is my one chance to use whichever justification, spacing, writing style, text size, and/or text font that I want to while still keeping my headings and margins consistent.

## EPIGRAPH

True ease in writing comes from art, not chance,  
As those move easiest who have learn'd to dance.  
'Tis not enough no harshness gives offence, -  
The sound must seem an echo to the sense.

Alexander Pope

You write with ease to show your breeding.  
But easy writing's curst hard reading.

Richard Brinsley Sheridan

Writing at its best, is a lonely life. Organizations for writers palliate the writer's loneliness, but I doubt if they improve his writing. . . For he does his work alone and if he is a good enough writer he must face eternity, or the lack of it, each day.

Ernest Hemingway

*NOTE: Three different formatting styles are shown as the various ways the epigraph may be formatted – when formatting the epigraph, students should be consistent with one style.*

## **Table of Contents and “List” Pages**

All doctoral dissertations or master’s theses are required to have a table of contents. List the page number that each section first appears on. Use proper capitalization and include header and sectional titles exactly as they appear within the doctoral dissertation or master’s thesis (for example, if “Chapter” is used in the text headers, it must appear in the Table of Contents).

If illustrations such as figures, tables, graphs, maps, diagrams, photos, etc., are scattered throughout the doctoral dissertation or master’s thesis, make a separate “List of Figures,” “List of Tables,” “List of Graphs,” etc. to follow the table of contents.

For students who submit supplemental files, a separate “List of Supplemental Files” is required. If all the files are of one media type, use a more specific heading for your list, e.g. “List of Supplemental Videos” or “List of Supplemental Sound Recordings.” The file(s) should be labeled with the student’s last name and a title that is descriptive of the file content (see pp. 40-42).



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NOTE: if captions are longer than 4 lines they must be abbreviated on the list to 4 or fewer lines. The word “Figure” (or “Table,” or “Graph”) must appear before each caption on the list and before each caption within the text.

## **Acknowledgements**

The acknowledgements, along with any other preliminary sections or parts of the doctoral dissertation or master's thesis, must be reviewed and approved by the committee members.

See the section "Using Published Material" if any portion of the doctoral dissertation or master's thesis was **co-authored, published, has been submitted for publication, or is being prepared for publication**. A paragraph acknowledging all co-authors and publishers is required in the acknowledgements page and as the last paragraph of text at the end of each respective chapter. Permission letters from the committee chair and all co-authors must be submitted to the Graduate Division prior to or at the student's preliminary formatting appointment. See the section referenced above for additional information and for sample letters.

The Acknowledgements page is not required if students are not including any portion of text that has been co-authored, published, or is being prepared for publication.

The paragraphs on this page should be double spaced, with the first line of each paragraph indented 0.5".

## ACKNOWLEDGEMENTS

I would like to acknowledge Professor Eta Theta for his support as the chair of my committee. Through multiple drafts and many long nights, his guidance has proved to be invaluable.

I would also like to acknowledge the “Smith Clan” of lab 28, without whom my research would have no doubt taken five times as long. It is their support that helped me in an immeasurable way.

Chapter 2, in full, is a reprint of the material as it appears in Numerical Grid Generational in Computational Fluid Mechanics 2017. Smith, Laura; Smith, Jane D., Pineridge Press, 2016. The dissertation/thesis author was the primary investigator and author of this paper.

Chapter 3, in part, has been submitted for publication of the material as it may appear in Education Mechanics, 2017, Smith, Laura; Smith, Jane D., Traylor Press, 2017. The dissertation/thesis author was the primary investigator and author of this paper.

Chapter 5, in part is currently being prepared for submission for publication of the material. Smith, Laura; Smith, Jane D. The dissertation/thesis author was the primary investigator and author of this material.

Chapter 6 is coauthored with Smith, Jane D. and White, Sigmund. The dissertation /thesis author was the primary author of this chapter.

## **Vita, Publications, and Fields of Study**

A biographical notice, or vita, is required only of doctoral students. Master's students may include a vita. The following information can be included:

- NOTE: The Graduate Division does not recommend including a date of birth.
- Colleges attended and degrees earned. (NOTE: when using the full degree title use "Master" not "Masters".)
- Professional appointments are optional and may include military assignments.
- Publications are optional and 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. (Optional)

## VITA

2006 Bachelor of Arts, University of California, Berkeley  
2006-2011 U.S. Marines  
2011-2012 Teaching Assistant, University of California San Diego  
2013 Master of Science, University of California San Diego  
2013-2017 Research Assistant, University of California San Diego  
2019 Doctor of Philosophy, University of California San Diego

## PUBLICATIONS

“Distribution of Control Points in a System for Analysis of Stress Distribution”  
IRE Transactions of the IRE Professional Group on Automatic Control, vol. AC-  
7, pp 272-289, September 2014.

## FIELDS OF STUDY

Major Field: Engineering

Studies in Applied Mathematics  
Professors Alpha Beta and Gamma Delta

## **Abstract**

It is important to write an abstract which gives a clear impression of the content and major divisions of the doctoral dissertation or master's thesis. Use whole sentences, not elliptic phrases. Abstracts of doctoral dissertations must not exceed 350 words; master's theses abstracts must not exceed 250 words. The abstract must include the title of the doctoral dissertation or master's thesis and the student's name in full. The top margin should be 2.5".

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

The text must be double spaced. Italics may be used in the text and the preliminary pages for emphasis, usually a single word or phrase, and may not be used for headings or sub-headings unless the doctoral dissertation or master's thesis is formatted using the MLA style. Block style for paragraphs is not allowed. All paragraphs must be indented by one 0.5" tab.

Formatting of text in the abstract must be consistent with the formatting of text within the entire doctoral dissertation or master's thesis.

## ABSTRACT OF THE DISSERTATION

Place Full Title of  
Doctoral Dissertation Here

by

[Your Name] as listed on UC San Diego official Academic Records

Doctor of Philosophy/Doctor of Musical Arts/Doctor of Education in Degree Title

University of California San Diego, 2019

Professor Eta Theta, Chair  
Professor Alpha Beta, Co-Chair

The Abstract begins here. The abstract is limited to 350 words for a doctoral dissertation. It should consist of a short statement of the problem, a brief explanation of the methods and procedures employed in generating the data, and a condensed summary of the findings of the study. The abstract may continue onto a second page if necessary. The text of the abstract must be double spaced.



## ABSTRACT OF THE DISSERTATION

Place Full Title of  
Dissertation for the Joint Doctoral Program Here

by

[Your Name] as listed on UC San Diego official Academic Records

Doctor of Philosophy/Doctor of Education in Degree Title

University of California San Diego, 2019  
San Diego State University, 2019  
California State University, San Marcos, 2019 (*if applicable*)

Professor Eta Theta, Chair  
Professor Alpha Beta, Co-Chair

The Abstract begins here. The abstract is limited to 350 words for a doctoral dissertation. It should consist of a short statement of the problem, a brief explanation of the methods and procedures employed in generating the data, and a condensed summary of the findings of the study. The abstract may continue onto a second page if necessary. The text of the abstract must be double spaced.

## ABSTRACT OF THE THESIS

Place Full Title of  
Master's Thesis Here

by

[Your Name] as listed on UC San Diego official Academic Records

Master of Arts/Master of Science/Master of Fine Arts in Degree Title

University of California San Diego, 2019

Professor Eta Theta, Chair

The Abstract begins here. The abstract is limited to 250 words for a master's thesis. It should consist of a short statement of the problem, a brief explanation of the methods and procedures employed in generating the data, and a condensed summary of the findings of the study. Abstracts in excess of the maximum will not be accepted. The abstract may continue onto a second page if necessary. The text of the abstract must be double spaced.

## **The Main Body of the Manuscript (Text)**

For general information, consult a standard style guide; The University of Chicago Manual of Style is recommended as an authoritative source. Students who have discipline-specific questions should consult style sheets from journals in the field of inquiry, as well as their committee members.

Except where specified otherwise in these requirements, the organization, presentation, and documentation of doctoral dissertations or master's theses should meet the standards for publishing journal articles or monographs in the field of inquiry.

The minimum margins are 1.0" for all margins.

The first page of the main body of text must be numbered as an Arabic "1" with the page number placed on the bottom center of the page. The subsequent pages of the text should be numbered consecutively, also with the page number placed on the bottom center of each page.

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

The text must be double spaced. Italics may be used in the text and the preliminary pages for emphasis, usually a single word or phrase, and may not be used for headings or sub-headings, unless using MLA style. Block style for paragraphs is not allowed. All paragraphs must be indented by one 0.5" tab.

Please be advised that the Graduate Division does not support or approve any templates other than this manual. Please use it as your only source of reference for formatting.

The purpose of this page is to illustrate an ordinary page of text in a doctoral dissertation or master's thesis. All pages of the dissertation or thesis must be kept within the 1 inch margin on all 4 sides of the page. All text must be double spaced, except as indicated below.

It is recommended to slightly increase all margins to ensure that the minimum 1 inch is met.

The first line of each paragraph must be indented at least one 0.5 inch tab, as done here.

This text is intended to be a sample of part of the doctoral dissertation or the master's thesis. Below is a quote to show an example of how to format block quotes that are more than 6 lines in length:

All quotes of more than 6 lines, even though this one is not, are to be indented 0.5" from the left and 0.5" from the right. Long/block quotes are to be single spaced. Don't forget to adjust for proper spacing after the last line of the quoted material. Quotation marks are not used for block quotes.

The rest of the paragraph would continue as so.

## **Captions and Caption Pages**

Each figure or table must be numbered and have a caption. Captions are to be placed above tables and graphs and below figures, schemes, and illustrations. Captions may be single or double-spaced; choose one format or the other and be consistent throughout the doctoral dissertation or master's thesis and throughout captions for all figures, tables, etc. If any captions are more than four lines, then all captions must be single-spaced. Use consistent spacing.

A facing caption page may be necessary with full-page figures. Such a caption page must appear before the figure/table/etc. (i.e.: caption is on page 30 and figure/table/etc. is on page 31). Consult the Graduate Division regarding a facing caption page which extends onto another page.

For figures/tables/etc. that extend beyond one page, the caption must state continued (i.e.: Figure 1: Cell Development, Continued). For tables, the table headers must be on all continuing pages.

All captions, with the appropriate page numbers, are listed in the list of figures, list of tables, etc.; lengthy captions must be abbreviated to the first phrase or to fewer than four lines on the lists, however, they may be longer in the actual caption in the text. With the exception of facing caption pages and tables that are more than one page long, the table, figure, etc., and the corresponding caption must be on one page. Each figure, table, etc. must carry chapter identification or be consecutively numbered.

Note: Exact reprints from a journal article do not need to be reformatted.

## **Abbreviations**

A list of uncommon or discipline specific abbreviations should be included in the preliminary pages.

## **Symbols**

A list of uncommon or discipline specific symbols should be included in the preliminary pages.

## **Illustrations**

A list of illustrations should be included in the preliminary pages. Illustrations within the main body of the manuscript and/or appendix(es) must be accompanied by a caption. Captions for illustrations are placed below the illustration.

## **Figures**

A list of figures should be included in the preliminary pages. Figures within the main body of the manuscript and/or appendix(es) must be accompanied by a caption. Captions for figures are placed below the figure.

**Schema**

A list of schema should be included in the preliminary pages. Schema within the main body of the manuscript and/or appendix(es) must be accompanied by a caption. Captions for schema are placed below the scheme.

**Tables**

A list of tables should be included in the preliminary pages. Tables within the main body of the manuscript and/or appendix(es) must be accompanied by a caption. Captions for tables are placed above the table.

**Graphs**

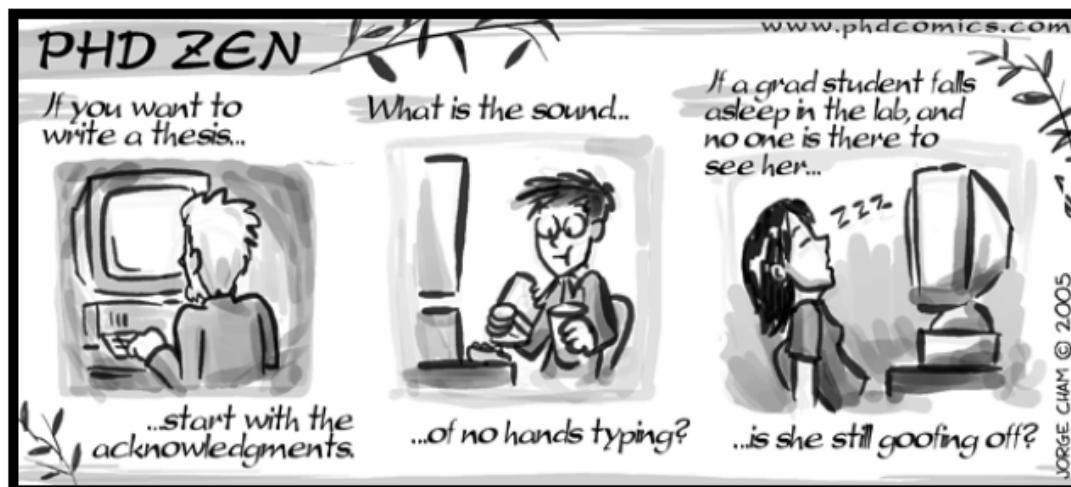
A list of graphs should be included in the preliminary pages. Graphs within the main body of the manuscript and/or appendix(appendices) must be accompanied by a caption. Captions for graphs are placed above the graph.

Table 1.1: University of California San Diego Gender Distribution for the campus population, October 2005

*This is an example of a facing caption page. A facing caption page is generally used when the caption (or the table/figure/graph) is too large to fit on the same page as the table or figure. The caption page must precede the figure or table page, as shown on the next page. The next page is also an example of a table that is rotated 90 degrees to fit the page. Note that the top of the table is along the left margin.*

Population Segment	Women		Men		Total	
	N	%	N	%	N	%
Students	12,987	51%	12,686	49%	25,673	100%
Employees	9,943	56%	7,671	44%	17,614	100%
Total	22,930	53%	20,357	47%	43,287	100%





**Figure 1:** Comic entitled “Ph.D. Zen” by Jorge Cham, 2005. Copyright has been obtained. "Piled Higher and Deeper" by Jorge Cham  
www.phdcomics.com

**Table 2:** Electronic Dissertation Submission Rates at UCSD, Fall 2005 and Winter 2006. (First two quarters that the program was available to all Ph.D. candidates not in a Joint Doctoral Program with SDSU)

	Ph.D.s awarded (Including Joint degrees)	Electronic submission of Dissertation	Paper Submission of Dissertation	Percentage of Electronic Submission
Fall 2005	84	37	47	44.05%
Winter 2006	64	42	22	65.63%

*(NOTE: both captions shown are single spaced and centered; the format used for all captions must be consistent throughout the entire doctoral dissertation or master's thesis.)*

## **Quoted Material**

If a quotation exceeds six lines, it should be single-spaced and set off from the text with an indentation of an additional 0.5” on **both the right and left**, measured from the right and left margins. No quotation marks are to be used in this case. Treat interview responses in the same manner.

## **Reference Matter**

Reference matter follows at the end of every chapter or only at the end of the entire text of the doctoral dissertation or master’s thesis. This may include:

- Appendices
- Addenda (such as questionnaires or computer data)
- Chronology
- Endnotes
- Glossary
- Bibliography/ References/Works Cited

This order should be followed in formatting either an entire doctoral dissertation or master’s thesis, or individual free-standing chapters.

## **Appendices**

Appendices typically contain supporting material such as data sheets, questionnaire samples, illustrations, maps, charts, etc. Appendices may be single-spaced.

## **Notes**

Footnotes, endnotes, 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 ends of chapters or at the end of the entire work, preceding the bibliography. Students should consult the committee for the format they (or the discipline) prefer(s) and use it consistently throughout the doctoral dissertation or master’s thesis.

## **Bibliography/References/Works Cited**

A bibliography lists works that students consulted or to which the reader may be referred, while works cited or reference list cites works in the doctoral dissertation or master’s thesis. The format of the references and/or bibliography should follow that of the student’s discipline and should be consistent throughout the doctoral dissertation or master’s thesis. Do not depersonalize non-primary authors by referring to them in the bibliography as et al. Some disciplines put bibliographic notes at the end of each chapter; others collect extensive bibliographies at the end of the work. Bibliographies, references, and works cited are to be single-spaced with a double space between entries, and should be the last entry in each chapter or in the dissertation/thesis.

## IV. Copyright and Publication

### Publishing the Doctoral Dissertation or Master's Thesis

It is required that the doctoral dissertation or master's thesis be made accessible to the public. This requirement is met by submitting an electronic version of the dissertation or thesis to the Graduate Division via the ProQuest ETD submission site (the Graduate Division will submit an electronic copy on behalf of the student to the Mandeville Special Collections Library in UC San Diego's Geisel Library). Graduate Council policy requires that all doctoral dissertations and master's theses be submitted in full to ProQuest and made available to interested persons through ProQuest and eScholarship through the California Digital Library (the Graduate Division will submit an electronic copy on behalf of the student to ProQuest).

### Copyright

United States copyright law is complex and this section provides a brief overview; for more detailed information consult other sources, including the ProQuest website:

<http://www.proquest.com/products-services/dissertations/> or

[http://media2.proquest.com/documents/copyright\\_dissthesi\\_ownership.pdf](http://media2.proquest.com/documents/copyright_dissthesi_ownership.pdf) or the Library of Congress' Copyright Office website at [www.copyright.gov](http://www.copyright.gov). Copyright protection exists from the moment the doctoral dissertation or master's thesis is created. Whether or not notice of copyright is affixed to the doctoral dissertation or master's thesis, students retain the right to publish all or any part of it by any means at any time, except for reproduction from a negative microfilm as described in the agreement form with ProQuest.

The copyright notice consists of the following three elements: the symbol, or the word "Copyright"; the year of first publication of the work; and the name of the copyright owner of the work. The notice shall be affixed to the copies in such manner and location as to give reasonable notice of the claim of copyright (17 U.S.C. §401).

In order to affix the notice of copyright correctly on the doctoral dissertation or master's thesis, place the following notice on the page immediately following the title page at the center of the page just above the bottom margin:

Copyright (or ©)  
Your Full Legal Name, Calendar Year  
All rights reserved

By adding the copyright notice, students have notified the reader that the doctoral dissertation or master's thesis is copyrighted.

Once students have affixed the notice of copyright on the doctoral dissertation or master's thesis, students have several options:

1) Have the copyright registered and the doctoral dissertation deposited in the Library of Congress by ProQuest for a fee. To do so, follow the "Register U.S. Copyright" instructions on the ProQuest ETD submission site. 2) You may also register the copyright yourself by going directly through the Library of Congress: <http://www.copyright.gov/>. 3) Do nothing more than affixing the copyright notice on the doctoral dissertation or master's thesis. This guarantees all legal rights; however, registration of the claim may enhance students' position in a copyright dispute.

## **Copyright Permission**

It is the student's responsibility to obtain the proper documentation necessary for copyright permissions. The filing of the doctoral dissertation or master's thesis in Geisel Library and submission to ProQuest constitutes a form of publication. Students must obtain permission to include (or quote) copyrighted material such as that in most journal articles or books unless students are the owner of the copyright or unless the material meets the "fair use" described in the next paragraph. The agreement form that students sign with ProQuest specifically absolves ProQuest of any such responsibility.

Use of copyrighted work in the doctoral dissertation or master's thesis without securing permission and without paying royalties is permissible when the circumstances amount to what the law calls "fair use," that is, when the following factors are weighed: the purpose and character of the use, including whether such use is of a commercial nature or is for non-profit educational purposes; the nature of the copyrighted work; the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and the effect of the use upon the potential market for or value of the copyrighted work (17 U.S.C. §107). Instances of quotations that exceed fair use require permission of the copyright owner. Students must contact the copyright owner, describe the use students are making of the material, and request permission to use it in the doctoral dissertation or master's thesis.

A statement listing such materials should be included in the acknowledgements of the doctoral dissertation or master's thesis and at the end of each applicable chapter. The statement shall (1) inform the reader that permission has been granted, and (2) state the source of the permission.

## V.

# Special Materials and Using Published Material

### **Color in Maps and Illustrations**

Both black-and-white and color illustrations are acceptable. 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 filled patterns are used instead of color. Doctoral dissertations or master's theses submitted with color illustrations will be available in original format as a PDF. Doctoral students should take into account that dissertations will be microfilmed in black-and-white by ProQuest.

### **Illustrations/Figures/Tables**

Illustrations/Figures/Tables may be located throughout the doctoral dissertation or master's thesis within the text or as an appendix, located prior to references and/or bibliography. If necessary, wide figures/tables/charts can be placed sideways, with the upper portion of the figure along the left binding edge. Illustrations/Figures/Tables may be embedded within the text or may be on a separate page. Illustrations/Figures/Tables may be located throughout the doctoral dissertation or master's thesis or may be included altogether in an appendix. A "List of Illustrations/Figures/Tables," with a brief descriptive title, must be included in the preliminary pages.

### **Supplemental Files**

For supplemental files, apply the following naming convention: yourlastname\_descriptive\_title.file extension. Do not use spaces; instead use underscores when necessary.

Example: rodriguez\_molecular\_model.jpg

Optionally, if the order of the files is critical, insert a padded numeral between your last name and descriptive title:

Example: liu\_01\_concerto\_adagio.wav

liu\_02\_concerto\_adagio.wav

liu\_03\_concerto\_adagio.wav

Students who submit supplemental files must include a separate "List of Supplemental Files" that follows the "Table of Contents." If all the files are of one media type, use a more specific heading for your list, e.g. "List of Supplemental Videos" or "List of Supplemental Sound Recordings." The file(s) should be labeled with the student's last name and a title that is descriptive of the file content, as shown above.

If your degree requirements stipulate that you must submit programs of your performances, upload the performance program in PDF (.pdf) format.

Files larger than 2 GB must be submitted to ProQuest on CD-R (MAC & PC compatibility), DVD (ISO 9660) or USB drive. Do not submit an authored DVD created to be played in a DVD player. The disc or USB drive must include the following: 1) The oversized file(s) 2) A separate information file describing the dissertation/thesis, including: student's name; school name; title of the dissertation/thesis; the ETD submission ID (ID will be sent in an email after submission of the dissertation/thesis to the ETD Administrator). In the ETD Administrator,

go to Notes and enter a message to the graduate school administrator, explaining that a disc or USB drive is being submitted separately because of issues uploading it. Please also discuss with the Graduate Division Adviser at the preliminary and/or final appointment.

### **Special File Requirements: Images**

Black-and-white or color images should be embedded in the text of the thesis or dissertation or uploaded as supplemental files. A “List of Images” must be included on the table of contents page. The “List of Images” should contain the image number, title of image, date and other descriptive information.

For supplemental files, the file name should consist of the student’s last name and a title that is descriptive of the file content.

Example:     rodriguez\_molecular\_model.jpg

All images should have a resolution of 300 dpi or higher. Images may be uploaded as TIF (.tif, .tiff), JPEG (.jpg) or PNG (.png).

### **Special File Requirements: Audio and Video Material**

Acceptable audio formats are AIF (.aif), or WAV (.wav) files in 44.1K/16bit mono or interleaved stereo. MP3 (.mp3) files with a 192kbps or higher sample rate may also be provided. Audio files should be uploaded as supplemental files; the file name should consist of the student’s last name and a title that is descriptive of the file content.

Example:     rodriguez\_audio\_whale\_song.aif

Acceptable video formats are Apple Quick Time (.mov), Microsoft Audio Video Interleaved (.avi), or MPEG (.mpg). Do not submit files that might be associated with a DVD authoring program for playing in a DVD player, such as those in VOB, BUP, IFO format.

Example:     rodriguez\_video\_final\_performance.mov

### **Special Requirements for Creative Works**

Each student preparing a creative project, such as a musical composition, film, or videotape, as part of the requirements for a doctoral dissertation or master’s thesis should consult with the graduate coordinators in the Departments of Music, Theatre and Dance, or Visual Arts to obtain specific instructions. The audio or visual materials and written documents of the doctoral dissertation or master’s thesis must meet graduate program requirements as well as the format instructions of this manual.

All creative doctoral dissertations or master’s theses must contain the following preliminary pages:

- title page
- copyright or blank page
- signature page
- table of contents
- abstract

Other preliminary pages may be included at the student or committee members’ discretion. Use the samples in this manual as a guide to how these pages should look in finished form.

The Table of Contents must indicate exactly what the submitted project includes: e.g., catalog, images, video, etc. If the dissertation or thesis consists of or includes supplemental files, refer to the preceding guidelines for preparing supplemental files and include a list/s of

supplemental files (see pp. 19 and 40-41). If applicable, each main section/chapter must be listed in the Table of Contents after the entries for the preliminary pages. If the dissertation or thesis doesn't have separate sections simply include the statement, "Please see the Supplemental Files for 'Title of my Dissertation/Thesis.'"

### **Using Reproductions of Illustrations and Other Special Materials**

Reproductions of illustrations and other special materials must be legible and conform to margin and page numbering requirements. When previously published material, whether it is an article or an illustration, including material authored or co-authored by the student, is included in the doctoral dissertation or master's thesis, it is essential that students secure permission to reproduce copyrighted material when it exceeds the fair use standard (see p. 40). Permission must also be secured to reproduce copyrighted material that is unpublished and of which the student is not the sole author. Even though a doctoral dissertation or master's thesis is primarily nonprofit and educational, there is generally no fair use if an entire work (e.g., illustration, photograph, map, musical score) is reproduced.

In some instances, the number of items and copyright owners makes securing reprint permissions unfeasible. In these cases, the Graduate Division recommends one of two solutions:

- The student creates a page with the complete caption title and information for each example of previously copyrighted material - as if the material was reproduced on the page - but omits the copyrighted material. The information provided should be specific enough (e.g., bibliographic reference, complete Web site URL) that the reader could locate the copyrighted material. This page must conform to all other requirements in this manual (e.g., margins, pagination), and could be included in a List of Figures (or other relevant list) in the preliminary pages.
- In lieu of incorporating reproductions of copyrighted items into the doctoral dissertation or master's thesis, the student provides a list of these items as a special section in the references or as an appendix. The information provided should be specific enough that the reader could locate the copyrighted material.

The student should secure the agreement of the committee members before employing either of the above solutions. Depending on the role of the previously copyrighted material in the doctoral dissertation or master's thesis, the committee members may require that the student obtain reprint permission and incorporate the material into the doctoral dissertation or master's thesis. See the sample permission letters included in this manual.

### **Using Published Material**

If students are using material which has been submitted for publication or has been published, students must read the full text that follows.

Advance permission must be obtained from the Dean of the Graduate Division for any chapter or portion of a chapter in the doctoral dissertation or master's thesis to which one or more of the following applies:

- Students have **co-authors** (regardless of whether or not students are submitting it for publication);
- The chapter or portion thereof is **being prepared for publication**;
- The chapter or portion thereof **has been submitted for publication**;

- The chapter or portion thereof **has been published.**

If approved by the committee members, reports of research undertaken during graduate study at UC San Diego that have been published or submitted for publication in appropriate media may be accepted in their printed form in full or in part as the doctoral dissertation or master's thesis. The student and the committee chair must request permission from the Dean of the Graduate Division to use reprints, previously published material, material submitted for publication, or material being prepared for publication. Requests must be written and include an explanation of what articles are to be used, the date of publication, and other relevant bibliographic information, see sample provided. This request must be made PRIOR to preparing the doctoral dissertation or master's thesis draft. There are two sample letters included in this section, choose the sample paragraphs from the sample letters that apply to the publication status of your dissertation/thesis and have your letters drafted accordingly. You may modify the wording to best fit your publication status.

If this material has co-authors other than the committee chair, the student must submit letters from all co-authors to the Dean of the Graduate Division, giving their approval for the co-authored material to be used. This must be done even if copyright has been retained. Students need to determine if the publisher's permission is also required. **Students collect their *signed* co-author permission letters and cover letter from their committee chair in a paper format and submit to the Graduate Division prior to or at their preliminary appointment. Please do not email the letters to the Graduate Division.**

Reprints of published articles must adhere to the prescribed margin and formatting specifications. A reprint is using an exact reprint or replication of an article as it appears in a journal. This may necessitate reduction of the material. When using reprints in full, page numbers of the reprint are to be removed and replaced with numbers corresponding to the position of the reprint within the doctoral dissertation or master's thesis. The name and date of the journal from which the reprint is taken must appear on the first page of the reprint but is optional on subsequent pages. A chapter that consists of an exact reprint may include a separate abstract that precedes the reprint.

Acknowledgement of the use of this material is to be included in **both** the "Acknowledgements" section and at the end of the appropriate chapter, in paragraph form. A sample statement is included in the sample acknowledgement page. Be sure to include the full bibliographic citation information in the acknowledgement paragraphs.

It is the student's responsibility to ensure that the use of published material is in compliance with the copyright laws of the United States. When the student is the copyright owner, he or she must supply a copyright page giving the following information for each publication:

- Copyright by (name of author-copyright owner);
- Copyright registration number (obtain this from the copyright certificate);
- Year copyright was obtained.

When the copyright owner is someone other than the student, it is necessary to obtain permission to reproduce material in the doctoral dissertation or master's thesis, and for doctoral dissertations on microfilm. No doctoral dissertation or master's thesis containing material that has been copyrighted will be accepted without appropriate authorization.

For more detailed copyright information as it refers to doctoral dissertations or master's theses, students may want to access a website maintained by ProQuest: <http://www.umi.com/en-US/products/dissertations/>.



### **Dissertation and Thesis Release Form (Embargo Form)**

Students are required to submit the Dissertation and Thesis Release Form to the Graduate Division, selecting immediate release or a one or two-year embargo period. Please note: If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. The citation and abstract of your work will be available through ProQuest and through the UC California Digital Library (eScholarship). The form must be signed by the student and the student's committee chair. The form is uploaded to ProQuest when uploading the dissertation or thesis. Of particular NOTE: after Summer 2012, the Graduate Division will no longer send e-mail messages to faculty reminding them of an upcoming embargo expiration of their students' work. If an extension is needed, it is the responsibility of the committee chair to contact the Director of Academic Affairs, Mary Allen, via email ([mallen@ucsd.edu](mailto:mallen@ucsd.edu)) to request additional time.



James Antony, Dean  
Graduate Division  
UC San Diego

MM/DD/YYYY

Dear Dean Antony:

We request permission for Laura Smith to use the following publication in her doctoral dissertation/master’s thesis. Ms. Smith was the principal researcher/author on this paper.

Smith, Laura; Smith, Jane D.; White, Sigmund. “The Effect of Stress Distribution on Photoelasticity”, Name of Journal, vol. 4, 2014.

~OR~

We request permission for Laura Smith to use material that has been submitted for publication. Ms. Smith was the principal researcher/author on this paper.

Smith, Laura; Smith, Jane D.; White, Sigmund. “The Effect of Stress Distribution on Photoelasticity”.

~OR~

We request permission for Laura Smith to use material currently being prepared for submission for publication. Ms. Smith was the principal researcher/author on this paper.

Smith, Laura; Smith, Jane D.; White, Sigmund. “The Effect of Stress Distribution on Photoelasticity”.

~OR~

We request permission for Laura Smith to use the following coauthored/unpublished material in her doctoral dissertation/master’s thesis. Ms. Smith was the principal researcher/author on this paper.

Smith, Laura; Smith, Jane; White, Sigmund. Chapter 6, Title.



Chair of Committee

*Student’s Signature*

Student’s Name

MM/DD/YYYY

Laura Smith has my permission to include the following paper, of which I was a co-author, in her doctoral dissertation/master's thesis.

Smith, Laura; Smith, Jane D.; White, Sigmund. "The Effect of Stress Distribution on Photoelasticity", Name of Journal, vol.4, 2014.

~OR~

Laura Smith has my permission to include the following paper which was submitted for publication, of which I was a co-author, in her doctoral dissertation/master's thesis.

Smith, Laura; Smith, Jane D.; White, Sigmund. "The Effect of Stress Distribution on Photoelasticity".

~OR~

Laura Smith has my permission to include material, currently being prepared for submission for publication, of which I was a co-author, in her doctoral dissertation/master's thesis.

Smith, Laura; Smith, Jane D.; White, Sigmund. "The Effect of Stress Distribution on Photoelasticity".

~OR~

Laura Smith has my permission to include unpublished material coauthored with me in her doctoral dissertation/master's thesis.

Smith, Laura; Smith, Jane D.; White, Sigmund. Chapter 6, Title.

*Jane D. Smith*

Jane D. Smith

SAMPLE

The text of the chapter continues here. The last paragraph of text should be the chapter acknowledgement if necessary. This paragraph should be exactly the same as the corresponding chapter paragraph in the Acknowledgements section in the preliminary pages.

Chapter 2, in full, is a reprint of the material as it appears in Numerical Grid Generational in Computational Fluid Mechanics 2016. Smith, Laura; Smith, Jane D., Pineridge Press, 2014. The dissertation/thesis author was the primary investigator and author of this paper.

## VI.

# Electronic Doctoral Dissertation and Master's Thesis Filing

UC San Diego requires Doctoral and Master's students to file an electronic copy of their dissertation or thesis. For students in a joint doctoral program, electronic versions must be submitted to a separate website for either SDSU or CSUSM. Master's students are required to pay the \$25 thesis submission fee prior to their final appointment with the Graduate Division. (The dissertation submission fee is included in the \$50 doctoral advancement fee)

### **Electronic Doctoral Dissertation and Master's Thesis Submission Procedure**

The electronic version of the doctoral dissertation or master's thesis must follow all formatting requirements set forth in this manual. It is the responsibility of the student to ensure that the doctoral dissertation or master's thesis appears as originally intended when it is accessed or printed. An original signature page must be submitted to the Graduate Division at the final appointment.

The doctoral dissertation or master's thesis must be submitted as a single electronic Portable Document Format (PDF) file. If the original doctoral dissertation or master's thesis is a Microsoft Word or RTF file, you will be able to convert the doctoral dissertation or master's thesis to a PDF at the UC San Diego Dissertation Submission Site at <http://www.etdadmin.com>. Note: this site is not part of the UC San Diego sites. If the doctoral dissertation or master's thesis is not in Microsoft Word, RTF or PDF - e.g. LaTeX or WordPerfect - it must be converted to PDF before the student uses the Submission Site. Certain types of fonts and graphics work better with PDF, and special attention should be paid to creating equations for PDF conversion. Issues related to PDF files are discussed in the <http://www.etdadmin.com/cgi-bin/school?siteId=66> section of the submission website.

The best product for creating PDF files is Adobe Acrobat, which includes Acrobat Distiller for writing PDF files. Acrobat can also be purchased at most software retailers or at Adobe's web site: <http://www.adobe.com/products/acrobat/readstep2.html>.

### **Submitting Supplemental Files**

Optional supplemental files (images, video, audio) that are an integral part of the doctoral dissertation or master's thesis, but not part of the full text may be submitted electronically at the ETD UC San Diego Dissertation Submission Site. All images should have a resolution of 300 dpi or higher. The following formats are accepted:

*Images:* TIFF (.tif, .tiff), JPEG (.jpg), PNG (.png)

*Audio:* AIF (.aif), WAV (.wav) in 44.1K/16bit mono or interleaved stereo. MP3 (.mp3) files with a 192kbps or higher sample rate are also acceptable.

*Video:* Apple Quick Time (.mov), Microsoft Audio Video Interleaved (.avi), MPEG (.mpg). Do not submit files that might be associated with a DVD authoring program for playing in a DVD player, such as those in VOB, BUP, IFO format.

Supplemental files must be uploaded to ProQuest via the ETD submission site. ProQuest limits the total size of all uploaded files (PDF plus supplementary files) to 2 GB. Files larger

than 2 GB must be submitted to ProQuest on CD-R (MAC & PC compatibility), DVD (ISO 9660) or USB drive. Do not submit an authored DVD created to be played in a DVD player. The disc or USB drive must include the following: 1) The oversized file(s) 2) A separate information file describing the dissertation or thesis, including: student's name; school name; title of the dissertation/thesis; the ETD submission ID (ID will be sent in an email after submission of the dissertation/thesis to the ETD Administrator). Please also discuss with the Graduate Division Adviser at the preliminary and/or final appointment.

The UC San Diego Libraries will only preserve the accepted file formats. Students wishing to submit non-accepted file formats should contact the University Archivist.

### **Submitting Electronically the Doctoral Dissertation or Master's Thesis**

Electronic doctoral dissertations and master's theses must be submitted via the ETD UC San Diego Dissertation Submission Site **prior** to the final appointment with a Graduate Division Academic Affairs Adviser.

When the doctoral dissertation or master's thesis is ready to be submitted, students click on "Submit Your Dissertation/Thesis" in the left sidebar. This link opens the log-in page for students to click on the "New user" link to create a free account. If an account has already been created, students enter the appropriate email address and password into the text boxes provided and click "Log-In." If you are submitting a revision, use the revise dissertation link; **do not create a new account.**

Once the log-in is successful, students follow the instructions and links. In addition to properly formatting your doctoral dissertation or master's thesis, you will need to choose one of two publishing options. Please see [http://www.etdadmin.com/UMI\\_PublishingOptionsGuide.pdf](http://www.etdadmin.com/UMI_PublishingOptionsGuide.pdf) for details on the two options and discuss them with your committee chair. Current UC San Diego policy requires immediate release of doctoral dissertations and master's theses to ProQuest and to eScholarship via the California Digital Library. If your committee chair wishes to delay publication with an embargo, s/he must sign the Dissertation and Thesis Release Form specifying the length of the delay (one or two years) (<https://grad.ucsd.edu/files/academics/DissertThesisReleaseTemplate.pdf>). Please note: the citation and abstract of your work will be available through ProQuest and the UC California Digital Library (eScholarship) during the embargo period. The student's acceptance of the Submission Agreement and ProQuest Release is required in order to submit the electronic doctoral dissertation or master's thesis. Students click on "Accept" to agree to these terms.

Next, students complete the required text boxes with student name and contact information and click "Continue."

The next page requires information about the doctoral dissertation or master's thesis and student's degree. Students paste or type the doctoral dissertation or master's thesis abstract (Note: doctoral abstracts are limited to 350 words; master's abstracts are limited to 250 words) into the appropriate text box. Requests to the doctoral dissertation and master's thesis administrators (Graduate Division Academic Affairs Advisers) may be placed in the appropriate text box. Finally, students indicate whether ProQuest is authorized to register the student's claim to copyright with the U.S. Copyright Office for a \$65 fee. Once students click on "Submit," the next page may take a few minutes to load.

The next page is an order form for printed, bound copies of the doctoral dissertation or master's thesis. To place an order, students complete the relevant fields and click on "Place order." Otherwise, students may click on "Continue without ordering copies."

The final page gives students the opportunity to verify the accuracy of the submission. If the submission is satisfactory, students click on “Log out.”

An email confirmation of a successfully submitted electronic doctoral dissertation or master’s thesis will be sent to students. The electronic doctoral dissertation or master’s thesis will be sent to the Graduate Division for final approval. Upon review of the electronic doctoral dissertation or master’s thesis, a Graduate Division Academic Affairs Adviser will send an e-mail to students with any problems or questions prior to the final appointment. Students will need to schedule the final appointment with a Graduate Division Academic Affairs Adviser for final approval and submission. Please go to <https://gradforms.ucsd.edu/calendar/> to schedule your appointments.

For technical questions while uploading your dissertation/thesis, students may contact: <http://www.etsadmin.com/cgi-bin/main/support>.

For questions about doctoral dissertation or master’s thesis formatting, students may contact the appropriate Academic Affairs Adviser in the Graduate Division.

Master’s thesis formatting questions:

**Jessica Whittier**, [jwhittier@ucsd.edu](mailto:jwhittier@ucsd.edu) (last names A-L)

**Kim McCusker**, [kmccusker@ucsd.edu](mailto:kmccusker@ucsd.edu) (last names M-Z)

Doctor of Philosophy dissertation formatting questions:

**Van Lee-Yamamoto**, [vleey@ucsd.edu](mailto:vleey@ucsd.edu)

Doctor of Musical Arts, Doctor of Education, and all joint PhD program dissertation formatting questions:

**Sara Miceli**, [smiceli@ucsd.edu](mailto:smiceli@ucsd.edu).

After fully formatting your doctoral dissertation or master’s thesis you may schedule your appointments at: <https://gradforms.ucsd.edu/calendar/>.

## VII. Final Degree and Filing Requirements

It is the student's responsibility to submit a doctoral dissertation or master's thesis that fits the format described in this manual and is free of spelling and other errors. After the doctoral dissertation or master's thesis is submitted to the ETD website and the formatting has been accepted by the Graduate Division, **no changes in the text or substitution of pages may be made.**

There are a minimum of two appointments with a Graduate Division Academic Affairs Adviser in preparation for the final submission of the doctoral dissertation or master's thesis. The appointments are referred to as a "Preliminary Appointment" and a "Final Appointment." The preliminary appointment should be scheduled two to four weeks before the doctoral dissertation or master's thesis is defended. The final appointment must be after the committee members have given final approval of the doctoral dissertation or master's thesis. The preliminary appointment normally takes half an hour. The final appointment normally takes 15 minutes.

Prior to the preliminary appointment, students upload the complete fully formatted dissertation or thesis to <http://www.etsadmin.com>. This will not be the definitive version; students will have the opportunity to make changes and resubmit prior to their final appointment.

At the preliminary appointment Graduate Division Academic Affairs Advisers will check current academic status as well as formatting elements such as pagination, margins, consistency of style, figure and table placement, and all preliminary and ending pages. Students will be given surveys, and instructions on the final preparation and submission of the doctoral dissertation or master's thesis.

Prior to the final appointment, which follows the successful defense of the doctoral dissertation or master's thesis, students submit their thesis electronically. At the final appointment students submit all necessary forms to the Graduate Division. If no further formatting changes are necessary and the work is approved by the Graduate Division, the Graduate Division will submit the electronic dissertation or master's thesis to ProQuest and the University library on the student's behalf. Once the PDF is accepted by the Graduate Division **no further changes can be made.**

The checklists in the appendix will assist students in preparation for both appointments.

### **Degree Conferral Dates and Filing Deadlines**

Degrees are granted four times a year; the degree conferral date is the last official day of each quarter. Students must finish all requirements by the final day of the quarter as published in the Office of the Registrar's quarterly Schedule of Classes and at <http://blink.ucsd.edu/instructors/courses/enrollment/calendars/index.html> to get a degree dated that quarter. If the quarter officially ends on a Saturday, students must file on the preceding Friday, since the Graduate Division is closed on Saturdays. Students who miss the filing deadline for the quarter will be degree candidates for the following quarter. A doctoral dissertation or a master's thesis for a terminal master's filed between quarters (e.g.: during the break between the end of summer quarter and the start of fall quarter, and the winter and spring breaks) will be dated the end of the next quarter. On the title page, students should use the year



of the quarter of degree conferral that marks the official end of the quarter published in the quarterly Schedule of Classes.

### **Fee Status Required for Graduate Degree Awards**

To be awarded a graduate degree, all students must be in a fee relationship with the University the quarter they finish degree requirements. Establishing a fee relationship with the University is done in one of two ways:

- Register the quarter of degree completion. Payment of registration fees and, if applicable, tuition allows students to file their doctoral dissertation or master's thesis without use of the Filing Fee. Quarterly registration maintains graduate status until the beginning of the next quarter. For example, students who registered for Spring quarter may file their doctoral dissertation or master's thesis until Summer quarter officially ends (usually the first Friday in September) without having to pay additional fees. Students who are unregistered at the time must use the Filing Fee option as explained below.
- Use the Filing Fee in lieu of registering. The Filing Fee is for the use of unregistered students who have completed all requirements for a degree, including filing the doctoral dissertation or master's thesis, are not employed as a Teaching Assistant or Graduate Student Researcher and are not receiving centrally administered funding. The Filing Fee may be used only by doctoral degree students and terminal master's degree students. Master's degree students who are continuing on to pursue a doctorate at UC San Diego must be registered in the quarter that they are awarded the degree.

The Filing Fee is always half the amount of the registration fee. Currently, the Filing Fee is \$188, but is subject to change. Students should not pay the Filing Fee until they have scheduled their final appointment at the Graduate Division, and all other degree requirements, including the defense of the doctoral dissertation or master's thesis is completed. A general petition must be signed by both the chair of the program and the committee chair then submitted to the Graduate Division at the same time students submit the doctoral dissertation or master's thesis.

### **Completion of Final Degree Requirements**

A graduate degree can be awarded only to students who have fulfilled all University and graduate degree requirements – as determined by degree checks conducted by the student's academic program and the Graduate Division – and completed all the paperwork that is part of the filing process. Students are responsible for remedying any deficiencies found during the final degree check. Students must take care of any unfinished coursework - denoted by an In Progress, Incomplete, No Grade, or No Record - by finishing the coursework for a grade or petitioning to withdraw retroactively from the course(s) before a graduate degree can be awarded. Avoid last minute delays by checking to make sure that there are no outstanding grading problems.

### **Defense of Doctoral Dissertation or Master's Thesis Required**

The Graduate Division cannot award a degree until a Final Report Form is received from the graduate program indicating that the student has successfully defended the doctoral dissertation or master's thesis and secured the approval of all committee members. Committee members' signatures on the form must correspond to the signatures on the student's signature page.

***NOTE: Each committee member's signature must be original; no proxy signatures are accepted.***

### **The Survey of Earned Doctorates and UC San Diego Graduate Survey**

The Graduate Division requires all doctoral degree students to complete the Survey of Earned Doctorates (SED) and UC San Diego Graduate Survey. Students can access the SED survey at <https://sed-ncses.org>. Once completed, students should enter their email address and forward the Completion Certificate via email to their Graduate Division Academic Affairs Adviser. The SED is used to compile longitudinal information about graduate education on a nationwide basis.

A web link to the UC San Diego Survey will be emailed to both doctoral and master's students a few days before their final appointment with the Graduate Division. The UC San Diego Graduate Survey elicits feedback about students' experiences at UC San Diego.

### **Necessary Documents/action for Submission of the Doctoral Dissertation for a Ph.D./D.M.A./Ed.D. (electronic filing only)**

- File PDF at: [www.etsadmin.com](http://www.etsadmin.com) at least one day prior to final appointment with the Graduate Division
- One copy of the first page of the abstract (on plain paper)
- Report of the Final Examination and Filing of the Dissertation, obtained from the graduate program and signed by all committee members and the chair of the graduate program, attesting that the student has passed the defense and that the student has completed all requirements for the degree
- Original signature page, signed in permanent ink
- Dissertation and Thesis Release Form  
<http://grad.ucsd.edu/files/academics/DissertThesisReleaseTemplate.pdf>
- Survey of Earned Doctorates certificate (<https://sed-ncses.org/>) (not required for D.M.A.)
- Complete the UC San Diego Graduate Survey (web link to survey was emailed to students before the final Graduate Division appointment)

### **Necessary Documents/action for Submission of the Doctoral Dissertation for a Joint Ph.D. with SDSU (electronic filing only)**

- For SDSU file PDF at: [www.montezumapublishing.com](http://www.montezumapublishing.com)
- For UC San Diego file PDF at: [www.etsadmin.com](http://www.etsadmin.com) at least one day prior to final appointment with the Graduate Division
- Two copies of the first page of the abstract (on plain paper)

- JDP5 Form, obtained from the graduate program and signed by all committee members and the chair of the graduate program, attesting that the student has passed the defense and that the student has completed all requirements for the degree
- Original signature page, signed in permanent ink
- Dissertation and Thesis Release Form (<http://grad.ucsd.edu/files/academics/DissertThesisReleaseTemplate.pdf>)
- Survey of Earned Doctorates certificate (<https://sed-ncses.org>)
- Complete the UC San Diego Graduate Survey (web link to survey was emailed to students before the final Graduate Division appointment)

### **Necessary Documents/action for Submission of the Doctoral Dissertation for the Joint Ed.D. with CSUSM (electronic filing only)**

For UC San Diego file pdf at: [www.etdadmin.com](http://www.etdadmin.com) at least FOUR days prior to final appointment with the Graduate Division. After the UC San Diego submission has been accepted by UC San Diego then you will need to file for CSUSM. Directions for submitting your dissertation with CSUSM can be found at: <https://biblio.csusm.edu/content/e-thesis-project-and-dissertation-submission-guide>

**\*CSUSM requires all dissertations to be submitted electronically to their campus.**

- One extra copy of the title page (on plain paper)
- One copy of the first page of the abstract (on plain paper)
- JDP5 Form, obtained from the graduate program and signed by all committee members and the chair of the graduate program, attesting that the student has passed the defense and that the student has completed all requirements for the degree
- Original signature page, signed in permanent ink
- Dissertation and Thesis Release Form (<http://grad.ucsd.edu/files/academics/DissertThesisReleaseTemplate.pdf>)
- Survey of Earned Doctorates certificate (<https://sed-ncses.org>)
- Complete the UC San Diego Graduate Survey (web link to survey was emailed to students before the final Graduate Division appointment)

### **Necessary Documents for Submission of the Master's Thesis for an M.A./M.S.(electronic filing only)**

- File PDF at: [www.etdadmin.com](http://www.etdadmin.com) at least one day prior to final appointment with the Graduate Division
- One copy of the first page of the abstract (on plain paper)
- Final Report of the Thesis, Plan I, obtained from the graduate program and signed by all committee members and the chair of the graduate program, attesting that the student has passed the defense and that the student has completed all requirements for the degree.
- Original signature page, signed in permanent ink
- Dissertation and Thesis Release Form (<http://grad.ucsd.edu/files/academics/DissertThesisReleaseTemplate.pdf>)

- General Petition with the Cashier's stamp indicating that the \$25 Thesis Submission Fee has been paid
- Complete the UC San Diego Graduate Survey (web link to survey was emailed to students before the final Graduate Division appointment)

### **Necessary Documents for Submission of the Master's Thesis for an M.F.A. (electronic filing only)**

- File PDF at: [www.etdadmin.com](http://www.etdadmin.com) at least one day prior to final appointment with the Graduate Division
- One copy of the first page of the abstract (on plain paper)
- Final Report of the Modified Thesis Examination, Plan III, obtained from the graduate program and signed by all committee members and the chair of the graduate program, attesting that the student has passed the defense and that the student has completed all requirements for the degree.
- Original signature page, signed in permanent ink
- Dissertation and Thesis Release Form (<http://grad.ucsd.edu/files/academics/DissertThesisReleaseTemplate.pdf>)
- General Petition with the Cashier's stamp indicating that the \$25 Thesis Submission Fee has been paid
- Complete the UC San Diego Graduate Survey (web link to survey was emailed to students before the final Graduate Division appointment)

### **Necessary Documents for All Degree Candidates**

Students must bring all of the above listed documents with them to the final appointment with the Graduate Division. If all is in order and no further formatting changes are necessary, the Graduate Division will file the electronic version with both the library and Proquest. A congratulatory letter from the Dean of the Graduate Division will usually be provided to students within two weeks after grades are posted. The diploma will be mailed to students by the Registrar's Office approximately two to four months after the end of the quarter.

NOTE: Doctoral dissertations and master's theses will be submitted to the Mandeville Special Collections Library in Geisel Library on-line by the Graduate Division. Once the electronic dissertation/thesis has been accepted by the Graduate Division **no further changes can be made.**

### **Degree Completion**

After finishing the Final Appointment, after the quarter has ended, and after all final quarter grades are posted, the Graduate Division notifies the Office of the Registrar, which posts the degree to the student's transcript. Degree posting can take up to two months from the end of the quarter of degree conferral. Within two weeks of filing their degrees, all students are sent congratulatory letters from the Dean of the Graduate Division, or the Associate Dean of the Graduate Division, notifying them of their degree award.

Diplomas may take up to six months after the end of the quarter to process. Diplomas are mailed to the permanent address on record in Tritonlink by the Office of the Registrar. If students would like a copy of their final transcript with the degree conferred before the diploma is sent, they should mark their transcript order form, after the end of the conferral quarter, "hold

for posting of degree” and indicate the quarter and degree awarded. Transcripts will not be sent if a student has any holds on his/her record. Students who intend to submit their doctoral dissertation or master’s thesis to a prospective employer should make their own copies. It may take several months before a published doctoral dissertation or master’s thesis will be available through ProQuest and eScholarship through the California Digital Library.

# Appendix

## Checklists for Candidates

### Preliminary/Final Appointment Checklist

- Schedule your appointments online at: <https://grad-calendar.ucsd.edu>
- Prelim appt: fully formatted draft is uploaded to <http://www.etdadmin.com> the morning of the appt (*print and bring hard copies of all preliminary pages*);
- Final appt: final electronic version is submitted to the ETD website: [www.etdadmin.com](http://www.etdadmin.com) prior to final appt.
- Minimum margins are: (*\*please note the new requirements effective Fall 2017\**)
  - Top: 1”
  - Bottom: 1”
  - Left: 1”
  - Right: 1”
  - Page numbers: 0.5” from the bottom and centered
- Pages are numbered correctly and appear at the bottom center of each page (*\*please note the new requirements effective Fall 2017\**)
- All text is double spaced except for long quotes (more than 6 lines)
- All paragraphs are indented on 0.5” tab
- Figure captions are below the figures
- Table captions are above the tables
- If including appendices and a reference section at the end of each chapter then the correct order is text, acknowledgement, figures/tables (if not included within text), appendix, reference
- If supplemental material is included (i.e.: audio, video files, etc.) it is noted in the Table of Contents
- If any part of the doctoral dissertation or master’s thesis is co-authored or pre-published, all permission letters have been collected and turned in to the Graduate Division (letter from committee chair is on departmental letterhead requesting permission for inclusion and letters from each author/publisher) before the Final Appointment
- Title page conforms to sample
  - “UNIVERSITY OF CALIFORNIA SAN DIEGO” is in all caps
  - “in” and “by” are both all lowercase and on their own lines
  - Committee members are alphabetized after the chair
  - Name as it is listed on UC San Diego official Academic Records is used and is the same on the title page, copyright page, signature page, vita (for doctoral students), and abstract
  - Degree year used is correct and is the same on the title page, copyright page, signature page, vita (for doctoral students), and abstract
- Copyright page or a blank page is inserted as page ii (there is no page number on this page)
- Doctoral dissertation or master’s thesis title matches on the title page, abstract, and the Final Report Form
- Signature page has been signed by all committee members (only necessary at Final Appointment)
  - Page is numbered “iii”
- Table of Contents has been checked for correct titles and page numbers

- Lists of Figures/Tables/etc. have been checked for correct titles and page numbers
  - The same formatting style has been used for the Table of Contents and all Lists
- Vita is correct (a vita is required for doctoral students, optional for master's students)
  - Correct degree titles are used (M.S. v. M.A. or "Master" not "Masters"), degrees listed are consistent
- Acknowledgements are required to be included if any part of the doctoral dissertation or master's thesis is co-authored or pre-published. A paragraph acknowledging such is included in the acknowledgements page as well as the last paragraph of text in the corresponding chapters
- Abstract conforms to sample and is not longer than 350 words for a doctoral dissertation, or 250 words for a master's thesis
  - The top margin is 2.5"
  - "ABSTRACT OF THE DISSERTATION/THESIS" is in all caps
  - "by" is all lowercase and on its own line
- Chair(s) name appears on both title page and abstract
- The doctoral dissertation or master's thesis has been submitted to the ETD submission site at least 1 working day before Final Appointment
- Check e-mail one hour before Final Appointment for possible correspondence from the Graduate Division Academic Affairs Advisers regarding any necessary formatting changes to final doctoral dissertation or master's thesis
- All appropriate copies of abstract have been made
- All surveys have been completed prior to Final Appointment (two for Ph.D./D.M.A./Ed.D., one for M.A./M.S./M.F.A. students)
- The Final Report Form (or JDP5 Form) has been signed by all committee members and the graduate program chair, the appropriate boxes have been checked (i.e.: unanimously recommended, etc.)
- Dissertation and Thesis Release Form has been uploaded to ProQuest when submitting the dissertation or thesis  
<http://grad.ucsd.edu/files/academics/DissertThesisReleaseTemplate.pdf>
- The \$25 Thesis Submission Fee has been paid and the Cashier's stamp has been obtained on the Final Report form. (Master's Thesis students ONLY, doctoral students paid the Dissertation Submission Fee when they advanced to candidacy for the doctoral degree)

### **Miscellaneous Checklist**

- If the Name used on your doctoral dissertation or master's thesis does not match your student record (as in TritonLink) you will need to submit a Name Change form to the Registrar's Office prior to your preliminary appointment
- Return all library books (Library holds can prevent distribution of the diploma)
- Pay any outstanding balances (Bursar holds can prevent distribution of the diploma)

If all formatting instructions in this manual have been followed and students have done all of the above, then they are ready to begin the process of submitting the doctoral dissertation or master's thesis, thus fulfilling the final requirements for a Doctoral or Master's degree. Congratulations and good luck!