

UC Merced Thesis and Dissertation Guidelines

Prepared by:
UC Merced Graduate Division
UC Merced Library

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I. Acknowledgment

We are indebted to similar manuals at UCD, UCI, UCR, UCSB, and UCSD for ideas on presentation and content.

The information in this publication will be made available in alternate formats for people with disabilities, upon request. Requests should be directed to Disability Services, telephone (209) 228-6996 or e-mail to disabilityservices@ucmerced.edu.

II. Introduction

Congratulations! You are ready to document the research and scholarly statement of your graduate work, which is the final step towards obtaining your graduate degree.

To assist you through this milestone, this manual will provide uniform standards for material included in theses and dissertations that are submitted by graduate students in partial fulfillment of the requirements for master and doctoral degrees.

You are strongly encouraged to use available templates by your program when you begin the formation of the thesis/dissertation. It is important that you work closely with your thesis/dissertation committee and/or program to develop your manuscript. You and your committee are responsible for ensuring the accuracy of content in your manuscript.

Submission of all theses and dissertations at University of California, Merced (UCM) are submitted electronically. The Graduate Division does not require strict adherence to the margin requirements for the body of the document. However, you must refer to your program's preference of style and description, especially if there is a need or desire to print and/or bind a copy of the document, now or in the future.

III. Academic Senate Policy

Doctoral dissertations and master's theses must meet the requirements set by the Graduate and Research Council of the University of California, Merced 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 and must be approved in its entirety by the master's committee.

IV. Your Responsibility as a Candidate

A. Meet Important Deadlines

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 make appointments with

advisor/graduate group coordinator and/or units to discuss final clearance of their degree. Committee members conduct the student's defense.

Deadlines for each application: candidacy, graduate student graduation application, filing fee, etc. are published on the Graduate Division website in the Calendar and Deadlines section: <http://graduatedivision.ucmerced.edu>

B. Maintain Student Status

To maintain your status as a graduate-degree candidate, you must be continuously enrolled as a UCM student until all requirements for an advanced degree or credential have been completed, including final examinations, and your thesis/dissertation has been approved by your faculty committee and accepted by the Graduate Division. If your student status lapses, so does your candidacy status. To maintain your continuous enrollment, you must enroll in a minimum of 8 units and pay all applicable fees or, in certain cases, pay a Filing Fee. Students in teaching or research appointments must adhere to the 12 unit requirement of enrollment.

1. Filing Fee

UCM's Academic Senate policy on Filing Fee status applies to students who have completed all requirements for a terminal Master's or Doctoral degree and are ready for the formal submission of their thesis or dissertation, or the final, formal examination. Filing Fee status can be used for one semester only during the student's graduate training. Students applying for Filing Fee status must have been registered in the preceding academic session.

The completed *Filing Fee* form should be submitted to the Cashier's Office with a check made out for one half of the Tuition (see the Registrar's website for current fee information). The form should then be submitted to the Graduate Division for final approval and processing.

Please review the UCM Graduate Advisors Handbook for filing fee procedures, eligibility and limitations.

If your Filing Fee petition is not approved, you must continue to enroll and pay full tuition and fees until you have completed all your degree requirements.

V. Doctoral Dissertations and Master's Theses Preparation and Requirements

The requirements in this manual pertain to manuscript formatting, manuscript submission, and copyright matters. They take precedence over any style manuals used by your academic discipline or adopted by your committee. Since requirements change over time, it is important to note that the requirements in this manual supersede all prior editions.

Students are responsible for adherence to all requirements specified in this manual. Do not rely principally on the format of another student's thesis/dissertation when preparing your own manuscript.

The Graduate Division and the UC Merced Library conduct workshops on the preparation and filing of theses and dissertations. You are strongly urged to attend; dates and times of future workshops will be announced on the Graduate Division website and campus-wide communications.

A. Specification of the Doctoral Dissertation and Master's Thesis

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 electronic copy of the thesis or dissertation, preserved by the UC Merced Library, becomes the official and permanent record, available to other researchers and faculty.

For these reasons, the Graduate and Research Council have established criteria for uniformity in physical format, which have been compiled in this manual. **These are the minimal requirements to which 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. Questions may be directed to the Graduate Division.

The specifications in the following pages are adapted from other UC guidelines and are based on the publication standards of ProQuest LLC electronic publisher. These standards assure uniformity in doctoral dissertations and master's theses to be archived in the UC Merced Library, as well as to ensure the widest possible dissemination of student-authored knowledge.

1. Document Formatting

In creating each page of your manuscript, avoid (1) hyphenating words at the end of a line, (2) putting the first line of a paragraph as the last line of type on a page, and (3) putting the last line of a paragraph as the first line of type on a page. Also, keep intact all parts of formulas or items in a list, moving them intact to the next page, if necessary, even if such a move results in extra white space at the bottom of the preceding page.

a) Page Size

Use standard 8.5" x 11" page size. Oversized material (e.g., extensive computer program instructions or computer listings, form letters, questionnaires, charts, or any other reprinted materials) should be photo-reduced to fit onto 8.5" x 11" pages. Reduced copies of graphs, charts, and similar material can be accepted if they are (1) clearly legible and 10-point or larger font; and (2) the required allowances for margins and page number location requirements are maintained. You

may want to consider using multimedia (see **Supplementary Materials**) for such material.

b) Minimum Margins

The minimum margin requirements to be used throughout the document are:

- Top and Right Margins – 1”
- Left Margin - 1.5 inch
- Bottom Margin - 1.25 inch

These margins will facilitate the binding of a printed version. These minimum specifications also apply to all figures, charts, graphs, illustrations and appendices. When oversize materials are used, the same margin measurements must be maintained.

c) Font and Font Sizes

Be consistent in the use of typeface(s) throughout your manuscript. All text material must be in the same typeface/font; all headings and figure/table titles/captions must be in a consistent typeface and should be formatted consistently: e.g. center all major headings; place secondary headings at least two lines below major headings.

Embedded fonts are required. PostScript Type 1 fonts are required. A font size of at least 10 must be used for the text; students may choose one of the following fonts: 10pt, 11pt or 12pt. Standard fonts are Arial, Century, Helvetica, or Times New Roman. A font size of at least 10 must be used for footnotes and captions.

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.

d) Page Numbers

The first page number of every chapter is centered at the bottom of the page, 0.5” from the bottom edge. Subsequent pages are numbered at the upper-right corner, 0.5” from the top and lined up with the right margin.

- Bottom/Center Page Numbers = 0.5” from bottom of paper

- Top/Right Page Numbers = 0.5” from top and lined up with the 1” right margin

e) 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”.
- 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, tables 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. The first page of each section is numbered at the bottom of the page and centered; all other pages are numbered in the top right corner.

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.

f) Spacing of Text

Your manuscript must be single-spaced, including footnotes, bibliographic entries, long quotations, data in lists and tables, and figure/table captions. Survey instruments and other materials used by students to conduct research that are reproduced in an appendix should also be single-spaced. The vita should be single-spaced.

The format recommended for layout of long quotations is to double space before and after any long quotations used in your main text and

to indent all lines in the quoted material at least five spaces from BOTH the left and right margins.

2. 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 a foreign 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 Graduate Studies 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.

3. 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 words for a doctoral dissertation and 150 words for a master's thesis) must be written in the language of the doctoral dissertation or master's thesis.

4. 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.

B. Organization of Doctoral Dissertations and Master's Theses

1. Preliminary

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 edge of the page.

2. Title Page

- Name of the institution conferring the degree – UNIVERSITY OF CALIFORNIA, MERCED – should appear at the top of the title page
- The title should be specific, unambiguous, and descriptive of research, with easily identifiable key words that will ensure electronic retrieval
- Scientific titles must use words, not symbols, formulas, superscripts or Greek letters in the title
- Doctoral students should refer to their document as a dissertation. Master's students should refer to their document as a thesis
- The degree title listed should be the degree title that UC Merced will actually confer; if unsure, contact your Graduate Group Coordinator
- "by" should be all lowercase and on a line alone
- Students should list their name as it appears on file with UC Merced's Office of the Registrar and follow this format throughout the doctoral dissertation or master's thesis
- All committee members must be listed, chair first, using the generic title Professor. If professor is not appropriate for all committee members, list all names without any titles. Alphabetize all members listed after chair. (*NOTE: This section is the only section of the title page that is not centered*)

- Degree year: Students must use only the year of the semester of degree conferral
- The title page is not numbered, although it is counted as page “i” in the sequential numbering of the preliminary pages. The title and blank or copyright pages are the only manuscript pages without page numbers.

3. Dedication Page (optional)

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.

4. Table of Contents

All sections of the manuscript are listed in the table of contents **except**:

- Title page
- Copyright page
- Dedication page
- Table of contents.

Novels and collections of poems are not exempt from the requirement to include a table of contents

5. Lists of Symbols, Tables, Figures, and Illustrations

Include separate pages/s for each type of list. Include symbols, tables, figures, and illustrations in the text section only (do not include those in your appendix/appendices)

6. Acknowledgements Page

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.

You must acknowledge grants and other funding assistance.

If you have used copyrighted material of your own or others, you must include a statement to inform the reader that permission has been granted and state the source of the permission. Refer to the section on “Using Copyrighted Material.”

You may also acknowledge the contributions of professors and friends.

7. Curriculum Vita, Publications, and Field 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:

- 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)
- Include the degree currently being attained
- NOTE: Graduate Division does not recommend including a date of birth

8. Abstract

There is no word limit on abstracts, as this constrains your ability to describe your research in a section that is accessible to search engines, and therefore would constrain potential exposure of your work. However, ProQuest/UMI continues to publish print indexes that include citations and abstracts of dissertations and theses that require limits of 350 words for doctoral dissertations and 150 words for master's theses. ProQuest/UMI will simply truncate your abstract if it exceeds these word limits and remove any non-text content. You may wish to limit the length of your abstract if this concerns you.

The abstract must include the title of the doctoral dissertation or master's thesis, student's full name, the degree name, the university name and year, and your committee chair's name. All of the above must be consistent with your title page.

The text must be single-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. The top margin should be 2.5".

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

9. Text Section

For general information, consult a standard style manual (see Theses and Dissertation Style Manuals below).

The first page of the main body of text must be numbered as an Arabic "1." Each first page of a main section (chapter, appendix, references) must be numbered on the bottom center of the page. The subsequent pages of each section should be numbered in the top right corner. For reference sections that are at the end of each chapter, the page number remains in the top right corner. 10a, 10b) are not permitted before, after, or under your page numbers.

The text must be single-spaced. Check each page before submitting your manuscript to the Graduate Division to ensure that there are no missing or misnumbered pages.

10. Figures and Illustrations

a) Captions and Numbering

Place table numbers and title above each table, and figure numbers and legends below each figure. Be consistent throughout the manuscript. If space is not available within the margins of your figures/tables page for your caption or title, place it on the page preceding the illustrative material. Include both pages in your consecutive pagination and list the page containing the caption in the list of figures or list of tables.

Number all figures and tables sequentially either by chapter or throughout the entire manuscript. You may use letter suffixes to identify figures or tables (e.g., Table 3a or Figure 12d), but such use should reflect some relational quality among the figures/tables so numbered. Do not add a suffix simply because you add a figure/table at the last moment if its data bears little or no relationship to the figure/table that precedes it.

b) Photographs and Other Illustrations

Photographs and other illustrations included in your manuscript can be either in black and white or in color. Those images must fit within the standard page size of 8 ½" x 11".

c) **Handwritten Marks**

Use only black, permanent, non-smearing ink for handwritten symbols or formulas, drawings, diacritical marks, etc. as well as for the signatures on your signature page. Black ink images reproduce the best. Blue inks vary widely in their reproducibility, from intense to nonexistent.

11. Footnotes and Endnotes

“Footnotes” appear at the bottom of a page. “Endnotes” appear at the end of each chapter/part or all together after the last chapter/part in the text section. Your committee should be your guide regarding your choice of footnotes or endnotes. If these notes are few in number, and there is only one on any page, you may use an asterisk, instead of a numeral, to designate it. However, if your notes are more numerous, you must number them sequentially throughout your manuscript. You may not mix asterisks with numerals.

12. Electronic and Audiovisual Appendices

Electronic or audiovisual data may be included as supplemental files in an ETD submission. Your committee should agree that the information contained in the supplemental files is of such a character that a medium other than text is necessary.

13. Supplemental Materials

- If supplemental materials such as audio, video, and spreadsheets are part of your dissertation or thesis, you can submit them as supplemental files and reference those files (with filenames) in your text. **Do not embed media files in your PDF.**
- Describe the files in your abstract: add a description of each supplemental file in your abstract.
- You will also need to include documentation of these materials with your submission form.
- If you are going to include multimedia material covered under someone else's copyright—an audio or video clip, a digital photograph, etc.—you must provide written permission to include it.

14. Signature Page

Students must submit one signature page with original committee members' signatures in permanent black or blue ink to the Graduate Division. 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.

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

Note: The signed signature page should not be scanned or included in the electronic version of your dissertation or thesis.

C. Thesis and Dissertation Style Manuals

The Graduate and Research Council acknowledges that style varies from discipline to discipline. Your academic discipline should be your guide regarding the style most applicable to your thesis/dissertation. Select the style manual that is most commonly used in your field of study, and you should follow it consistently.

RefWorks, an online tool that helps you manage, store, format and cite resources used in the research process, is available through UCM's Library. Students are encouraged to refer to this link (<http://ucmercedlibrary.info/doing-research/refworks-citing-sources>).

If your graduate program has not designated a style manual, those listed below may be helpful. They are the standards for various broad disciplines:

Publication Manual of the American Psychological Association (APA Style Manual). Fourth edition. Washington, D.C.: American Psychological Association, 1994. CBE Style Manual Committee.

Council of Biology Editors Style Manual: A Guide for Authors, Editors, and Publishers in the Biological Sciences. Fourth edition. 1978.

The Chicago Manual of Style. (Formerly: A Manual of Style). Fourteenth edition. Chicago: University of Chicago Press, 1993.

Handbook for Authors of Papers in American Chemical Society Publications. Washington, D.C.: American Chemical Society, 1978. Gibaldi, Joseph.

The MLA Style Manual. Second edition. New York: The Modern Language Association of America, 1998. Turabian, Kate L.

A Manual for Writers of Term Papers, Theses and Dissertations. Sixth edition. Revised by John Grossman and Alice Bennett. Chicago: University of Chicago Press, 1996. Li, Xia, and Nancy B. Crane.

Electronic Style: A Guide to Citing Electronic Information. Connecticut: Meckler Publishing, 1993.

On more general matters of style, **The Elements of Style**, by William Strunk, Jr., and E. B. White (fourth edition, 1999), is an excellent guide. **The Careful Writer**, by Theodore M. Bernstein, also is a good source for common word-selection decisions. For spelling and many usage questions, use a dictionary (e.g., **Webster's New Collegiate Dictionary**). In addition, your discipline may have its own dictionary (e.g., **the McGraw-Hill Dictionary of Science and Engineering**).

Many common manuscript problems involve punctuation. Strunk and White's **The Elements of Style** and **The Chicago Manual of Style** (14th edition) are excellent sources for correct usage. Two basic guidelines are:

- When using double or single quotation marks, place commas or periods inside the ending quotation mark. Place colons and semicolons outside the ending quotation mark.
- The term “et al.” requires a period after “al.” The terms “e.g.” and “i.e.” include two periods and are followed by a comma, unless they appear at the end of the sentence.

VI. Using Copyrighted Material

The copyright law of the United States is quite complex. This section provides a brief overview and the student is encouraged to obtain more detailed information from other sources, including the ProQuest website:

http://www.proquest.com/assets/downloads/products/UMI_CopyrightGuide.pdf or the Library of Congress' Copyright Office website at www.copyright.gov.

A. Fair Use of Quoted Material by Other Authors

It is your responsibility to obtain permission to include (or quote) copyrighted material, unless you are the owner of the copyright or unless the material meets the "fair use" standard described in the next paragraph.

Use of copyrighted work in your dissertation without securing permission and without paying royalties is permissible when the circumstances amount to what the law calls "fair use." In order to claim “fair use” of copyrighted material, the following factors must be weighed: (1) the purpose and character of the use, including whether such use is of a commercial nature or is for non-profit educational purposes; (2) the nature of the copyrighted work; (3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and (4) the effect of the use upon the potential market for or value of the copyrighted work (17 U.S.C. §107).

For example, you must write to the copyright owner to request permission to use the material if you quote continuously or extensively from a particular author, especially in such fields as fiction, drama, criticism, or poetry, or if you reproduce copyright-protected images by a single artist.

B. How to Acknowledge Use of Material by Other Authors

1. Permission Letter from Copyright Holder

You must supply a permission letter from the copyright holder (usually the publisher) of any published material used in your manuscript (excluding material covered by "fair use"). The letter, which must state that the copyright owner is aware that "the University or ProQuest/UMI may supply single copies on demand and may make my thesis/dissertation available for free internet download at my request," must be submitted as a "supplementary file" along with your manuscript when you submit via the ETD system.

2. Acknowledgments Page

Include a statement on the acknowledgments page informing the reader that permission to use copyrighted material in your manuscript has been granted and stating the source of the permission.

C. Including Material Not Yet Published

If material is approved for submission, which is authored by someone other than yourself (including co-authors), and the material has not yet been formally published, you must submit a permission letter from the author(s).

D. Incorporating Your Own Previously Published Work (Copyright held by another)

With the approval of your thesis/dissertation committee and your graduate group, your previously published work may be used to fulfill all or part of your degree requirement.

1. Some Conditions Apply

Such publications must represent research or scholarship comparable in scope and contribution to that portion of your thesis/dissertation, which it is intended to replace.

In addition, to a large extent, such material must be the product of your graduate study at UC Merced. You must provide an introduction showing the historical development, methods used, and results of your work, if such information is not part of the published material itself. This is particularly important in those

instances where the material submitted is composed of several discrete publications.

If your committee approves the use of your published material for your thesis/dissertation, you must submit a memorandum to that effect to the Dean of the Graduate Division signed by your graduate group chair.

2. How to Acknowledge Previous Copyrights of Your Own Work

a) Permission Letter from Copyright Holder

You must supply a permission letter (or website statement) from the copyright holder (usually the publisher) of any published material used in your manuscript (excluding material covered by "fair use"). The letter, which must state that the copyright owner is aware that "the University or ProQuest/UMI may supply single copies on demand and may make my thesis/dissertation available for free internet download at my request," must be submitted with your ETD submission as supplemental file(s).

b) Acknowledgments Page

If you are the only author of the published work, include a statement informing the reader that permission to use copyrighted material in your manuscript has been granted and identifying the publication in which the material originally appeared.

c) Acknowledging Co-Authors

If the published material has a co-author, and if this co-author is listed by reason of having directed and supervised research, which serves as the basis of the thesis/dissertation, list only your name as the author in the preliminary pages. The acknowledgments page should state:

"The text of this thesis/dissertation is a reprint of the material as it appears in (name of publication). The co-author listed in this publication directed and supervised research which forms the basis for the thesis/dissertation."

If published material is approved for submission where there are one or more co-authors other than your research director, be sure to include these names in your acknowledgements page citation.

d) Copyright Page

Your copyright page must contain a copyright notice, consisting of the following three elements, for each previously published work:

- The symbol © (the letter in a circle), or the word "Copyright"
- The year of publication (i.e., the year in which the material was first published)
- The name of the copyright owner

Example:

Chapter 3 © 2002 Springer-Verlag
 Portion of Chapter 4 © 1999 Springer-Verlag
 Chapter 5 © 1998 John Wiley & Sons, Inc.
 All other chapters ©2007 John Doe

The last copyright notice in the above example indicates that the author of the manuscript holds the copyright for all materials not previously published.

E. Obtaining a Publisher's Permission when Including Material Committed to Future Publication

If you intend to include any material that has been formally committed to future publication (whether the material is authored by you or someone else), you must submit with your manuscript a letter from that publisher giving you permission to include the material. The letter must indicate the year of publication and the name of the author or publisher who will hold the copyright.

Include this information on the copyright page. In addition, include a statement acknowledging permission received on your acknowledgments page.

VII. Copyrighting Your Manuscript

Whether or not you copyright your thesis or dissertation, you retain the right to publish all or any part of it by any means at any time, except for reproduction from a negative microfilm as described in the agreement form with ProQuest Information and Learning (PQIL).

A. How to Secure Copyright

As the author of your thesis or dissertation, only you are legally entitled to authorize publication or reproduction of your intellectual property, although you may assign your rights to others.

Copyright is secured automatically when a work is created, which is when it is fixed in a tangible form for the first time. Under present U.S. copyright law, the term of the copyright is the author's life plus 70 years.

1. Copyright Page

The use of copyright notice is the prerogative of the copyright owner and does not require advance permission from, or registration with, the U.S. Copyright Office (Federal copyright law requires that copies of all works published with notices of copyright be deposited with the Library of Congress, even if the copyright is not registered).

You may choose to copyright your manuscript by including the copyright notice but not formally registering your copyright. However, to fully protect your rights in a copyright dispute and to be eligible for damages caused by infringement, you must register your copyright.

The use of such notice is highly recommended, because it informs the public that the work is protected by copyright, identifies the copyright owner, and shows the year of first publication.

The notice must contain the following three elements:

- The symbol © (the letter in a circle), or the word "Copyright"
- The year of publication (i.e., the year in which you are filing your manuscript)
- The name of the copyright owner (i.e., your name as it appears on the title page)

Example: © 2009 John Doe

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.

2. Copyright Registration

You can register your copyright at any time within its term. You have several options:

a) ProQuest Information and Learning (PQIL)

You may have the copyright registered for you by UMI Dissertation Services (a division of ProQuest Information and Learning Company). To do this, you can request that UMI register your copyright through the UMI ETD system. If you request this, you will pay for that service by credit card in the UMI ETD system.

b) Registrar of Copyrights

You may register the copyright yourself by submitting to the Registrar of Copyrights the appropriate application form, a filing fee and one or two copies of the work. Information and forms can be obtained from the Library of Congress website at <http://www.copyright.gov/>

VIII. Submitting Your Manuscript

Proofread every page of your manuscript carefully before submitting it to ensure there are no missing or misnumbered pages.

Throughout your manuscript, and on any forms you submit, ensure that you have used your full legal name as it appears on official University records. Use the exact name of your degree as it is listed in Section XI, Graduate Degrees Awarded by UC Merced.

All forms required to submit a master's thesis or doctoral dissertation are on the Graduate Division website.

IX. Electronic Doctoral Dissertation and Master's Thesis Submission

UC Merced requires Doctoral students and Master students to submit their dissertation or thesis electronically using the ProQuest Information and Learning Electronic Thesis/Dissertation (ETD) Administrator.

You must have committee approval (title page signed off by committee) before submitting your thesis/dissertation electronically. Students must electronically submit their thesis/dissertation prior to the final exit appointment with the Graduate Division.

Electronic submissions of a 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.

A. General Requirements

1. Submission Format

The manuscript of your dissertation or thesis must be submitted in Adobe PDF/A format and must not exceed 250MB.

The thesis/dissertation must be submitted as a single electronic PDF/A. 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/A file at the [UCM ETD Submission Site](#). When preparing your PDF, be sure to do the following:

- Do not compress the file
- Embed all fonts (further information is provided below related to embedding fonts)
- Make sure there is no password protection on the PDF; do not use encryption
- Do not use digital signatures

The thesis/dissertation must follow all formatting guidelines for submitting an electronic manuscript. Review all instructions on the ETD website prior to submitting your thesis/dissertation.

2. 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 also be submitted electronically, upon approval of your committee. NOTE: The size limit for a single file is 250MB. When you submit your dissertation/thesis PDF along with any supplemental files, the size of all files combined should be less than 250MB.

If the combined size of your dissertation/thesis PDF and any supplemental files exceeds 250MB, follow these instructions:

a) For All Files

- On your CD or DVD, include the following:
 - Your name
 - Your school
 - The title of your dissertation/thesis
 - The ETD submission ID (your submission ID will be sent to you in an email after you submit your dissertation/thesis to ProQuest)
- In ProQuest, go to *Notes* and enter a message explaining that a file that was too large to be uploaded is being submitted separately

b) For dissertation/thesis PDF Files:

- Create and upload a PDF file of just the title page of your dissertation /thesis into your ETD submission
- Copy your dissertation/thesis PDF file along with the information file onto a CD or DVD and deliver it to the Graduate Division

c) For Supplemental Files

- Create a list of your supplemental files (Microsoft Word, Microsoft Excel or text file) that includes:
 - Each supplementary file name
 - A brief description of each supplemental file
- Copy the supplemental files, the list above and the information file onto a CD or DVD and deliver it to the Graduate Division

Review all instructions on the ETD website prior to submitting your thesis/dissertation.

B. Submission Process

- Students will begin by creating an ETD account on [UC Merced's Electronic Thesis and Dissertation \(ETD\) website](#).
- Create a new account or log on to your existing account to submit your manuscript and view/revise an existing submission. If you are submitting a revision, use the revise dissertation link; **do not create a new account**.
- 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: Proquest limits doctoral abstracts to 350 words, and master's abstracts to 150 words) into 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 specified fee. Once

students click on “Submit,” the next page may take a few minutes to load.

- The next page is an optional 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. Once the dissertation/thesis is submitted, students click on “log out.”
- An email confirmation of a successfully submitted electronic doctoral dissertation or master’s thesis will be sent to the student.
- Graduate Division will review the submitted dissertation or master’s thesis to ensure conformity to standards.
- If revisions are necessary, student will receive an email with details regarding requested revisions. The student will then be able to submit the revised manuscript.
- Once dissertation/thesis is approved by Graduate Division, no revisions are allowed. The Graduate Division will submit the approved dissertation or master’s thesis to ProQuest.
- Students will need to submit required corresponding forms to the Graduate Division, Kolligian Library 227, once they have submitted their thesis or dissertations electronically and no later than the posted deadline.
- The final, approved electronic doctoral dissertation or master’s thesis will be sent to the UC Merced Library for archiving and, with student permission, open access publication.

C. Submission Checklists

Available on the Graduate Division’s website:

<http://graduatedivision.ucmerced.edu/forms-publications>

For questions about doctoral dissertation or master’s thesis required forms, students may contact the Graduate Division at (209) 228-4723.

For technical assistance with the ETD site, students may contact: (877) 408-5027

Available 9am-6pm E.S.T. Monday through Friday (excluding U.S. holidays).

For questions about payment or ordering copies:

(800) 5231-0600 ext. 7020

Available 8am-5pm E.S.T. Monday through Friday (excluding U.S. holidays)

Mailing Address:
ProQuest
Customer Service
789 E. Eisenhower Parkway
P.O. Box 1346
Ann Arbor, MI 48106-1346

X. Publishing Your Work Elsewhere and Embargos

Students may elect to formally embargo their thesis/dissertation. This means that your manuscript will be neither cataloged for the UC Merced Libraries collection nor microfilmed until after that time. The approval of the student's dissertation or thesis committee chair is required for embargo requests that are less than or exceed 2 years. The Thesis or Dissertation Release Form must be submitted to the Graduate Division.

XI. Graduate Degrees Awarded

- Cognitive and Information Sciences
- Environmental Systems
- Psychological Sciences
- Quantitative and Systems Biology
- Individual Graduate Program with emphases in:
 - Applied Mathematics
 - Biological Engineering and Small-scale Technologies
 - Electrical Engineering and Computer Science
 - Mechanical Engineering and Applied Mechanics
 - Physics and Chemistry
 - Social and Cognitive Sciences
 - World Cultures

XII. Final Degree and Filing Requirements

Once the student completes the entire online submission process, a verification e-mail will be sent stating the submission has been received and is under review.

Dissertation/thesis must be submitted to UC Merced's ProQuest/UMI website by the posted deadline.

A. Graduate Division Appointment

Students are strongly encouraged to schedule a final appointment with Graduate Division staff. Final appointments will be available up to one week prior to the posted deadline for submission of thesis/dissertation. During this appointment, students will be able to submit the following items to the Graduate Division (KL 227):

- Report on Final Examination for the Ph.D. Degree Form (if required)
- Original Signature Page with committee signatures and other signatures (as appropriate). Faculty names must be typed beneath the signature line – the manuscript submitted electronically (ETD) should include a signature page without signatures
- Abstract
- Thesis Dissertation Release Form (required of ALL students)
- Survey of Earned Doctorates proof of completion
- Confirmation of payment of all required fees
- Request for Letter of Degree Certification (optional)

During this appointment, Graduate Division staff will:

- Verify all required forms are present
- If all required forms are present, forms will be accepted and date stamped
- If any of the required forms are missing, the student will be advised and will be responsible for submitting missing forms by the posted deadline.

Students who do not wish to schedule a final appointment, may submit all required forms to the Graduate Division. Please note that forms submitted without a scheduled final appointment will be received and date stamped, but may not be reviewed immediately upon submission. The timing for review of these documents will be dependent upon staff availability at the time of submission. If any of the required

forms are missing or incomplete, the student will be advised via email. The student is responsible for ensuring all forms are complete and received by the Graduate Division by the posted deadline.

B. UC Merced Library

Library staff will:

- Review ProQuest/UMI ETD submission and publication/embargo options assigned.
- Catalog and archive ETD files. If permission is granted, the ETD will be made openly accessible online at UC eScholarship (<http://escholarship.org/>).

XIII. Your Manuscript After Submission

All approved thesis/dissertation manuscripts completed by UCM students become available for public access and circulation as part of the UC Libraries' collection unless indicated by the student on the Author Agreement Form.

The time needed for thesis/dissertations to be available through ProQuest Information and Learning Dissertation Services varies; allow a minimum of three months for the entire process from submission of your manuscript to the time your manuscript is available for circulation.

XIV. Degree Completion

After completion of all requirements for the degree, 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 semester of degree conferral. If requested by the student, a congratulatory letter from the Graduate Dean is mailed within four weeks of filing their degrees, notifying the student of the degree award.

Transcripts may be ordered from the Office of the Registrar.

XV. Graduate Student Deadlines

Follow the link below:

<http://graduatedivision.ucmerced.edu/current-students/calendar-and-deadlines>

XVI. Appendices

Please note that these sample pages are not to scale.

Appendix A – Title Page (M.S./M.A.)

UNIVERSITY OF CALIFORNIA, MERCED

Title

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

in

Degree Title

by

Full Name

Committee in charge:

Professor <Name>, Chair

Professor <Name>

Professor <Name>

2012

Appendix B – Title Page (Ph.D.)

UNIVERSITY OF CALIFORNIA, MERCED

Title

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

in

Degree Title

by

Full Name

Committee in charge:

Professor <Name>, Chair

Professor <Name>

Professor <Name>

2012

Appendix C - Copyright

Copyright (or ©)

Full Name, 2012

All rights reserved

Appendix D – Signature Page (Ph.D.)

The Dissertation of <Your Full Legal Name> is approved, and it is acceptable
in quality and form for publication on microfilm and electronically:

Co-Chair (if applicable)

Chair

University of California, Merced

2012

Appendix E – Signature Page (M.A./M.S.)

The Thesis of <Your Full Legal Name> is approved, and it is acceptable
in quality and form for publication on microfilm and electronically:

Chair

University of California, Merced

2012