

GUIDELINES FOR PREPARING THESES, DISSERTATIONS, AND MANUSCRIPTS

The submission of your thesis (Masters Degree), dissertation (Doctorate Degree), or Manuscript (DPTSc. Degree) is the final step in the awarding of your degree. The finished dissertation/thesis/manuscript is a scholarly work, the result of a long period of preparation and research. The electronic copy, which you submit to the Graduate Division, is deposited in the Library and becomes an official and permanent record, available for use by other scholars and the public.

Certain common standards for format have been compiled for your reference. Your committee will guide you in the content of your manuscript, and your graduate program may specify certain elements of style.

SUBMITTING THE THESIS / DISSERTATION / MANUSCRIPT

It can be difficult to estimate the time for your thesis / dissertation / manuscript to be read, revised, and approved. You should leave plenty of time to submit work and be aware that faculty may be unavailable during the summer and holidays at the end of the fall quarter. Also, any formatting problems that require revision after your initial upload of the document may delay the approval process and should be planned

Please be aware of the following information as you prepare to submit your dissertation:

Deadlines

The deadline for submitting the thesis or dissertation is the last working day of the quarter. Please see the UCSF Academic Calendar as issued by the Registrar's office for the last day of the academic calendar <http://registrar.ucsf.edu/academic-calendar> or check the Graduate Division website home page for the specific date (especially in the fall quarter when the holidays will greatly impact this date). If you are unable to submit the thesis or dissertation by the deadline, you must either register or go on filing fee status (when applicable) for the next quarter.

In order to be on the degree list, you must either be registered or on filing fee status for the quarter.

The Final Product

Theses, Dissertations and Manuscripts must be submitted online at <http://dissertations.umi.com/ucsf/> (Proquest).

Payment of additional charges to Proquest

There are several options when submitting your thesis/dissertation/manuscript to Proquest – publishing options, copyright services, etc. UCSF covers the cost of the Traditional Publishing option for all students (this is currently charged to UCSF at \$65 for dissertations and manuscripts, and \$55 for theses). If you choose Open Access publishing then you are responsible for the difference between the Traditional Publishing Fee and the Open Access Fee. Likewise, if you choose to have Proquest apply for a copyright on your behalf, then you are responsible for that fee as well. See the Proquest website for more information on publishing options and other options available at: <http://www.etsadmin.com/cgi-bin/main/resources> .

Submission of Your Thesis/Dissertation/Manuscript

This submission will be reviewed by the Graduate Division and must include the following:

- 1) Full PDF copy of your thesis, dissertation, or manuscript with correct pagination.
- 2) First page of the PDF: scanned copy of the title page for your program with the signatures of each committee member.
- 3) Last Page of the PDF: signed library release form.

In addition the following must be completed before the submission can be considered:

- 1) Original Signed title page (Hard copy) – Delivered to the Graduate Division
- 2) Survey of Earned Doctorates (PhD Degree Students Only – Online)

The Title Pages are available on the Graduate Division website at:

<http://graduate.ucsf.edu/content/current-student-forms>

The signed original title page should be delivered or sent to the Graduate Division offices on the Mission Bay Campus (Rutter Center – 3rd Floor, Suite 310) or mailed to us at:

UCSF Graduate Division

Attn: Rick Wyllie

University of California, San Francisco

1675 Owens Street CC310 Box 0523

San Francisco, CA. 94143 – 0523

(If using an overnight service i.e.Fedex, the zip code is 94158)

If sending the signed title page via campus mail, please send to Box 0523

Survey of Earned Doctorates

Completion of a Survey of Earned Doctorates is required before the Graduate Division can accept your dissertation submission. This is done via the NORC website (National Opinion Research Center – National Science Foundation).

The online survey is located via the following link:

<http://survey.norc.org/doctorate>

This is a two part process – first you must register and provide a valid e-mail address, and NORC will send you a confirmation e-mail with your PIN and Password to access your survey.

When registering for the survey, please be sure to use **UC San Francisco** as the Institution Name on the web form.

Complete information on completing the SED online is available at:

<http://graduate.ucsf.edu/files/sed-web-submission-manual>

When the online SED has been completed, you will have the option of entering in two e-mail addresses that the notification of completion will be sent. Please enter:

sed@ucsf.edu

as the Secondary e-mail address so we receive a copy of your notification of completion (you should use your own e-mail address as the Primary address).

WHO TO CONTACT FOR HELP

For information about content, citation style, and specific program requirements contact your thesis/dissertation/manuscript committee and graduate program.

For questions regarding format, deadlines, and online submission:

Graduate Division
<http://graduate.ucsf.edu>
(415) 476-2111
Rick.Wyllie@ucsf.edu

For help creating a PDF and scanning:
UCSF Library Interactive Learning Centers
<http://www.library.ucsf.edu/edtech/ilc/>

GENERAL DOCUMENT SPECIFICATIONS

Margins

Every page of the thesis, dissertation, or manuscript must have a left hand margin of 1½ inches. The margin at the top, right, and bottom should be 1 inch.

Spacing

Double spacing should be used except in those places where conventional usage calls for single spacing such as footnotes, indented quotations, and tables.

Pagination

All pages must be numbered except the title page. Preliminary pages are numbered sequentially using Roman numerals. All other pages are numbered with Arabic numerals. Please be aware of the following information as you format your thesis or dissertation:

The title page counts as page i, but the number does not appear.

Preliminary pages must have lower case Roman numerals, ii, iii, iv, etc.

For the remainder of the manuscript, including the text, illustrations, bibliography, appendices, and library release form use Arabic numerals, 1, 2, 3, 4, etc.

Do not use letter suffixes, such as 21a, 21b.

Orientation and Page Size

All pages in your final document must be in the Portrait orientation – and all pages must be 8.5” X 11” (standard US Letter size). This means that if your document has elements where you have used Landscape orientation (charts, etc. that do not fit in the standard Portrait orientation) those pages in Landscape (11” X 8.5”) must be rotated 90 degrees so that when you scroll through all the pages in your document they are all in the 8.5” X 11” orientation (though the Landscape pages will have their print from bottom to top instead of left to right as the other pages normally are printed). Also – for those pages in Landscape orientation – the page numbers must be in the same location as all other pages in the document once they have been rotated – so when you scroll the pages ALL of them have the same page number location.

Charts, Figures, Illustrations

Images must appear within the required margins at a high enough resolution for printing (300dpi).

Illustrative material should be original drawings in dark, opaque ink. Clear, positive reproductions are also acceptable. Any oversized materials must be reduced to fit within the margin specifications.

Published Material

With the approval of your committee and graduate program, published material may be accepted as part of a thesis or dissertation. The published material must meet all formatting requirements, which may necessitate reduction of the published material.

ARRANGEMENT OF THE DISSERTATION / THESIS / MANUSCRIPT

The dissertation is arranged in two main sections, the preliminary pages and the main body.

Preliminary Pages

Incorrect pagination of the preliminary pages is a common mistake that prevents the Graduate Division from accepting a thesis or dissertation. Again, preliminary pages are numbered with lower case Roman numerals, ii, iii, iv, v, etc.

The preliminary pages are arranged in the following order:

Title Page

Official title pages are available from the Graduate Division website as a PDF. Your name and the graduate program listed on the title page should be as they appear on all official UCSF documents. Your committee members should sign the title page in black ink. The title page is page i, but the page number should not appear at the bottom. Once this page has been signed by your committee you will need to scan it and add it to your dissertation PDF as the first page.

Copyright page or blank page

If you are planning to register your copyright, a statement of copyright must be included on this page. The format should be as follows:

Copyright (year)
by
(Your name as it appears on the title page)

If you are not planning on registering a copyright, this page is blank (except for the page number ii).

Dedication and Acknowledgments Page

You may wish to acknowledge the help and support from particular people during the course of your work. If you are using published material, you may need to include a reference to the publication in which the material originally appeared, co-authors, multiple published papers or copyrighted material.

Abstract

The abstract must be no longer than 350 words. ProQuest information and learning will edit the abstract if it exceeds this limit. The title of your dissertation and your name should appear at the top center of the page. The abstract should include a brief statement of the problem, a description of the methods and procedures used to gather data or study the problem, and a condensed summary of the findings.

Table of Contents (As appropriate)

List of Tables (As appropriate)

List of Figures or Illustrations (As appropriate)

The Main Body of the Manuscript

Text

The main body of the manuscript must begin with Arabic numeral “1” and continue, in sequence, on every page that follows including charts, graphs, illustrations, photographs, bibliography, appendices and library release form.

Notes

Footnotes, citations, and bibliographic references may vary by graduate program. Consult your committee for the footnote style used by your program.

Appendices

This section contains supporting material. You may need to reduce the size of some material to fit within the margins. Appendices must be numbered in consecutive order as part of the main body of the manuscript. For example, if the last page of your text is 101, then the appendix should begin on page 102.

UCSF Library Release

This page is available in the Forms area of the Graduate Division website at:

<http://graduate.ucsf.edu/files/library-release/>

OR you can copy and paste the verbiage below as the last page of your dissertation:

Publishing Agreement

It is the policy of the University to encourage the distribution of all theses, dissertations, and manuscripts. Copies of all UCSF theses, dissertations, and manuscripts will be routed to the library via the Graduate Division. The library will make all theses, dissertations, and manuscripts accessible to the public and will preserve these to the best of their abilities, in perpetuity.

I hereby grant permission to the Graduate Division of the University of California, San Francisco to release copies of my thesis, dissertation, or manuscript to the Campus Library to provide access and preservation, in whole or in part, in perpetuity.

Author Signature

Date

(This page must be signed and dated by the author and include the correct pagination – as the last numbered page number of your document.)

PUBLICATION OF THE THESIS / DISSERTATION / MANUSCRIPT

Once the thesis / dissertation / manuscript has been accepted by the Graduate Division it is submitted for publication to the UCSF Library and to ProQuest/UMI where it will become available to other academic institutions and to the general public.

Effects on Publishing Your Content Elsewhere

The Following is information provided by the Proquest/UMI Guide F2009:

Publishing with UMI® Dissertation Publishing: Effects on publishing your content elsewhere:

The first thing to remember is that YOU own your copyright; unlike most scholarly publishers, ProQuest/UMI does NOT acquire copyright when we publish your dissertation or thesis. You are free to re-publish your work in whole or in part, with whomever you choose without asking our permission.

Some authors are concerned that journals and other publishers will not accept content that has been published in or as a dissertation or thesis. This concern is less valid in the case of peer-reviewed journals, and potentially more valid in the case of commercial book publishers. While every case is unique, here are some general rules of thumb in examining this issue with regard to your own work:

□ In most cases, you will not be submitting your dissertation or thesis *as is* to a peer-reviewed journal (unless it is a journal that publishes a monograph series). Most often, the content submitted for journal publication is an excerpt, chapter, or section of your dissertation or thesis. At the very least, it would be a significantly shorter distillation of your graduate work. The content is likely to be rearranged and reformatted to fit the style of the journal to which you submit. Finally, the content is likely to be revised and updated through the peer-review process and finally the editorial process if it is accepted. All of these processes mean that the material as finally published by a journal is substantively and substantially refined and therefore different from the content that is published as your dissertation or thesis. For this reason, journals are not historically concerned about your content having appeared and been distributed as a published graduate work. This is particularly true in the STEM disciplines (science, technology, engineering, and mathematics).

□ Academic presses, monograph publishers, and commercial presses are more likely to consider your dissertation or thesis as a book. This is more often the case with the humanities, social sciences, and arts. Still, even if not peer-reviewed, the editorial process that turns your graduate work into a book is likely to change it substantially. The key in this consideration is whether the content changes substantively; i.e., is there a real difference in the content that makes the press comfortable with investing its resources in producing a book from your dissertation/thesis. Historically, presses have not been terribly concerned that distribution of your graduate work would harm potential sales as a book. However, as dissertations and theses have become widely available over the internet through libraries, consortia and institutional repositories as well as from our subscription database, more presses may look more carefully at the question of marketability.

Requests for Publishing Embargoes (Delayed Publishing) When Publishing Your Dissertation

Classified or Confidential Material

Occasionally there are special circumstances when a student does not want all or part of the dissertation to be published. Such circumstances may involve disclosure of patent rights before a patent is granted, disclosures of facts about persons or institutions that violate professional ethics regarding protection of confidentiality or other circumstances that would be detrimental to the rights of the author.

In such cases, the Dean of the Graduate Division may permit the entire thesis, dissertation, manuscript or an appendix to be held (aka a Publishing Embargo) for a specified period of time (not longer than 1 year).

All requests for a publishing embargo when filing your dissertation must be made to the Dean of the Graduate Division. This request should come in the form of a letter from your Graduate Advisor, PI, or Chair of your thesis, dissertation, or manuscript committee. Unless there are extreme circumstances, the maximum length of the embargo request should not exceed one year.

Embargoes are usually granted for reasons involving **intellectual property or patent filing issues**. If this is the reason for requesting the embargo, you should provide as much detail as possible as to what is involved and where you are in the patent process, and what needs to be accomplished to complete the patent application or process.

We do not automatically approve embargoes strictly for the purpose of providing additional time to prepare published works, but if there is extenuating circumstances involved (i.e. you are in the patent application process) then this needs to be considered.

Time / Deadline Considerations

All requests for embargoes are evaluated by the Dean of the Graduate Division, and can add some time to the dissertation filing process. This is important to note if you are near the end of the term deadline for filing your dissertation, as waiting for the embargo request to be approved (or the interaction of providing additional details from you or your advisor / thesis chair / dissertation chair) may bring the actual acceptance date of the dissertation past the end of the deadline for that term. This in turn would delay your degree conferral date until the end of the following term (and require that you be re-registered in that following term in order for the dissertation to be accepted).

Copyright

To retain the exclusive right to reproduce, publish, or sell your work you must copyright the material. To copyright your work, you should include a copyright page, which directly follows the title page, and bears the following notice at the center of the page just above the bottom margin.

Copyright (year)
by
(Your name as it appears on the title page)

However, in order to protect your rights in a dispute or to be compensated for damages caused by infringement, you should register your copyright with the Library of Congress. Students may designate UMI to act as their agent in registering the copyright. UMI will file the appropriate forms, pay the fee, and provide a copy to the Library of Congress. If you wish to have UMI register your copyright you may elect to do so during the submission process. You may also register the copyright yourself by paying the registration fee and following the directions provided by the Library of Congress.

GUIDELINES FOR THE USE OF PUBLISHED MATERIALS

Published Materials

With the approval of the thesis, dissertation, manuscript committee and the graduate program, published materials may be accepted as part of the master's thesis, doctoral dissertation, or DPTSc manuscript where:

The publication(s) represents research or scholarship comparable in scope and contribution to the portion of the standard thesis or dissertation it replaces.

The published material is substantially the product of the student's period of study at UCSF and was primarily conducted and written by the student.

An introduction showing the historical development, methods used, and result is required. This may be summarized if already part of the published material.

The usual preliminary pages are required for a thesis, dissertation, or manuscript that includes previously published material. The acknowledgment page of your preliminary pages should include a reference to the publication in which the material originally appeared.

The published material and preliminary pages must meet all formatting requirements for the thesis, dissertation, or manuscript.

Multiple Published Papers

If several papers from the thesis, dissertation, or manuscript have been published they may be used as individual chapters. Conventional thesis, dissertation, or manuscript chapters may be combined with published papers in the thesis, dissertation, or manuscript. Theses, dissertations, or manuscripts at press should be treated as published papers.

Co-Authors

If the published material lists a co-author, and the co-author is the person who directed and supervised the research, then only the student's name is listed as the author in the preliminary pages.

However, the acknowledgment page should state: “The text of this thesis/dissertation/manuscript is a reprint of the material as it appears in _____ (name of publication). The coauthor listed in this publication directed and supervised the research that forms the basis for the dissertation/thesis.”

If the published material lists co-authors other than the research advisor, a statement from the research advisor clarifying what work the student completed should be included in the acknowledgment page. It should also state how the work is comparable to a standard thesis or dissertation.