

# **UCI Thesis and Dissertation Manual**

Manuscript Preparation Procedures for  
Master's Theses and Ph.D. Dissertations

2007-2008

Prepared by:

University Archives, The UC Irvine Libraries and  
Office of Research and Graduate Studies  
University of California, Irvine

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## **Acknowledgments**

We are indebted to similar manuals at UCLA, 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 University Archives, telephone (949) 824-7227 or e-mail to [archives@uci.edu](mailto:archives@uci.edu).

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# **1. Basic Information for the Candidate**

## **1.1. Introduction to Using the Manual**

Congratulations! You are approaching the last step toward attainment of your graduate degree.

Your Master's thesis or Ph.D. dissertation, as the permanent scholarly statement of your research, should be error-free and appropriately prepared for binding and, in the case of dissertations, for microfilming. You are responsible for submitting a manuscript that fits the format described in this manual and is free of spelling and format errors. The University Archives staff will review your manuscript and will not accept it unless it has been appropriately prepared. Once your manuscript has been accepted by the University Archives, no changes to the text or substitution of pages may be made.

The requirements described in this manual apply only to the formatting of your manuscript, not to its scholarly content. UCI's Office of Research and Graduate Studies, the Graduate Council of the Irvine Division of the Academic Senate, and the University Archives have established these criteria and regulations in order to provide all Master's and Ph.D. degree candidates with a uniform presentation format.

It is important that you work with your thesis/dissertation committee and/or your department to develop your manuscript. Be aware that your particular school or discipline's criteria for preparation and submission of manuscripts may vary from this manual. School of the Arts students, for example, are not required to submit their theses to the University Archives, but may do so if they wish to have a copy of their manuscript bound and housed in the UCI Libraries. If an art student does choose to submit to the Archives, their manuscript must conform to the requirements in this manual, except for the signature page.

You and your committee are responsible for ensuring the accuracy of everything in your manuscript. All formatting requirements specified in this manual must be adhered to. Refer to sections 6.5 and 6.6 of the manual for answers to frequently asked questions about thesis/dissertation preparation and submission and an overview of common mistakes to avoid. For all other matters of organization, presentation, and documentation, your manuscript should meet the standards for published journal articles or monographs in your field.

## **1.2. Your Responsibilities as a Candidate**

### **1.2.1. Maintain Your Current Enrollment at UCI**

To maintain your status as a graduate-degree candidate, you must continue your full-time enrollment as a UCI student until your thesis/dissertation has been approved by your faculty committee and accepted by the University Archives. If your student status lapses, so does your candidate status. To maintain your full-time enrollment, you must pay either the quarterly Registration Fee and enroll in a minimum of 12 units or, in certain cases (see section 1.2.3.), pay a Filing Fee.

### **1.2.2. Meet Filing Deadlines**

Deadlines for each option above are published in section 6.4. of this manual and in UCI's quarterly Schedule of Classes. These official deadlines are final, and they usually occur at the end of the tenth week of classes.

The faculty review and/or the defense of your thesis/dissertation must be completed prior to the filing deadline. If you miss the deadline, the formal conferral of your degree will be delayed until (at minimum) the following quarter. The University Archives is not able to approve extensions; only Graduate Studies may approve extensions. The student's department must contact Graduate Studies with this request.

### **1.2.3. Pay the Filing Fee**

You may pay a Filing Fee instead of the regular quarterly Registration Fee if, prior to the beginning of the quarter in which you expect to receive your degree, you have met all degree requirements.

The Filing Fee is half the amount of the Registration Fee. To pay the Filing Fee, you must have the chair of your thesis/dissertation committee sign a "Filing Fee Petition" form, which is available from your department or the Office of Graduate Studies. The form must also be signed by your Department Chair or Graduate Advisor. Students in the Schools of Engineering, Humanities, Social Ecology, and Social Sciences also need their Associate Dean's signature on the petition form.

Once your petition has all the required signatures, take it to the Cashier's Office (228 Administration Building) and pay the Filing Fee by the deadline, and then submit the signed petition to the Office of Graduate Studies (120 Administration).

If you do not receive permission to pay the Filing Fee, you must continue to enroll and pay the full Registration Fee until you have completed all your degree requirements.

### **1.2.4. Follow the Requirements in this Manual**

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 Office of Graduate Studies and the University Archives conduct quarterly workshops on the preparation and filing of theses and dissertations. You are strongly urged to attend; contact the University Archives or the Office of Graduate Studies for the date and time of the next session.

### **1.3. The Role of the University Archives**

Bring your thesis/dissertation, along with the applicable forms (see section 5.), to the University Archives (Langson Library 525), as soon as possible after your committee has approved it.

The Archives staff reviews your manuscript to ensure that:

- The correct type of paper has been used.
- The margins, pagination, and other formatting requirements have been followed.
- All required preliminary pages are present.
- All committee members have signed the manuscript.
- Your graduate degree paperwork is complete.

If there are changes to be made as a result of this review, you must correct them before the University Archives will accept your manuscript. Before you attempt to submit your final manuscript on cotton paper, you may bring a draft to the Archives for a critique. Please see the Special Collections and Archives web site at <http://special.lib.uci.edu> for hours and location of the reading room.

When all is in order, the University Archives will validate your degree paperwork and submit it to the Office of Graduate Studies. Provided that you have met all other school and departmental requirements, you will then become eligible to be awarded your graduate degree.

#### **1.3.1. Your Manuscript After Submission**

All approved thesis/dissertation manuscripts completed by UCI students automatically become available for public access and circulation as part of the UC Irvine Libraries collection. The UC Irvine Libraries retain the original and one copy of your thesis/dissertation manuscript. The copy is bound and shelved in the stacks for public access and circulation. The original becomes part of the University Archives and is not available for circulation. Manuscripts from the "hard" sciences are shelved in the Science Library; all others are shelved in the Langson Library.

Dissertations are published by UMI Dissertation Services (a division of ProQuest Information and Learning Company) or another designated firm approved by UCI that makes dissertations available worldwide through an online index. In addition, abstracts are printed and indexed in Dissertation Abstracts International.

The time needed for microfilming, cataloging, and binding varies; allow a minimum of five months for the entire process from submission of your manuscript to the University Archives to the time your manuscript is available for circulation.

## **2. Preparing Your Manuscript**

### **2.1. Introduction**

Please keep in mind that your thesis/dissertation is part of your individual permanent academic record. It is also part of the permanent record of scholarship and research undertaken by all graduates of UCI, and it will be permanently accessible to the worldwide community of scholars.

Your manuscript must be neat, clean, legible, and error-free when it is submitted to your committee, as well as to the University Archives. The print should be letter quality with dark black characters that are consistently clear and dense. The manuscript that the University Archives approves is considered final; any errors you may discover after the University Archives accepts it can be corrected only when and if you subsequently publish elsewhere.

Because the pages cannot contain lines, smudges, spots, glitches, or shaded backgrounds, some students prefer to use a commercial copy service (copies done on departmental or self-service copy machines are rarely clean enough to meet UCI's quality standard). Many students produce both copies on a laser printer because this method, though more time-consuming, normally provides less problematic results.

Pages must exhibit no visible corrections, strike-overs, crossed-out words or letters, interlineations, or additions inside or outside of the margins. Use of "Liquid Paper," other correction fluids, and type-over correction tape is not allowed.

Use the spell-checker on your word-processing program, but manually proofread your text as well.

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.

### **2.2. Manuscript Sections**

#### **2.2.1. Preliminary Pages Section**

Manuscripts normally are composed of three sequential sections: preliminary pages, text, and references. Consult with your committee about the internal arrangement within the text and reference sections.

For margin and pagination requirements, refer to sections 2.6 and 2.8. The preliminary pages require very specific wording, spacing, and layout. Model your pages after the sample pages in section 6.1. and use the exact wording given there.

Only those pages listed below may be included as part of the preliminary pages section, and they must be placed in the order indicated; no other pages are permitted. All are required except the dedication page and the lists of symbols, etc. (the latter is required if applicable).

### **Title Page**

- Author's name as it appears on official University records.
- The degree earned; use the wording given in section 6.2., Graduate Degrees Awarded by UCI.
- The full name of each committee member.
- The words used in the title of your manuscript are the access points for researchers who may use keyword-searching techniques to identify works in various subject areas. Use word substitutes, not symbols or formulas, to ensure effective retrieval from on-line indexes. Use concise titles containing words descriptive of the work; emphasis should be on nouns, with easily identifiable key words.

### **Copyright Page**

- If you have previously published parts of your manuscript, you must list the copyright holders; see section 3.2.
- If a copyright statement is not being included, insert a blank sheet of 100% cotton paper as a substitute. The University Archives strongly recommends that you include a copyright statement; see section 4, Copyrighting your Manuscript.

### **Signature Page**

- Committee members' signatures in permanent blue or black ink on the original.
- Your committee chair must sign on the designated line.

### **Dedication Page (Optional)**

### **Table of Contents**

- All sections of the manuscript are listed in the table of contents except the title page, the copyright page, the dedication page, and the table of contents. The sections to be included in the table of contents are: lists of symbols, figures, tables, and illustrations, acknowledgments, curriculum vitae, abstract, introduction, each chapter, bibliography, and each appendix.
- Novels and collections of poems are not exempt from the requirement to include a table of contents.

## **List of Symbols, List of Tables, List of Figures, and List of Illustrations**

- Include a separate page/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).

## **Acknowledgments Page**

- 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.
- You may also acknowledge the contributions of professors and friends.

## **Curriculum Vitae (Ph.D.s only)**

- Includes, at minimum, a listing of the author's degrees and educational achievements with dates and the school where the degree was earned.
- Include the degree currently being attained.

## **Abstract**

- Text is double-spaced.
- Includes the title, your 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.
- Contains no more than 250 words for Master's theses or 350 for Ph.D. dissertations.
- Use indent or flush left at the beginning of paragraphs, depending on the style manual you are following. Include a short statement of the problem you studied; a brief exposition of the methods and procedures employed in gathering the data; and a summary of your findings. No graphs, charts, or tables may be included.

### **2.2.2. Text Section**

- Introduction or preface.
- Main body, usually consisting of well-defined subdivisions, i.e., chapters, parts, or their equivalents.
- Conclusion (may be separate or a part of the main body).

### **2.2.3. References Section**

## **Bibliography**

- Format the references or bibliography in the style most commonly used in your academic discipline (including the placement of references at the end of each chapter if necessary).

## **Appendices**

- List each appendix separately in the table of contents.
- Tables, figures, charts, or photos placed at the end of the manuscript form an appendix and should not be listed in a list of figures, list of tables, or list of illustrations in your preliminary pages.

### **2.3. Length and Thickness**

UCI places no limit on the length of your thesis/dissertation. However, the Library's binding process limits thickness to 2.25" maximum. If your manuscript exceeds that thickness, divide it into two volumes of roughly equivalent thickness; make the split between two chapters. For identification purposes, make one exact copy of your title page and table of contents on 100% cotton to include with the second volume.

Remember that your manuscript can be printed only on one side of each manuscript page.

### **2.4. Paper Quality and Size**

For the final version of your thesis/dissertation that will be signed by your committee, you must use 8.5" x 11", 20-24 pound, white, 100% cotton bond paper. This type of paper is readily available at the UCI Bookstore, as well as at most stationery and copy stores. Erasable bond paper, paper with perforated edges (so-called "tractor-fed" paper), and photocopy (xerographic) paper are unacceptable.

#### **2.4.1. Oversized materials**

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; (2) reproduced on a high-quality, high-contrast copying machine and on the same 100% cotton quality paper as required for the text; and (3) the required allowances for margins and page number location requirements are maintained. You may want to consider using multimedia for some such material. (See section 2.11., Electronic and Audiovisual Appendices).

If your material does not lend itself to reduction, or if reduction to an 8.5" x 11" page necessitates more than a 50% reduction in the image size of the text, you may use 11" x 17" paper. The maximum dimensions of pages which may be bound into the manuscript are 17" x 22" (width by length). If only one dimension of a chart or similar material is oversized, the other dimension must conform to the size of a regular typewritten page (8.5" x 11").

If you use oversize pages, they must be folded to the 8.5" x 11" manuscript size with pleat-like folds. In order to avoid its being bound into the spine of the book and therefore not able to be unfolded by the reader, no fold should fall closer than .5" to the left edge of the manuscript.

## 2.5. Selecting a Typeface

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.

Any symbols, equations, figures, drawings, diacritical marks, or lines that cannot be typed, and therefore are drawn, must be added in permanent black ink.

### 2.5.1. Font Size

Each copy of your manuscript made from microfilm will be a photographically reduced version, and the type size will be only two-thirds that of your original. Therefore, it is extremely important that you begin with a type size that is legible.

**All fonts used, including those for sub- and superscripts, must be 10-point or larger.** Recommended sizes are 14-point for chapter headings, 12-point for the main body of text and figure/table titles, and 10-point for footnotes, sub- and super-scripts, and text in figures and tables.

### 2.5.2. Font Selection

Use a clear, standard font that is highly legible and will reproduce clearly. Ornate or decorative fonts such as script, calligraphy, gothic, italics, or specialized art fonts are not acceptable.

If permitted by your committee, you may (1) use italic type for headings, foreign words, book titles, or occasional emphasis, OR (2) you may use bold-faced or underscored type where appropriate such as in the text of headings and table titles/figure captions. Remember to maintain consistency throughout your manuscript when you use any of these styles.

### 2.5.3. Typeface Quality

If your manuscript is word-processed, printer quality is critical to produce a clean, clear image. You are strongly urged to use a laser printer, as ink jet and line printers generally do not produce fully clear, legible results. Dot matrix-type printers are acceptable only if they have 24-pin print capability or higher. If using dot matrix, it would be prudent to ask the University Archives staff to review sample pages, including any charts, tables, graphs, or figures, well in advance of submitting your final manuscript.

## 2.6. Margins

All manuscript text, *excluding manuscript page numbers*, must fit within these specified margin requirements:

- 1.5" from the left edge of the page
- 1" from the top, right, and bottom edges of the page

Computer printers sometimes alter your margin settings; e.g., a setting of 1.5" may result in a slightly narrower margin. Measure sample printed pages with a ruler and adjust your margin settings accordingly.

Tables, figures, graphs, photographs, and appendices are also included in these margin requirements. Materials may be reduced or enlarged, if necessary, to fit within the required margins.

A Caution: Some photocopy machines enlarge the type size from that of the original. Therefore, when typing your manuscript, stay well within the margin requirements. If you plan to photocopy your manuscript onto 100% cotton paper, run a few sample pages first and measure them carefully with a ruler. If they no longer meet the margin requirements, reduce the image size on the photocopier (e.g., to 95%) so that the correct margins are maintained.

## 2.7. Spacing and Layout

Your manuscript must be double-spaced, with the exception of footnotes, bibliographic entries, long quotations, data in lists and tables, and figure/table captions, all of which should be single-spaced.

### 2.7.1. Preliminary Pages

The title page, copyright page, signature page, dedication page (if used), lists of figures, tables, symbols, or illustrations, acknowledgments page, curriculum vitae (Ph.D.s only) and abstract page have specific spacing and layout requirements. Model your pages after the sample pages in section 6.1.

### 2.7.2. Headings

Establish and follow a consistent pattern for layout of all headings. For example: center all major headings; place secondary headings at least two lines below major headings.

### 2.7.3. Long Quotations

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.

## **2.8. Pagination**

Every manuscript page except the title page and the copyright page must be numbered.

### **2.8.1. Preliminary Pages**

Number the preliminary pages at the bottom center of the page, in lower-case Roman numerals. The title page is counted in determining the total number of pages in this section but is NOT numbered. The copyright page is not counted or numbered; thus, numbering begins with Roman numeral "ii" on the signature page. The subsequent pages are then numbered consecutively through the end of the abstract.

### **2.8.2. Text Section**

Use Arabic numerals for all pages of the text section. Depending upon the structure of your manuscript, its preface, introduction, or Chapter 1 will be Arabic page 1. Number the subsequent pages consecutively to the end of your manuscript including any appendices and the bibliography. Dashes, periods, underlining, and letter suffixes (e.g., 10a, 10b) are not permitted before, after, or under your page numbers.

You may choose one of two pagination styles for the text and reference sections of the manuscript.

- A. Number all the pages at the bottom center of each page.
- B. Number the first page of each section at the bottom center and all remaining pages of that section in the upper right corner. (The sections are the introduction, each chapter, the bibliography, and each appendix. Endnotes are considered part of their chapter, and not a separate section.)

Check each page before submitting your manuscript to the University Archives to ensure that there are no missing or misnumbered pages.

Page numbers may be manually typed in a different typeface than that used for the text if, for example, it is not possible for your word processing software to place the number correctly, such as when using a landscape-positioned graphic or photographic papers as full pages.

## **2.9. Figures and Illustrations**

### **2.9.1. Captions and Numbering**

Place table numbers and titles above each table, and figure numbers and legends below each figure; if you choose a different pattern, 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 (see section 2.2.1., Preliminary Pages Section).

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.

### **2.9.2. Photographs and Other Illustrations**

Photographs used as pages of the manuscript must conform to the established page size and margin requirements. Light-weight photographic papers are strongly recommended; medium-weight photographic paper may be used if no alternative is available.

Alternatively, photographs printed on photographic paper (no heavier than medium weight) may be mounted with 3M Positional Mounting Tissue/Adhesive or a spray mount (3M Photo Mount or "Perma Mount"), available from photography stores. Mount photographs on the same 100% cotton paper used for the rest of your manuscript. Material may not be attached using paper clips, staples, adhesive tape (single- or double-sided), or ordinary glue.

Computer-generated photographic pages or photocopied photographic pages produced with a high-quality, high-contrast copy machine (in either black-and-white or color) are acceptable alternatives to photographs. Use the same 100% cotton paper used for the rest of your manuscript, if possible.

For doctoral dissertations, high-contrast black-and-white photographs are recommended, as they produce the best results on microfilm. While color photographs may be used, they will be microfilmed in black and white and are likely to have insufficient contrast to be fully legible on microfilm.

### **2.9.3. 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.

## **2.10. 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.

## **2.11. Electronic and Audiovisual Appendices**

Although you may not submit your thesis/dissertation entirely in electronic or audiovisual form, electronic or audiovisual data may be included as appendices. Your committee should agree that the information contained in the appendices is of such a character that a medium other than paper is necessary. The following media may be utilized:

- Audiovisual material, such as, slides, videotape, videodisk, compact disk, cassette tape, or audiotape.
- Electronic files, such as floppy disk or compact disk.

When including such media as part of your manuscript, you must submit two copies, each in its own cover or case.

For electronic files, you must also provide sufficient information to enable a reader to select the proper equipment on which to access your data. Instructions must be included in your thesis/dissertation in the section discussing the data and how to use it, and must include the following information:

- The minimum hardware on which the file will run
- Software requirements
- Operating system
- Amount of memory required
- Any required or recommended peripherals

Include the electronic or audiovisual appendix in your table of contents. For identification purposes, the label affixed to the media covers or cases must include the following information:

- Your name
- Thesis/dissertation title
- Degree title, followed by the year earned
- University of California, Irvine
- Section/chapter of manuscript (e.g. Appendix I)

## **2.12. Style Manuals**

In most instances, your academic department or discipline should be your guide regarding the style guide most applicable to your thesis/dissertation. You should select the style manual that is most commonly used in your field of study, and you should follow it consistently.

If your department has not designated a style manual, those listed below may be helpful. They are the standards for various broad disciplines and are available in the UCI Libraries and the UCI Bookstore.

- ***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 a sentence.

### **3. Using Copyrighted Material**

#### **3.1. 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 maps, charts, statistical tables, or other illustrative materials.

### **3.1.1. How to Acknowledge Use of Material by Other Authors**

#### **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 "UMI may supply single copies on demand," must be submitted to the University Archives along with your manuscript.

#### **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.

#### **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).

## **3.2. Incorporating Your Own Previously Published Work (Copyright held by another)**

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

### **3.2.1. 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 UCI. 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

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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 "UMI may supply single copies on demand," must be submitted to the University Archives along with your manuscript.

#### **Acknowledgments Page**

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#### **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 is one or more co-authors other than your research director, be sure to include these names in your acknowledgements page citation.

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

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

Example:

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

### **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).

### **3.3. 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.

## **4. Copyrighting Your Manuscript**

### **4.1. 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.

### **4.2. 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. 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:

- 1.The symbol © (the letter in a circle), or the word "Copyright"
- 2.The year of publication (i.e., the year in which you are filing your manuscript)
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Example: © 2007 John Doe

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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. You can register your copyright at any time within its term.

If you are submitting a Ph.D. dissertation, you may have the copyright registered for you by UMI Dissertation Services (a division of ProQuest Information and Learning Company). To do this, submit the UMI form and required fee (certified check or money order- UMI does not accept personal checks) to the University Archives when you submit your manuscript. UMI will register your copyright and submit your manuscript to the Library of Congress.

To register your copyright yourself, refer to section 6.3., Important Contacts.

## **5. Submitting Your Manuscript to University Archives**

### **5.1. Introduction**

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 6.2., Graduate Degrees Awarded by UCI.

All forms required to submit a master's thesis are online and available in section 5.2 of the manual.

All forms required to submit a doctoral dissertation are online and available in section 5.3 of the manual.

## **5.2. Master's Thesis Submission Checklist:**

Follow the link below.

<http://www.lib.uci.edu/libraries/collections/special/thesis/td5.html#5.2>

## **5.3. Ph.D. Dissertation Submission Checklist:**

Follow the link below.

<http://www.lib.uci.edu/libraries/collections/special/thesis/td5.html#5.3>

## **5.4. Publishing Your Work Elsewhere**

If you plan to publish your work elsewhere, the University Archives will withhold your manuscript for a period of up to six months from your date of submission. This means that your manuscript will be neither cataloged for the UC Irvine Libraries collection nor sent to UMI for microfilming until after that time. A written request to the University Archives must accompany your manuscript containing the following information:

1. A statement that you wish the University Archives to withhold your manuscript from circulation
2. The length of time for which you wish the manuscript to be withheld (six months or less)
3. Your signature

UCI Graduate Division policy no longer allows Ph.D. candidates to delay microfilming of their dissertations for more than six months by filing a Publish Abstract Only Agreement.

## **6. Appendices**

### **6.1. Sample Preliminary Pages**

The formatting of your preliminary pages should resemble that of the following samples. Please note that these sample pages are not to scale (i.e. the page size is less than 8.5"x11" and the margins are less than 1.5" on the left and 1" on the top, right, and bottom).

### 6.1.1. Sample Title Page (Master's Thesis)

UNIVERSITY OF CALIFORNIA,  
IRVINE

Belief Revision and Machine Discovery

THESIS

submitted in partial satisfaction of the requirements  
for the degree of

MASTER OF ARTS

in Social Ecology

by

Peter Myrmey Anteater

Thesis Committee:  
Professor Godfrey-Sykes Irvine, Chair  
Professor M. Chaphaga Tridactyla  
Professor Marmaduke Orange

2008

**6.1.2. Sample Title Page (Ph.D. Dissertation)**

UNIVERSITY OF CALIFORNIA,  
IRVINE

Belief Revision and Machine Discovery

DISSERTATION

submitted in partial satisfaction of the requirements  
for the degree of

DOCTOR OF PHILOSOPHY

in Social Ecology

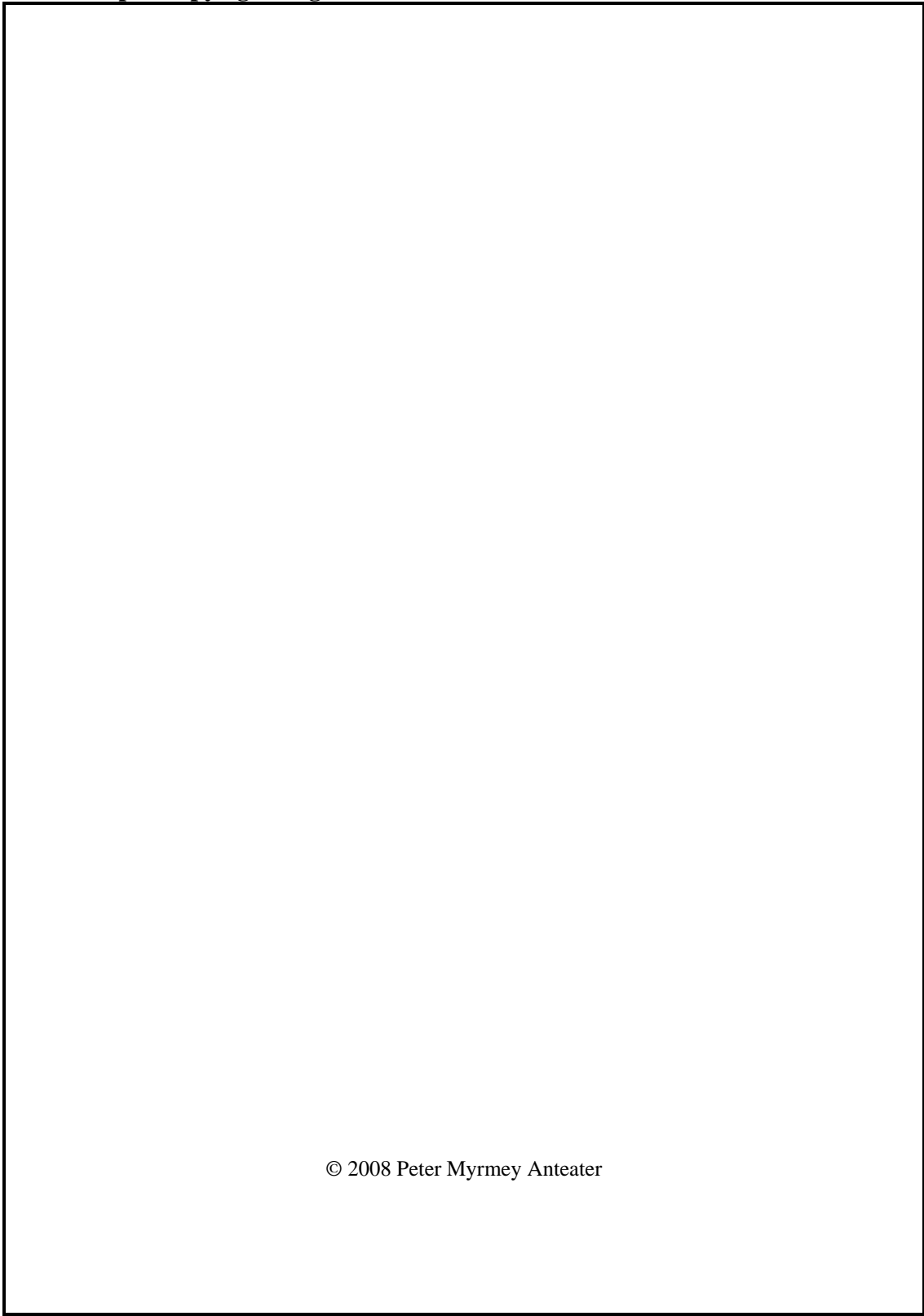
by

Peter Myrmey Anteater

Dissertation Committee:  
Professor Godfrey-Sykes Irvine, Chair  
Professor M. Chaphaga Tridactyla  
Professor Marmaduke Orange

2008

### 6.1.3. Sample Copyright Page



© 2008 Peter Myrmey Anteater

#### 6.1.4. Sample Copyright Page (Pre-published materials)

Chapter 4 © 2003 Springer-Verlag  
Portion of Chapter 5 © 1999 John Wiley & Sons, Inc.  
All other materials © 2008 Peter Myrmev Anteater

**6.1.5 Sample Signature Page (Master's Thesis)**

The thesis of Peter Myrmey Anteater is approved:

---

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---

Committee Chair

University of California, Irvine  
2008

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**6.1.6 Sample Signature Page (Ph.D. Dissertation)**

The dissertation of Peter Myrmey Anteater  
is approved and is acceptable in quality and form for  
publication on microfilm and in digital formats:

---

---

---

Committee Chair

University of California, Irvine  
2008

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### 6.1.7. Sample Dedication Page (Optional)

#### DEDICATION

To

my parents and friends

in recognition of their worth

an apology

A feeling bears on itself the scars of its birth; it recollects as a  
subjective  
emotion its struggle for existence;  
it retains the impress of what might have been, but is not.

Alfred North Whitehead  
*Process and Reality*

and hope

If the fool would persist in his folly he would become wise.

William Blake  
"Proverbs of Hell"

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### 6.1.8. Sample Table of Contents (Master's Thesis)

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	Procedure	120
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	Radiation Pressure Coefficient	190
	Experimental Uncertainties	205
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## 6.1.12. Sample Acknowledgements Page

### ACKNOWLEDGEMENTS

I would like to express the deepest appreciation to my committee chair, Professor Godfrey-Sykes Irvine, who has the attitude and the substance of a genius: he continually and convincingly conveyed a spirit of adventure in regard to research and scholarship, and an excitement in regard to teaching. Without his guidance and persistent help this dissertation would not have been possible.

I would like to thank my committee members, Professor M. Chaphaga Tridactyla and Professor Marmaduke Orange, whose work demonstrated to me that concern for global affairs supported by an “engagement” in comparative literature and modern technology should always transcend academia and provide a quest for our times.

In addition, a thank you to Professor V. Milicic of Western University, who introduced me to Linguistics, and whose enthusiasm for the “underlying structures” had lasting effect.

I thank the University of Chicago Press for permission to include copyrighted photographs as part of my thesis/dissertation. I also thank Springer Verlag for permission to include Chapter Five of my dissertation, which was originally published in Linguistics Journal. Financial support was provided by the University of California, Irvine, NSF Grant DEB-8227052 and a MacArthur predoctoral fellowship in International Peace and Security granted by the Social Science Research Council.

### 6.1.13. Sample Curriculum Vitae (Ph.D.s only)

## CURRICULUM VITAE

### Peter Myrmey Anteater

1992	B.A. in Comparative Culture, University of California, Irvine
1992-93	Peace Corp, Ethiopia
1993-95	Research Assistant, Program in Social Relations, University of California, Irvine
1995-97	Research Assistant, Program in Global Peace and Conflict Studies, University of California, Irvine
1997	M.A. in Social Ecology, University of California, Irvine
1997-98	Teaching Assistant, Graduate School of Management, University of California, Irvine
1998	M.B.A., University of California, Irvine
2008	Ph.D. in Information and Computer Science, University of California, Irvine

## FIELD OF STUDY

Human Factors in the Global Marketplace

## PUBLICATIONS

“The Effects of Task Uncertainty upon Ling Multiplicity for High and Low Performing Project Groups.” Marmaduke Orange, ed. The Global Task Force. Chicago: University of Chicago Press, 1996.

#### 6.1.14. Sample Abstract of the Thesis

### **ABSTRACT OF THE THESIS**

Belief Revision and Machine Discovery

By

Peter Myrmey Anteater

Master of Arts in Social Ecology

University of California, Irvine, 2008

Professor Godfrey-Sykes Irvine, Chair

[The text of the abstract begins here. The text must be double-spaced and may contain a maximum of 250 words. Use indent or flush left at the beginning of paragraphs, depending on the style manual you are following. Include a short statement of the problem you studied; a brief exposition of the methods and procedures employed in gathering the data; and a summary of your findings. No graphs, charts, or tables may be included.]

### 6.1.15. Sample Abstract of the Dissertation

#### **ABSTRACT OF THE DISSERTATION**

Belief Revision and Machine Discovery

By

Peter Myrmev Anteater

Doctor of Philosophy in Social Ecology

University of California, Irvine, 2008

Professor Godfrey-Sykes Irvine, Chair

[The text of the abstract begins here. The text must be double-spaced and may contain a maximum of 350 words. Use indent or flush left at the beginning of paragraphs, depending on the style manual you are following. Include a short statement of the problem you studied; a brief exposition of the methods and procedures employed in gathering the data; and a summary of your findings. No graphs, charts, or tables may be included.]

## **6.2. Graduate Degrees Awarded by UCI**

Follow the link below for a list of the graduate degrees awarded by UCI during the current academic year. You must use this wording everywhere that your degree name appears in your manuscript.

Web site: [http://www.rgs.uci.edu/grad/academic/degrees\\_offered.htm](http://www.rgs.uci.edu/grad/academic/degrees_offered.htm)

## **6.3. Important Contacts**

### **Manuscript submission**

Special Collections and Archives Reading Room

Langson Library 525

Academic year hours: 10 a.m. - 6 p.m., Monday - Friday, 1-5 p.m., Saturday

Summer and intersession hours: 1-5 p.m., Monday - Friday

Telephone: (949) 824-7227

E-mail: [archives@uci.edu](mailto:archives@uci.edu)

### **Academic requirements, submission deadlines, and certification of attainment of degree**

Office of Research and Graduate Studies

120 Administration Building

Telephone: (949) 824-4611

<http://www.rgs.uci.edu/grad/>

E-mail: [ogs@uci.edu](mailto:ogs@uci.edu)

### **Diplomas**

Registrar's office

215 Administration Building (hours: 8 a.m. - 5 p.m., Monday - Friday)

Telephone: (949) 824-6124

Web site: <http://www.reg.uci.edu/>

### **Computer word processing information**

UCI Computer Store

UCI Student Center

Telephone: (949) 824-4266

Web site: <http://www.computerstore.uci.edu/>

UCI Network and Academic Computing Services

E2130 Engineering Gateway Building

Telephone: (949) 824-6116

Web site: <http://www.nacs.uci.edu/>

## **Copyright and publication information and forms**

Copyright Office

Library of Congress

Washington, D.C. 20559-6000

Telephone: (202) 707-3000

Web site: <http://lcweb.loc.gov/copyright/>

ProQuest Information and Learning Company (formerly Bell & Howell)

Dissertation Services

789 E. Eisenhower Pkwy

P.O. Box 1346

Ann Arbor, MI 48106-1346

Telephone: (800) 521-0600

Web site: <http://www.il.proquest.com>

## **6.4. Graduate Student Deadlines**

Available at [http://www.rgs.uci.edu/grad/students/forms/filing\\_deadlines.pdf](http://www.rgs.uci.edu/grad/students/forms/filing_deadlines.pdf)

**\*Dates are subject to change.**

## **6.5. Thesis and Dissertation Frequently Asked Questions (FAQ)**

### **ACCESS TO UNIVERSITY ARCHIVES**

#### *1. Where are you located?*

Room 525 of UCI's Langson Library. Take the north elevators (near the Loan Desk) to the 5<sup>th</sup> floor and enter the door to the Special Collections and Archives Reading Room.

#### *2. When are you open?*

During the academic quarter we are open 10:00 a.m.-6:00 p.m. Monday-Friday and 1:00-5:00 p.m. Saturday. During summer and intersessions we are open 1:00-5:00 p.m. Monday-Friday. We are closed on all University holidays.

#### *3. Do I need an appointment?*

No, not if you come in during our open hours. However, if the only time you can come in is 8:30-10:00 a.m. Monday-Friday, you must call ahead to make an appointment.

## FORMATTING REQUIREMENTS

4. *What are the formatting requirements for my thesis/dissertation? Is an online template available?*

Follow the instructions in the *UCI Thesis and Dissertation Manual*, located on the Web at <http://www.lib.uci.edu/libraries/collections/special/thesis/tdmanual.html>. No template is available. Please note that the *Manual* will answer most, if not all, the questions you may have about formatting your thesis/dissertation.

5. *Can I use a manual from another UC?*

No, you must use UCI's manual.

6. *Can I use an old version of UCI's manual?*

No, you must use the current *Manual*. Policies and procedures change over time.

7. *What type of paper must I use? Is a watermark acceptable?*

100% cotton paper, as specified in the *Manual*. Most such paper carries a watermark, which says "100% cotton" as part of its text.

8. *How do I determine the correct name of my degree?*

The degrees awarded by UCI are listed in the latest *UCI General Catalogue*, as well as in the *Manual*. Use the exact wording specified for your degree. Note that the name of your degree may not match the name of your department.

9. *What are the margin requirements?*

1.5 inches at the left margin, and 1 inch at the right, top, and bottom margins. You *must* adhere to these margin requirements, which are established to allow binding and/or microfilming of your T/D without loss of information. Be sure to measure each section with a ruler; don't rely on the margins setting of your word processing software without verifying the results on a printout.

10. *What is the correct spacing of the preliminary pages? How many blank lines should I use between sections?*

Consult the samples at the end of the *Manual*. Although there is no strict spacing requirement for most of these pages, the end result should generally look like the samples. Note that the margin requirements also pertain to the preliminary pages.

## DEADLINES

11. *What are the submission deadlines for upcoming academic quarters?*

Available at [http://www.rgs.uci.edu/grad/students/forms/filing\\_deadlines.pdf](http://www.rgs.uci.edu/grad/students/forms/filing_deadlines.pdf)

**\*Dates are subject to change.**

12. *Is it possible to obtain an extension to the submission deadline?*

The University Archives is not able to approve extensions; only Graduate Studies may approve extensions. The student's department must contact Graduate Studies with this request.

13. *What is the final day to turn in my thesis/dissertation without paying fees for the following quarter?*

The "drop-dead" deadline changes from quarter to quarter; sometimes it is only a few days after the initial submission deadline, other times it is as much as several weeks later. In general, the "drop-dead" deadline falls on the day before the official start of the following quarter. Note that for any manuscript submitted after the initial submission deadline, the degree is awarded for the *following* academic quarter. It therefore is not necessary to obtain an extension in order to submit by this date.

#### **CRITIQUE/SUBMISSION PROCEDURES**

14. *Is a critique of my thesis/dissertation required prior to bringing the full manuscript in for submission?*

No, but it is strongly advisable, or you may find yourself in the position of having to go back and revise portions of your thesis/dissertation when you come in to submit the final manuscript.

15. *Do I need to bring a complete copy of my thesis/dissertation if I come in for a critique?*

No, but you should at least bring the preliminary pages and a chapter or two, plus any figures or tables about which you may have questions. These samples may be on any type of paper.

16. *How long does a critique or a submission take?*

Usually no more than 10 minutes, depending on your questions and how carefully you have followed the *Manual*.

17. *Do I have to submit my thesis/dissertation myself?*

No, anyone can bring it in for you, or you can choose to mail it to the University Archives (UC Irvine, attn: Special Collections and Archives, P.O. Box 19557, Irvine CA 92623-9557). Be sure to provide a telephone number or email address where you can be reached in case we determine that any changes are necessary, or if you wish to be notified whether your manuscript is acceptable. Note that you are responsible for making any necessary changes before the Archives staff will sign off on your submission. Your submission is not complete until we have signed off.

18. *Do I have to pay any fees when I submit my thesis/dissertation?*

No fees are *required*, but if you are including a form authorizing ProQuest Information and Learning Company to apply for registration of your copyright, you must include the fee specified on that form (currently \$65.00) in the form of a money order or certified

check payable to PQIL. If you are ordering copies of your manuscript through UMI, you must include a money order, certified check, or credit card information.

19. *Where do I obtain the necessary forms to accompany my thesis/dissertation?*

The forms for a master's thesis are online in section 5.2 of the manual. The forms for a doctor dissertation are online in section 5.3 of the manual.

20. *I'm a student in the School of the Arts. Can I submit my thesis to you even if it's not required?*

Yes, if you would like to have a copy of your manuscript bound and housed in the UCI Libraries collection you may submit your thesis to the University Archives. You must follow the formatting guidelines in this manual; however, the formatting of your signature page should follow your School's guidelines for the Report of a Thesis page.

21. *What materials must I submit to Archives?*

See the cover checklist attached to your forms packet, or refer to section 5 of the *Manual*.

22. *How can I get bound copies of my thesis/dissertation for my department or myself?*

The Libraries binds one of the copies you submit to the Archives to put in the circulating stacks, and sends the master copy to safe storage. Staff in the Archives arranges for this binding once you submit your manuscript. If you want a personal copy of your manuscript bound, contact Tom Savickas in the Library's Preservation Department at (949) 824-3708 for additional information.

For Ph.D. dissertations, you may order copies from ProQuest Information and Learning Company at a reduced rate available only at the time of initial publication. The order form is included in your UMI forms packet. These copies are made from the microfilmed copy of your manuscript and are approximately 2/3 the size of the original text.

## **6.6 Points to Double Check- Avoid these Common Mistakes!**

Below are some problem areas where errors often occur--double check your manuscript to make sure that you do not fall into these common traps. Remember the following points:

- Your name, degree name, manuscript title, and year must be the same throughout the thesis/dissertation--especially, check to make sure that the information on your title page matches the abstract.
- The copyright page should not have a page number.
- The signature page is number ii.
- Your committee chair must sign on the designated line.
- The Table of Contents begins with the List of Figures or Acknowledgments and does NOT include the Table of Contents itself.
- The Curriculum Vitae must include the degree for which you are a currently a candidate.
- Both copies of your manuscript must be printed on 20-24 pound, 100% cotton paper.

- For dissertations, your committee members must sign the Ph.D. Form II.
- Personal checks are not acceptable as payment for dissertation copies or copyright registration.
- Make sure your margins are correct! 1.5” on the left and 1” on the right, top, and bottom. Do not depend on your software’s margin estimates--check your margins with a ruler.

Before submitting the final version of your thesis/dissertation to the University Archives, we strongly recommend that you bring a copy of your manuscript for us to review. A pre-submission critique takes only a few minutes and can save you valuable time and money.