

# Policies and Procedures for Thesis and Dissertation Preparation and Filing



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Revised: January 2011

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## INTRODUCTION

The submission of a thesis or dissertation is the last step in a program leading to the award of a graduate degree. The manuscript is a scholarly statement of the results of the student's research and related preparation. It is made available for public use in the University Library, microfilmed for archival.

The UNIVERSIDAD AZTECA Graduate Division and the Theses and Dissertations Office established this policy and procedure for uniformity in the physical format of the manuscript. The student's faculty committee supervises the intellectual content and may specify certain aspects of style, such as footnote style and placement, and the manner in which references are cited and listed. Students are urged to consult with their chairs regarding style preferences early in the preparation of the manuscript.

The regulations included here supersede any style manual instructions regarding format. Format includes manuscript arrangement, organization of specific preliminary pages, spacing, typeface, margins, page number order, page number placement, and the requirement for permission to reproduce copyrighted material. A student should not use theses or Dissertations previously filed or past UNIVERSIDAD AZTECA regulations for format examples because changes are made periodically, and candidates are responsible for following the requirements in effect when the manuscript is filed.

The Graduate Council, in general, does not endorse classified or confidential research in the University. In instances where this is approved, the end result must be an academically acceptable thesis or dissertation that can be deposited at the University in an unclassified version.

Questions that arise in the preparation of final manuscript copies, but which are not covered in this publication, may be discussed with the theses and dissertations advisor. Early consultation with the theses and dissertations advisor is particularly helpful if, after a student reads the regulations carefully, the student has questions about special material or about the need for permission to reproduce copyrighted material.

Orientation meetings on the preparation and filing of theses and dissertations are normally held the first week of classes each regular academic term (not during summer). Students are encouraged to attend these meetings.

## Chapter I

### MANUSCRIPT CONSTRUCTION: TYPING, ILLUSTRATIONS AND REPRODUCTION

#### A. MATERIALS

##### *Paper*

The two manuscript copies submitted to the Theses and Dissertations Office may be either photocopies or printouts.

The paper used for the copies must be at least 20-pound, **25% white cotton** bond. This is not special or unusual paper; it is available at many campus bookstores. Higher cotton content (50% or more) and heavier weight papers (e.g., 24-pound, **25% white cotton** bond) are also acceptable. Standard xerographic bond is not acceptable.

##### *Bond for Oversize Pages*

Bond measuring 11 x 17 inches may be used in preparing oversize pages (*see Oversize Material to Be Folded*).

##### *Graph Paper*

Drawings, text, and gridlines must be kept within the UNIVERSIDAD AZTECA required margins. The gridlines on blue grid tracing paper usually do not reproduce; green gridlines reproduce lightly, and red gridlines reproduce as dark lines. Visible gridlines are acceptable.

#### B. PREPARING THE ORIGINAL COPY

##### *Appearance*

The manuscript must be computer typed, neat in appearance, and without error. Strikeovers, handwritten corrections, or interlineations are not accepted. Corrections may be made on the *original* manuscript only (not on the copy being submitted for filing). Any process may be used (fluid, tape, eraser) that will not reproduce. The manuscript can be printed on only one side of each page. Music composition on heavyweight paper is the only thesis or dissertation submission where both sides of a page may be used.

##### *Typeface*

**SIZE.** The University does not require an absolute character and space count per inch of text because many manuscripts are now produced using laser printers with proportional spacing and letters. For the basic manuscript text, most fonts in 12-point or *larger* should be acceptable. Ten-point or smaller type *cannot be used* for the basic text.

Fonts vary in size depending on the software used. The decision of the theses and dissertations advisor is final concerning acceptable fonts and type sizes.

**CAPTIONS AND FOOTNOTES** Type sizes may be smaller for footnotes, captions, and for information in figures and tables. Ten-point is a good standard type size for print outside of the basic text.

**FONT** Only nonitalic type fonts may be used for the core manuscript text. A student who has any questions about a type font should bring in a sample of the type to the Theses and Dissertations Office for approval. The *Times* font in 12-point is a standard type and size that can be used as a rule of thumb.

**ITALICS** may be used for headings, labels, foreign words, book titles or occasional emphasis. The use of underlining and bold face in the text of headings and titles is at the discretion of the student's committee.

### ***Non-typed Material***

Signatures on the signature page (page ii of the preliminary pages of the manuscript) and other non-typed matter, such as line drawings, handwritten symbols, formulae, and diacritical marks should be in black ink for clear reproduction.

### ***Spacing***

Unless otherwise noted the manuscript must be double-spaced throughout. Acceptable double spacing means no more than 3 type lines and 3 space lines per vertical inch of text, i.e., 6 lines per inch maximum.

Footnotes, bibliographic entries, long quoted passages, figure and table captions, and items in lists and tables may be single-spaced. If individual footnote or bibliographic entries are single-spaced, there must be double-spacing between entries. The layout for these pages must be followed carefully as departures from the standard format are not acceptable.

## ***FORMATTING THE MANUSCRIPT***

### ***Margins***

NOTE: Copy machines may shift text on a page. Therefore the following are **minimum** margins. The student may set larger margins but must be sure that the final text lies well within these guidelines.

**LEFT** = 1.5" (this margin is wide for binding requirements)

**TOP LINE OF TYPE** = 1" from top of paper

**RIGHT** = 1"

**BOTTOM LINE OF TYPE** = 1.5" from bottom of paper

**FOOTER MARGIN FOR PAGE NUMBER** = .75" from bottom of paper

Aside from page numbers, all other manuscript material must fit within these margin requirements (including tables, figures, and graphs). When oversized pages are used, the same margin measurements are maintained.

### ***Manuscript and Figure Layout***

Especially note that a bibliography is always the last section of a manuscript. The last page of a manuscript should be the last page of the bibliography. In some cases students choose to have a bibliography for each individual chapter of the manuscript, that bibliography must be the last pages of the chapter: All figures, tables, appendices, etc., come **before** the bibliography. Students following this style must remember to list each chapter's bibliography in the Table of Contents with the appropriate page number.

All other questions regarding the layout of the manuscript — how to subdivide chapters, whether to center a heading, whether to use bold in a title, where to place footnotes, figures, or tables, etc., or what footnote or reference format to use — come under the rubric of "text" and are decided by the student's committee chair.

No matter where figures or tables are placed, the student should not include the printer's instruction "place Table X here" in brackets in the text. The student should remember that there is no printer to "place" the table, so such instructions are not necessary.

For questions about table and figure layout, the student should consult the chair or bring in samples to the theses and dissertations adviser.

### ***Using Reprints or Versions of Manuscripts in Preparation as Dissertation Chapters***

If students use an actual **reprint** of a *published article*, i.e., a copy of the article as it appears in a journal, as a chapter of the manuscript, the student must reduce the article to fit the UNIVERSIDAD AZTECA margin requirements, remove the original page numbers and paginate the article appropriately, and request permission from the article's

publisher to include the article in the manuscript. In most cases the article has been copyrighted, and the student must request permission to reprint it even if the student is an author.

If students do not use a reprint, then they may be using a **VERSION** of an article that may have been published or submitted for publication or in preparation for submission. If this is the case, then the student must remove all of the heading material—the addresses of the authors, grant numbers, journal addresses, etc., — from the source manuscript before using the material as a chapter of the dissertation. All Figures and Tables in the chapters must be numbered consecutively, i.e., 1-x or according to chapter, i.e., 1-1, 2-1, etc. A Figure or Table number cannot be repeated. The only exception is if the student is using a reprint; we do not require students to renumber Figures or Tables in reprints.

Also, if the source manuscript of a chapter had individual acknowledgements, these must be deleted from the chapter and added to the general dissertation Acknowledgements at the front of the manuscript.

### ***Page Numbers***

Page numbers must be centered to the text, not the paper, must be at least .75” from the bottom of the paper, and must not be closer than .75” to the last line of type (in other words halfway between the bottom of the paper and the last line of type). Most word processing programs have a page numbering default that sets the number too close to the last line of type for UNIVERSIDAD AZTECA requirements. If this is the case, the student must paginate the manuscript using the Footer margin of the program (instructions are in the manual for the word processing program).

### ***Pagination***

Every sheet of paper in the manuscript must be numbered except for two: the title page is counted but not numbered, and the copyright page (or blank page, if the copyright is not registered) is neither counted nor numbered.

**ROMAN NUMERALS** are used for the preliminary pages (title page through last abstract page). Because the title page is counted but not numbered, “ii” is the first number used and appears on the signature page.

**ARABIC NUMERALS** are used for all pages following the last page of the abstract. The next sheet of paper in the manuscript following the last abstract page, no matter what is printed there, is numbered “1” and so on to the last sheet of paper. If material appears on paper (e.g., appendices, facing pages, tables, figures), the piece of paper is a page and must be counted and numbered. If the student has a piece of paper in the manuscript and it comes after the abstract, it is a page; if it does not have a number, then the student has made a mistake. Correct pagination — no missing pages, no duplicate numbers or pages — is required for the manuscript to be acceptable. If the student has *any* questions about this issue, the student should not guess, refer to old manuscripts, or ask anyone for assistance other than the theses and dissertations advisor who is available by e-mail or telephone at the Campus or Office of International Programmes. [international@universidadazteca.edu.mx](mailto:international@universidadazteca.edu.mx)

## **C. COPIES SUBMITTED FOR FILING**

The student is required to submit **two** copies of the manuscript for filing. The submitted copies of the manuscript, whether computer-printed or photocopied, must conform to paper, margin, and pagination requirements as stated in this manual. Note: Photocopying may shift the image; the student must be sure that the margins used on the original will still correspond to margin requirements on any photocopies. Submitted copies must be neat, clean, and legible. Copies with postcopy corrections cannot be accepted.

### ***Computer Printers***

Only letter quality computer printing is acceptable. If the student has any questions about copies or printers, the student should present a sample of the final product to the Theses and Dissertations Office for approval at [international@universidadazteca.edu.mx](mailto:international@universidadazteca.edu.mx)

## **D. OVERSIZE, ILLUSTRATIVE, AND SPECIAL MATERIAL**

UNIVERSIDAD AZTECA margin requirements are to be observed for all oversize, illustrative, and special material described in the following paragraphs, unless an exception is noted.

### ***Wide Margins***

Where computer output, tables, or other illustrative materials with wide margins are turned on the page to fit within required margins, the top of the material should run along the left side of the paper at the 1.5 inch margin. Placement of the page number is always at *least* .75" inch from the bottom of the page.

### ***Reducing Oversize to Standard Required Margins***

Copy that has been reduced on photocopying machines to fit within required margins for an 8-1/2 x 11 inch page must be legible. The easiest method is to reduce the material to the appropriate size, trim the page, and mount it on a separate page to fit within the required margins. This "pasted up" version serves as the original from which the copy is made for filing.

### ***Oversize Material to Be Folded***

Some oversize material does not lend itself to reduction to standard-page margin requirements, and must be submitted on a larger-than-standard page. Paper measuring 11 x 17 inches may be included in the manuscript by converting the page to manuscript size with pleat-like folds. With these pages, the left (11 inch) edge will have a 1-1/2 inch margin, the top (17 inch) edge will have a 1 inch margin, the right (11inch) edge will have a 1 inch margin, and the bottom edge will have a 1-1/2 inch margin. The page number is placed .75" inch from the bottom edge of the page, and about 4 inches from the right-side paper edge. The folds of the 17 inch wide paper must be at least 1-1/2 inches from the edges of the page to assure the illustration is not cut when the edge of the page is trimmed in the binding process. When the oversize page is properly folded, the page number will appear in the position where it appears on the standard-size page. When submitted, the oversized page must be one continuous sheet, with nothing glued or taped.

### ***"Pocket" Oversized Material***

Oversized material larger than 11 x 17 inches is either bound at the end of the manuscript or folded by the bindery for insertion into a special pocket that will be supplied when the manuscript is bound. The oversized page is filmed in segments at the end of the microfilm. The student's name should be typed or neatly block-lettered within the text area (not in the margins) in the lower right-hand portion of the oversized page. Such material is to be referred to in the text, and noted in the Table of Contents or List of Figures or Tables (e.g., "Plates 1 through 7 in pocket"). When filing the manuscript, the student should present "pocket" oversized pages wrapped around a cardboard tube (or rolled inside a map tube) with an extra copy of the title page on the outside.

### ***Very Large Oversized Material***

Very large maps and other very large submitted pages should be presented in the manner described for "pocket" oversized material, rolled, not folded, and labeled with an additional copy of the title page. The student's name must be typed or neatly block-lettered in the lower right portion of the oversized page (not in the margins).

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

Both black and white and color illustrations are acceptable. However, the student must remember that the manuscript will be microfilmed in black and white. Therefore, the student should not use color as the key to a graph or map, etc. If the student chooses to use color reproductions, standard color copying paper is acceptable. The student must also remember that glossy prints, whether black and white or color, are not acceptable.



### ***Photographs***

There are two ways to include photos in the manuscript. Actual photos printed on 8-1/2 x 11 inch matte or pearl finish paper may be substituted as pages if the image size conforms to margin requirements. If the photo has been printed onto paper smaller than 8-1/2 x 11, the student should glue, paste, or somehow affix the photo to a standard sheet of paper, according to margin requirements, photocopy the paste-up either in black and white or color as appropriate, and submit the photocopy as the manuscript page. The student ***must not submit pasted-up pages*** in the manuscript; ***pasted-up pages will be rejected***. Photo page-number placement follows standard requirements. Photo captions may be placed on the subject and shot as part of the original negative or captions may be typed on the page facing the photo.

The student is strongly encouraged to use a high quality, high contrast copying machine to reproduce photographic material for submission in lieu of photographs.

### ***Reproduced Published Material***

Photocopies of previously published material must be legible and conform to margin and page numbering requirements. When published material, including material authored or co-authored by the student, is included in the master's thesis or doctoral dissertation, it is essential that the student follow instructions for permission to reproduce copyrighted material.

## **E. TYPIST AND REPRODUCTION SERVICES**

University policy prohibits the theses and dissertations advisor from recommending typists, editors, or computer or reproduction services.

Reproduction services are available on-campus and off-campus through any of the Branch Campus worldwide. Cost and quality vary among vendors, and the student is cautioned to check carefully each page of the copy to be submitted to insure margins and page number placement requirements are maintained and that the appearance meets University requirements.

## Chapter II

### THE MANUSCRIPT

#### A. FORMAT

The student should consult with the committee chair regarding an acceptable manuscript style before preparing the final copy of the thesis or dissertation. UNIVERSIDAD AZTECA Policies and Procedures for Thesis and Dissertation Preparation Filing supersedes manuals of style if there is a conflict in the instructions regarding **format**.

#### B. ARRANGEMENT

The order for the preliminary pages is listed below. A student *must* follow this order; *no* exceptions are allowed.

Starting with the signature page (ii), each page must be counted and numbered. The student must use lower case Roman numerals on preliminary pages and Arabic numerals on text pages. The text starts with the first piece of paper after the abstract and uses Arabic numeral 1.

Afterwards we will provide Examples of the title, signature, vita, and abstract pages for both dissertations and theses.

The manuscript is arranged in the following sequence:

##### 1. THE PRELIMINARY PAGES

- a) TITLE PAGE (*counted but not numbered*)
- b) BLANK PAGE or (*if there is to be registration of copyright*) the COPYRIGHT PAGE (*neither counted nor numbered*)
- c) **Copy** of SIGNATURE PAGE with signatures (*page ii, the first page on which a number appears*)
- d) DEDICATION PAGE (*optional*)
- e) TABLE OF CONTENTS (*containing page numbers*)
- f) LIST OF FIGURES, LIST OF TABLES, LIST OF SYMBOLS, ETC. (*if applicable and containing page numbers*)
- g) ACKNOWLEDGMENTS (*usually optional; see Copyright Permissions*)
- h) VITA (*required for all dissertations*) Articles under review cannot be listed as publications. Only accepted, in-press articles may be listed as publications. (A master's candidate does not submit a vita with a thesis.)
- i) ABSTRACT (*the final item in the preliminary pages and the final item with Roman numerals*)

##### 2. THE TEXT

- (*The first page following the abstract is the first page of the text and is numbered with an Arabic number 1*)
- a) PREFACE or INTRODUCTION (*if any*)
  - b) TEXT, *divided into chapters or sections*
  - c) APPENDICES (*if any*)
  - d) ADDENDA (*if applicable*)
  - e) REFERENCES/BIBLIOGRAPHY (**last pages of a chapter or of the manuscript; see page 7.**)

#### C. PRELIMINARY PAGES

The information on the preliminary pages and the format for these pages are standardized and the student must follow the samples and instructions presented in this manual.

The student should note that page numbers in parentheses at the bottom of the sample pages refer to the order of those pages in this manual and *should not be copied*. The signature page is always numbered “ii”, so the Roman numeral “ii” appears above the page number of this booklet on the sample page, at least “.75” above the bottom of the paper.

The general format for capitalization and spacing is to be followed for all preliminary pages for which a sample is provided (e.g., where groups of lines are double-spaced on the sample pages, the student must be sure to double-space. The student must balance the spaces between groups of lines to present a balanced appearance). There must be consistency among approval forms and all preliminary pages with respect to the student's name, major field, committee chair's name (or co-chairs' names), title of thesis or dissertation, and year the degree is granted.

### **Title Page**

1. **UNIVERSIDAD AZTECA** appears in full capital letters at the top of the page, Mexico City in upper and lower case letters. The student should follow the spacing on the sample page.

2. The **TITLE** for the thesis or dissertation should include meaningful key words descriptive of the subject and content. This is particularly important for doctoral candidates, because titles are the basis for computer searches from which subject lists of dissertations are prepared. Formulae, symbols, superscripts, Greek letters, acronyms, and abbreviated forms in general are to be spelled out (e.g.,  $K_3Mn(CN)_6$  is written Potassium Manganicyanide; MMPI is written Minnesota Multiphasic Personality Inventory; TESL is written Teaching English as a Second Language).

3. The **MAJOR** in which the student is earning the degree must be written exactly as it is approved by the Academic Senate Graduate Council. A student can verify the official name of the major by looking at his or her official transcript or by consulting the list of official majors at the Registrar's Office e-mail [registrar@universidadazteca.edu.mx](mailto:registrar@universidadazteca.edu.mx)

Unofficial specializations may not be included. For example, UNIVERSIDAD AZTECA awards a graduate degree in Educational Sciences not in Education Psychology. If there is any question about the degree major, the student should consult his or her transcript or the listing in the *UNIVERSIDAD AZTECA General Catalog* or the Web site [www.universidadazteca.edu.mx/INS](http://www.universidadazteca.edu.mx/INS) or [www.azteca-edu.net](http://www.azteca-edu.net)

4. The **NAME** used on the title page must be the name under which the student is registered at UNIVERSIDAD AZTECA and must match the name that appears on the approval forms, copyright page, signature page and abstract. If the student wishes to change the name of record, the student should file a change of name petition in the Registrar's Office [registrar@universidadazteca.edu.mx](mailto:registrar@universidadazteca.edu.mx). If the student is unsure about what form of his or her name is on record, this information may be obtained through the Registrar's Office or Graduate Admissions/Student and Academic Affairs at Europe or Asia Deans.

5. The **DATE** at the bottom of the title page is the year in which the degree is awarded. This is the same year in which the manuscript is filed, except when the manuscript is filed with the theses and dissertations adviser after the published last day to file for the Fall Quarter; in this case, the degree will be awarded in the Winter Quarter of the following year, and should be dated accordingly. There is no page number on the title page (it is counted as the first preliminary page, but is not numbered). If a thesis or dissertation exceeds 2-1/2 inches in thickness, it may be divided into two parts with a title page for each part.

### **Copyright Page or Blank Page**

*(no sample pages)*

The student must include either a blank sheet of paper or a completed copyright page. This page is not counted or numbered. Whether the student intends to file for copyright at the time of filing or at a later date, the student *must* complete a copyright page with the information listed below, centered, double spaced, and ending at the bottom text margin. The information and layout are the same for both theses and dissertations.

© Copyright by *(copyright notice)*  
Jane Arlene Brown *(name of author)*  
2002 *(year degree is awarded)*

**DOCTORAL CANDIDATES ONLY** — If the student intends to file for copyright at the time of filing, the student must sign the Copyright Agreement form and pay by credit card or bank transfer to the university account or to any third party authorized by the university for the amount specified on the Agreement form. A student cannot use personal checks to pay for any charges — copyright, ordering copies, etc.

### ***Signature Page***

The formal signature page, which contains the signatures of the certifying members of the committee, should not be confused with the approval forms, which are simply record-keeping forms.

The student's name as recorded by the UNIVERSIDAD AZTECA Registrar appears on the signature page. The name should be the same as that which appears on the title page, copyright page (if the copyright is being registered), first page of the abstract, and approval forms.

The name of each signing committee member should be typed under the *appropriate signature*. No titles or degree designations should be used (no "Professor," no Ph.D., no MD, etc.) The typed name of the chair (or co-chairs) must match the version of the name used on the approval forms. On the signature page, the title "Committee" Chair or (Co-chair) follows each chair's name (compare this form with the abstract page). The student should adjust the spacing between listed names according to how many committee members there are. There is no required order for the names of the committee members **except** the name of the chair (or co-chairs), which appears as the last name(s) on the page. Signatures should be in black ink for best reproduction. If a member signs in blue ink, obtain the clearest copy possible.

A very common error is inconsistency among names, especially between signature and abstract pages. A student must insure that the form of the student's name is consistent on the manuscript title page, the signature page, the abstract page, and the approval forms and that the form of the chair's or co-chairs' name(s) is consistent in all of these places as well (except the title page). A rule of thumb — once the signature page is typed, the chair's name is now set. That form of the name should be used on the abstract and approval forms.

The date at the bottom of the page is the year in which the degree is awarded and is the same as the year on the title page. The signature page is always page ii of the manuscript, and is the first page on which a number appears (ii appears .75" from the bottom of the paper). Every page after this page is numbered; the preliminary pages in Roman numerals and the text in Arabic numerals.

### ***Dedication Page***

*(no sample pages)*

**OPTIONAL.** If included, this will always be numbered page iii, and should be typed double-spaced.

### ***Table of Contents and Lists***

*(no sample pages)*

The format for the table of contents and the lists of figures, tables, symbols, or other items is left to the student's judgment; however, if figures or tables appear in the manuscript, the student must include the appropriate list(s) with page numbers following the Table of Contents.

### ***Acknowledgments***

*(no sample pages)*

Acknowledgments may be optional except in either of the following circumstances:

1. The student reproduces/reprints copyrighted material requiring permission to be reprinted/reproduced in which case the student is responsible for acquiring and acknowledging each permission to reprint/reproduce in accordance with the instructions of the individuals/institutions/publishers granting the permission (see Copyright Permissions).

2. The student uses as text in a chapter either material based on co-authored published or about to be published articles or material based on co-authored papers in progress. If a chapter is based on a coauthored published or about to be published article a sentence such as, “Chapter Five is a version of \_\_\_\_\_ where the student fills in the formal bibliographic article citation is sufficient. In this way the student has identified all co-authors, the journal where the article can be found and the journal publisher. If a chapter is based on a co-authored paper in progress, the student must identify and acknowledge the individuals contributing to the chapter/paper. Finally, if the student is using as a chapter a version of an article that has its own acknowledgments, those acknowledgments should appear in the manuscript Acknowledgments identified by chapter. In each case the student should always identify and acknowledge the director of the research that forms the basis of a chapter.

### ***Vita, Publications and Presentations***

*(see Doctoral sample page; not used for Master’s thesis)*

**VITA**—The vita is required for the doctoral dissertation. (A master’s candidate does not submit a vita with the thesis.) The vita provides a brief biographical background of the candidate; it is not intended to be a comprehensive resume. The heading, VITA, is centered, in full capitals, and is not underlined. All vita entries are to be listed in strict chronological order, with no subcategories or subheadings. The vita includes the date (may be omitted if the student prefers) and place of the student’s birth, dates of degrees and names of colleges or universities (exclude the degree for which this dissertation is written), academic or professional employment, and may, if the student wishes, include military service, honors, awards and distinctions.

**PUBLICATIONS AND PRESENTATIONS**—The appropriate heading should be used: PUBLICATIONS, PRESENTATIONS, or PUBLICATIONS AND PRESENTATIONS; only these headings are acceptable. Publications and Presentations should not be broken into two separate categories. The heading should be in full capitals, centered, and not underlined. All entries should be listed in strict alphabetical order by first author’s last name. Presentation entries should be listed using a standard citation format. If a presentation paper has not been subsequently published and the student is uncertain about citation format, the student should consult a style manual for correct formats for unpublished presentation papers.

### ***Abstract***

*(see Doctoral sample; master’s sample page)*

The words ABSTRACT OF THE DISSERTATION (doctorate) or ABSTRACT OF THE THESIS (Master’s) appear in full capital letters beneath the top margin. The student should follow the sample-page spacing. The version of the title, student’s name, degree being awarded, year of degree, and name of the chair or co-chairs must match the versions used on other preliminary pages and the approval forms. The title “Professor” precedes the chair’s name (no matter what the individual’s normal title). The title “Chair” or “Co-chair” follows the name; “committee” is dropped (**NOTE:** This style *does not* match the signature page style.) If there are co-chairs, a separate line is used for each name.

The abstract consists of:

- a brief statement of the problem;
- a brief exposition of the method or procedures used;
- a condensed summary of the findings of the study.

The abstract is published without further editing or revisions and special care must be taken in its preparation. The last page of the abstract is the last page of the preliminary pages; it is the last page numbered with Roman numerals. Any other item in a manuscript that has not been specifically listed and discussed above must not be included in the preliminary pages. With the next sheet of paper following the last abstract page, page numbering is done with Arabic numerals, beginning with “1” and so on to the last sheet of paper.

UNIVERSIDAD AZTECA

Mexico City

The Effect of Urbanization  
on Socialization Practices and Personality Development  
in Guajiro Society

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

by

Roger Smith Gomez

2010

The dissertation of Roger Smith Gomez is approved.

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Christa Zuberbühler

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Zemeer Nayar Padikkal

---

Steven Mon Dragon

---

Michael Segeder

---

Gerhard Berchtold, Chair

Universidad Azteca International Network System, Mexico City.

2010

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## VITA

April 6, 1982	Born, Bangor, Maine
2004	B. A., Psychology Harvard University Cambridge, Massachusetts
2004-06	Peace Corps, Peru
2007	M. S., Anthropology University of Chicago Chicago, Illinois
2006-07	Teaching Assistant Department of Anthropology Chicago, Illinois
2007	Teaching Assistant of the Year Award University of Chicago Chicago, Illinois
2007-08	Teaching Assistant Department of Anthropology University of California, Los Angeles
2008-09	Field Work, Peru, under National Institute of Mental Health Grant

## PUBLICATIONS AND PRESENTATIONS

Roe, R. S (October, 2005). The etiology of emotional distress among tribe members in the Peruvian Andes. Paper presented at the meeting of the American Psychological Association, Toronto, Canada.

—, Jones, B.J., and Doe, K. (2008). Research design for a study in urbanization. *American Anthropologist*, 77 (3):440-467.



## ABSTRACT OF THE DISSERTATION

*“The Effect of Urbanization  
on Socialization Practices and Personality Development  
In Guajiro Society”*

By

Roger Smith Gomez

Doctor of Philosophy in Anthropology

Universidad Azteca, Mexico City,

2010

Professor Gerhard Berchtold, Chair

(The student begins typing the abstract here, double-spaced.)

UNIVERSIDAD AZTECA

Mexico City

*“How do insurance companies develop,  
implement and reflect on marketing in times of great natural disasters”*

by

Roger Smith Gomez

2010

The thesis of **Roger Smith Gomez** is approved.

---

Steven Mon Dragon

---

Michael Segeder

---

Gerhard Berchtold, Chair

Universidad Azteca, Mexico City

2010

ii

## ABSTRACT OF THE THESIS

*“The Effects of Globalization in North East Asia”*

by

Roger Smith Gomez

Master of Science in International Business

Universidad Azteca, Mexico City

2010

Gerhard Berchtold, Chair

(The student begins typing the abstract here, double-spaced.)

## D. TEXT

The student should consult with the committee to determine the preferred textual arrangement and style, including footnote style and the manner in which references are cited and listed.

Regulations regarding the use of published and other special material that may require special permission or acknowledgment are presented in the following section.

## E. COPYRIGHT PERMISSIONS - Using Reprints, Modified Published/About-to-be Published or Unpublished Material, or Reproduced Copyrighted Material in the Manuscript.

Permission to reprint/reproduce copyrighted material in a manuscript will often be required, depending on what material is used and how it is reproduced. **If a student does not have the appropriate copyright permissions at the time the manuscript is filed, the student will still be allowed to file.** However, the student should note that if the necessary copyright permissions are not ready, public access to the manuscript will be affected.

**CHAPTERS AS REPRINTS.** If approved by the candidate's committee a master's thesis or doctoral dissertation may include reprints of previously published articles where the student is a co-author. A reprint is a direct copy of a published article. To be acceptable in a thesis or dissertation the reprint must be reduced to fit manuscript margin requirements, paginated appropriately, and the original page numbers blocked out. A reprint is copyrighted material.

If a reprint is used, the student must obtain the publisher's permission to reprint and acknowledge the permission in the manuscript Acknowledgments. The student must also identify the author who directed the research that forms the basis of the article/chapter.

**CHAPTERS BASED ON PUBLISHED OR ABOUT TO BE PUBLISHED ARTICLES OR CHAPTERS BASED ON PAPERS IN PROGRESS.** If a student uses a modified version of a published/about to be published article or a paper in progress as a chapter in the manuscript, the student is not using a reprint, so copyright permission to reprint will not be required. However, please note that if the student reprints actual copies of published figures or tables as part of the chapter, permission to reprint those figures or tables is required. All non-reprinted text must be formatted according to UNIVERSIDAD AZTECA requirements, all cover pages containing co-authors, grants, addresses, etc., and individual acknowledgments removed, and tables, figures, etc., numbered consecutively.

**REPRODUCING COPYRIGHTED MATERIAL IN A MANUSCRIPT.** If the student reproduces or reprints a complete, single, copyrighted image or work such as, e.g., a table, figure, poem, picture, or map, permission to reproduce or reprint the image or work should be obtained from the individual or concern which was the source of the image used in the manuscript: a publisher, institution, or individual.

If the student reproduces in the manuscript an excerpt or excerpts of copyrighted material not longer than one single-spaced manuscript page and from a single source, the student will not need to ask copyright permission from a publisher, institution, or individual. If the student reproduces more copyrighted material from a single source than fits on one single-spaced manuscript page, the student should obtain permission to reproduce the copyrighted material from the individual or concern that was the source of the material.

**PERMISSIONS LETTERS.** If the student believes that permissions letters may be necessary, the request should be mailed as early as possible, using one of the following as a return address. Universidad Azteca makes the final decision as to whether a **DISSERTATION** requires a permission letter; the Theses and Dissertations Office decides if a **THESIS** requires a letter. For both types of manuscripts, if the required letters are not received within sixty (60) days of filing, the filed manuscript will be microfilmed, but access to the film will be restricted to the student and UNIVERSIDAD AZTECA. When contacting publishers, the time limits and restriction information should be included in the permission request. Also, the permission request should not be left open-ended. The publishers should be asked for a response, whether the answer is yes or no. When contacting publishers for permissions letters, the

student should use his or her home or department as a return address if he or she is writing early enough to receive replies before filing the manuscript.

If the student waits until the last minute before sending out permission-request letters, he or she should use either the ProQuest or Young Research Library addresses given below.

**THESES & DISSERTATIONS.** Permission answers for dissertations should be mailed directly to:

### **Campus**

#### **Division of International Programmes**

Palma No. 61, Barrio San Antonio Chalco, Edo. De México. CP. 56600

Tel /Fax: + 52 (55) 3092-2489. \* + (5255) 5975-2161 / 5973-4312

E-mail: [international@universidadazteca.edu.mx](mailto:international@universidadazteca.edu.mx)

#### **Dean of Graduate and European Programmes**

Representative in Europe:

Adamgasse 30/63, A 6020 Innsbruck, Austria

Tel: + +43 664 34 29 717

E-mail: [europa@universidadazteca.edu.mx](mailto:europa@universidadazteca.edu.mx)

**DETERMINING IF THE MATERIAL IS COPYRIGHTED.** The student should check the front of the material, looking for the publishing history and the international copyright sign: “©” Normally, whatever appears after “© by” identifies who holds the copyright. Some general rules of thumb: professional journals hold the copyrights on all articles they publish; magazines and newspapers hold the copyrights on everything they publish; publishing houses hold the copyright on all books, whether collections, editions, translations, etc. that the house produces. Foreign copyrights are as valid as U.S. copyrights: foreign publishers must provide permission letters for any copyrighted material taken from books, journals collections, newspapers, etc.

Material published in Mexico and U.S. before 1978 and that is more than 75 years old is in the public domain. Material published outside the U.S. does not have clear-cut rules. Some authorities advise that it is not safe to assume that a foreign work copyrighted in the last 200 years is in the public domain. Especially for non Mexico-U.S. copyrighted material, a student should always err on the side of supposing that copyright permission is necessary.

When using an old text — Tacitus, Diderot, Lord Acton, etc. — the student *always* should check the edition date (found on the publishing page). Just because the text is old does not mean that the edition being used is old or out of copyright.

If it is certain that a permission letter is not required, a student must provide a letter when filing the manuscript that indicates why the permission is not needed and proving that the material in question is in the public domain.

**PERMISSION TO REPRODUCE FROM PRIVATE OR MUSEUM COLLECTIONS.** Permission is required for the use of materials from certain private collections and museums without respect to copyright.

The student is responsible for determining if permission is needed, and if it is, to submit letters of permission when the manuscript is filed with the theses and dissertations advisor.

## **F. REFERENCE SECTION**

The reference section is always the last subsection of the manuscript. The style used for the reference section is determined by the student in consultation with the faculty committee. If the bibliographic citations are single-spaced, however, there should be double-spacing between citations. If references are needed at the end of each chapter, as is often the case in the sciences, this format is acceptable.

## Chapter III FILING THE MANUSCRIPT

### A. LAST DAY FOR FILING

The deadline for filing the thesis or dissertation in final form is ten days to two weeks before the degree date. The exact date for each quarter is posted in the *Schedule of Classes at International Programmes*. Students are encouraged to file as early in a quarter as possible.

### B. FILING PROCEDURES FOR THE MASTER'S THESIS and DOCTORAL DISSERTATION

- 1) The student obtains Thesis Approval either at Campus or at the Office of the Dean of European Programmes.
- 2) The student completes the Thesis Approval. The name, degree title, degree major, chair or cochairs, and thesis title on the approval forms must match the information on the preliminary pages of the thesis. The student must be sure to use the same name under which he or she is registered, and that the degree major is listed exactly as approved by the Graduate Council. The student must be sure to sign the approval forms, noting options available.
- 3) A registered student proceeds to Step 4. A student who is not registered follows these steps for using the Filing Fee:
  - a) Obtains the Filing Fee Application from Graduate Admissions/Student and Academic Affairs.
  - b) Has the application signed by the department chair and the committee chair.
  - c) Submits the completed application to Graduate Admissions/Student and Academic Affairs. If approved, the fee is billed through the Billing Department.
- 4) On the day that the thesis is filed, the student sends the two copies of the thesis and **first** goes to Graduate Admissions/Student and Academic Affairs to submit the following items:
  - a) Two Thesis Approval Forms or Letter
  - b) Title Page
  - c) Signature Page (*with all signatures included*)
  - b) Two complete copies of the thesis, including *copies* of the *signed* signature page, each in a separate manila envelope with an extra title page taped on the outside. Copies must be submitted in final form (no further corrections, substitutions, additions, or deletions) and not bound, stapled, folded, or punched.
  - c) Any letters concerning permission to reproduce copyrighted materials or to use privately owned or museum materials.

Please keep close communication with your thesis or dissertation advisor. The Graduate Division will be notified that the Thesis is accepted.

### C. FILING PROCEDURES FOR THE DOCTORAL DISSERTATION

- 1) The student obtains Thesis Approval either at Campus or at the Office of the Dean of European Programmes.
- 2) The student completes the Thesis Approval. The name, degree title, degree major, chair or cochairs, and thesis title on the approval forms must match the information on the preliminary pages of the thesis. The student must be sure to use the same name under which he or she is registered, and that the degree major is listed exactly as approved by the Graduate Council. The student must be sure to sign the approval forms, noting options available.
- 3) A registered student proceeds to Step 4. A student who is not registered follows these steps for using the Filing Fee:
  - a) Obtains the Filing Fee Application from Graduate Admissions/Student and Academic Affairs.
  - b) Has the application signed by the department chair and the committee chair.

- c) Submits the completed application to Graduate Admissions/Student and Academic Affairs. If approved, the fee is billed through the Billing Department.
- 4) On the day the dissertation is to be filed, the student sends the two copies of the dissertation and **first** goes to Graduate Admissions/Student and Academic Affairs to submit the following items:
- a) Report on the Final Oral Examination (*defense of the dissertation*), if required, or a waiver of final oral examination, if the committee decides to change to a waiver of the requirement. (Waiving the Final Oral Examination is an option on the Report on the Oral Qualifying Examination and Request for Advancement to Doctoral Candidacy form and on the green form used to reconstitute a doctoral committee). If the Final Oral Examination is required, either the report or the waiver must be in the Graduate Division before a student is permitted to file. The student should bring the report if it was not previously sent to the Graduate Division.
  - b) Survey of Earned Doctorates and UNIVERSIDAD AZTECA Doctoral Exit Survey (*certificate of completion and confirmation page*)
  - c) Two Dissertation Approval Forms (*typed, and with the student's signature*) These will be signed and dated by the Graduate Division and returned to the student.
  - d) Title page.
  - e) Signature page (*with all required signatures included*)

The two Dissertation Approval Forms will be signed, dated, and returned to the student to be submitted to the theses and dissertations adviser.

- a) Two complete, unbound copies of the dissertation, including *copies* of the *signed* signature page, each in a manila envelope with an extra title page taped at corners to the outside of each envelope. (If the dissertation is longer than 500 pages, the student may wish to submit two envelopes; each additional envelope should contain an extra title page on the inside and be labeled with an extra title page on the outside.) The dissertation must be in final form (no further corrections, substitutions, additions, or deletions), and not bound, stapled, folded, or punched.

**PLEASE ALSO NOTE THE FOLLOWING:  
All fees are subject to change without notice.**

***No changes in the manuscript are allowed after the manuscript is accepted and filed in archives.***

## Chapter IV

### DISSERTATION RESEARCH-METHODS REQUIREMENT



The purpose of the research-methods requirement is to prepare students to do research in any area. Substantial emphasis is placed on previous coursework of Core courses at 1<sup>st</sup> stage. Competence in research methods is seen as a defining characteristic of the program. The research-methods requirement is described below.

These are minimum requirements and may be increased by the faculty in the student's Specialization Area. Students must demonstrate competence in research writing. The exact requirements to do so are set by the student's Area Academic Advisor or Chair based on an assessment of the student's deficiencies.

The research-methods topics and specific courses contained within each topic must be approved by the Area Academic Advisor.

There is a minimum school wide grade-point average requirement of 3.0 for courses taken at Universidad Azteca to fulfill the research-methods requirement. Individual Areas may have higher grade-point requirements.

A waiver or substitution of a course or courses within a specific research method topic is allowed, but only if the change has been formally approved by the Academic Advisor, Chair and the Director of Doctoral Programs and only if it remains the case that the research-methods requirement is fulfilled with courses distinct from courses required to fulfill the Specialization Field requirements.

### **A. DOCTORAL DISSERTATION PROPOSAL FOR PHD PROGRAM COMMITTEE REQUIREMENT**

After passing the preliminary examination of 1<sup>st</sup> Stage (Core Courses) and 2<sup>nd</sup> Stage (Specialization), a student must formally present, and defend, a dissertation research proposal to his or her formal dissertation committee. In keeping with the Division of Graduate Programs requirements, the dissertation committee shall consist of at least 3 members. The chairperson or at least one of the co-chairs must be from the student's Major Area. At least 2 members must be from the University graduate faculty. It is the student's right to choose and alter the composition of the dissertation committee. However, it is the right of the faculty to decline any student's invitation to serve as a dissertation committee member or chair.

The doctoral dissertation proposal presentation is open to other faculty and to PhD students. To be accepted, a student's research proposal is expected to represent substantial progress toward completion of a doctoral thesis along with a statement of further work to be performed. Once a student's research proposal is accepted by his or her advisory committee, it is to be considered a "contract" which will guide the student through the final preparation of his or her dissertation. If the research proposal is not accepted by the dissertation committee, the student may be given the opportunity to make a second attempt. However, significant delay in achieving an acceptable proposal may be cause for withdrawal from the program.

### **B. DEFENSE OF THE PHD DISSERTATION REQUIREMENT**

For the dissertation, students are expected to demonstrate competence and ability to conduct research as an independent scholar. Also, the dissertation is expected to be a research effort that makes a contribution to the body of knowledge it addresses. During the conduct of the dissertation, students are encouraged to consult their doctoral dissertation committee frequently. It is the student's responsibility to keep the committee informed at all stages.

A student's public defense of his or her dissertation is required. Note that any major concerns committee members may have about the dissertation are expected to be resolved before the public defense of the dissertation is scheduled. The following procedures hold for the dissertation defense and need to be followed:

- The dissertation must be approved by the dissertation chairperson before it is submitted to the final examining committee. Each member of the dissertation committee shall receive a copy of the dissertation at least two (2) weeks before the date of the final examination.
- Written notice of the dissertation defense shall be given to university faculty and students at least two (2) weeks prior to the defense.

- Copies of the dissertation abstract shall be circulated along with a written defense announcement.
- At least one (1) copy of the full dissertation shall be available, perhaps at the university's Office of International Programmes, for perusal by faculty and students.
- The defense will be conducted by the dissertation committee under the guidance of the dissertation chairperson. The defense format should allow for adequate presentation of the research work and sufficient time for questions and answers by the committee and others present. The format should also include a time when the public is excused so that the dissertation committee may ask further questions of the candidate or deliberate among themselves.
- In keeping with the Graduate Programs Department regulations, only the dissertation advisory committee has the authority to vote for or against the acceptance of the dissertation. These regulations also state the decision rule to be used in determining the final outcome of the defense. Currently, for example, there may be a maximum of one dissenting vote in a successful defense of a dissertation.

Students are cautioned to familiarize themselves with the full set of division and university regulations regarding dissertation format and procedures. It is the student's responsibility to ensure that they comply with these regulations.

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### **C. DOCTORAL COMMITTEES AND EXAMINATIONS**

Committees may be formed at various stages of graduate study in order to monitor and ensure the quality of graduate work. Qualifying examinations are not required by the International Programs at Universidad Azteca, but are required by some departments. Qualifying exams are generally given at the end of 1<sup>st</sup> and 2<sup>nd</sup> Stage of the doctoral work. Departments may internally appoint committees to conduct these exams. UNIVERSIDAD AZTECA Graduate Department does require some review of progress toward the doctorate at the completion.

UNIVERSIDAD AZTECA Graduate Department and International Division encourages appointment of the dissertation committee as early as possible after the successful completion of the preliminary evaluation of Thesis Proposal. The dissertation committee may also serve as the final examination committee. Each student should be familiar with departmental policies regarding preliminary and final examinations.

All voting members of the committee must be present in person or via appropriate virtual electronic communication media at final examinations. Non-voting members need not be present at the final examination. Decisions of the preliminary examination committee must be unanimous. The result of the examination or other evaluation should be communicated to the student and to the UNIVERSIDAD AZTECA Graduate Department and International Division as soon as possible.

If UNIVERSIDAD AZTECA Graduate Department and International Division is not informed of the result of the preliminary examination within six months after the scheduled examination date, the committee is considered to be dissolved. UNIVERSIDAD AZTECA Graduate Department and International Division may reinstate the committee if a preliminary examination date is scheduled within two months after the committee dissolution date, and the department sends a memorandum to UNIVERSIDAD AZTECA Graduate Department and International Division giving the scheduled examination date and certifying that all original committee members have agreed to meet at that time.

In departments whose preliminary examination includes the presentation of a proposal for the doctoral research, a department may decide to have the dissertation committee be substantially the same as the preliminary examination

committee. Normally, the dissertation committee also serves as the final examination committee. The intention is that the committee be appointed early in the student's dissertation research work so that the committee can most effectively monitor the student's progress toward completion. There is no time limit on the duration of service of the dissertation committee, other than the length of time that the student is allowed to complete the degree.

The chair of the dissertation committee must be a member of the graduate faculty and may or may not be the thesis adviser, according to department policy. A contingent chair may be designated to serve as the chair of the dissertation committee should the original chair be unable to serve for any reason. The dissertation committee must be composed of at least four voting members, at least three of whom must be members of the graduate faculty and at least two of whom must be tenured. If there are more than four voting members on the committee, at least half of the voting members should be members of the graduate faculty. Committee members should be chosen for their expertise in the student's research area, but may also be chosen to give diversity in viewpoint, methodology, or academic discipline. Such diversity may be achieved by including members from more than one sub-discipline within the department, from other departments, or from other campuses.

The faculty of a department may establish procedures or requirements for introducing diversity in the membership of the dissertation committee.

Final examinations are oral and public. The dissertation committee chair is responsible for convening the committee, conducting the examination, and submitting the Certificate of Result of Final Examination to the department in which the student is enrolled.

Decisions of the committees for final examinations must be unanimous. In the case of a final examination, each committee member must also indicate that the thesis has been read and approved. If a student does not pass his or her final examination with a satisfactory thesis, the committee may make one of three decisions:

- a. The committee may pass the candidate pending revision of the thesis. The candidate will receive the signed Certificate of Approval when the prescribed revisions have been completed.
- b. The committee may defer its decision and adjourn temporarily. This category should be used only if the committee intends to hold another defense. A date for the second defense must be within six months of the first defense date. Registration is required during the semester when a second defense is held.
- c. The committee may fail the candidate. Students who fail the first defense attempt may, at the discretion of the committee, be granted another opportunity to take the examination after completing additional work. The chair will inform the UNIVERSIDAD AZTECA Graduate Department and International Division if the student should be given a second examination.

The result of the final examination should be reported to UNIVERSIDAD AZTECA Graduate Department and International Division immediately.

## **D. RESEARCH AND DISSERTATION REQUIREMENTS**

A thesis is an original, significant contribution to the scholarly literature of an academic discipline. The thesis must be the work of a single author. All candidates for the Ph.D. degree and candidates for most other doctoral degrees are required to submit research. UNIVERSIDAD AZTECA Graduate Department and International Division is

responsible for approving the general format of the thesis, including the style to be followed in footnotes, bibliographies, tables, chapter headings, and similar matters, all these is dully specified in the SEVEN CRITERIA FOR RESEARCH DISSERTATION.

#### 7 GRADING STANDARDS/CRITERIA

CRITERIA	100	90	80	70	F
<b>Research:Purpose</b>	Purpose is clear; original ideas	Clear thesis; some independent thought	Recognizable thesis but lacks of original, significant purpose	Contains thesis but purpose is not always clear	No clear purpose; often does not correctly respond to the assignment
<b>Development</b>	Thesis is imaginatively, logically and precisely developed; analysis guides development	Examples support the thesis in an orderly and logical fashion; analysis predominates, but some descents into narrative	Adequate development; some evidence of analysis, but narrative guides development	Some development	No development
<b>Organization</b>	Well organized; not mechanical or imposed	Clearly, logically organized; transitions are sometimes strained	Organized; predictable, mechanical sequence	Some evidence of organization; not clearly followed	No apparent principle of organization; no apparent rationale for paragraphing
<b>Source materials</b>	References to materials are appropriate and significantly related to purpose	Most references to materials are appropriate and related to thesis	References to materials are appropriate but not always related to thesis	Few references to materials; references seldom related to thesis	No references to materials or references are irrelevant
<b>Sentence Structure</b>	Sentences are varied in length and structure	Sentences are usually varied	Very few errors in sentence structure; some variation in length and structure	Errors in sentence structure; no variation in length and structure	Frequent sentence structure errors; some indicate a failure to understand the basic grammar of the sentence
<b>Diction</b>	Concrete, specific words used correctly; diction is distinctive and mature; no colloquialisms, clichés or trite expressions	Word choice is generally accurate; writer goes beyond automatic word choices to more precise and effective choices	Word choice is generally correct; range of words is limited, and in some cases the wording is abstract and imprecise	Vague, ordinary words; relies on clichés and jargon	Words that should be within the range of college students are misused or confused
<b>Grammar/ Mechanics</b>	Virtually free from grammatical/mechanical errors	Generally correct mechanically; some problems with complex grammar and punctuation traps	Some errors in syntax, agreement, pronoun case and reference, spelling and punctuation	Sentence fragments and run-on sentences, and basic errors in syntax, agreement, reference, spelling and punctuation	Frequent misspellings, syntax errors, and other basic errors make comprehension difficult

The final examination committee will hold the student responsible for spelling, grammar, organization, stylistic consistency, correct sequence of pages, and agreement between the table of contents and the body of the thesis, as well as content. The department will check to see that these requirements have been met. The student should know the department's requirements before the thesis is produced and should consult the department's own thesis style sheet if one is available.

All completed theses or dissertations must be acceptable for deposit in the UNIVERSIDAD AZTECA Graduate Department and International Division. This office has primary responsibility for processing, microfilming, binding, and storing theses as well as for maintaining some uniformity in thesis format and organization. The UNIVERSIDAD AZTECA Graduate Department and International Division will reject any thesis or dissertations that fail to meet UNIVERSIDAD AZTECA Graduate Department and International Division standards. It is therefore recommended that the student consult with this office before the final draft is prepared. The UNIVERSIDAD AZTECA Graduate Department and International Division does not require a student to be registered in the term in which the thesis is deposited, unless the final examination takes place in the same term.

The UNIVERSIDAD AZTECA Graduate Department and International Division has a number of forms that must be completed and submitted when the thesis is deposited. The student's name and list of past degrees appearing on the thesis title page must agree exactly with the information in the candidate's permanent University records. Any discrepancy will delay the official acceptance of the thesis. The student is therefore advised to check with the UNIVERSIDAD AZTECA Graduate Department and International Division to see how his or her name and degrees are listed before having the thesis title page prepared. Every doctoral candidate is required to publish the completed work either by assigning certain rights to University, and paying the thesis microfilming fee, or by

providing the UNIVERSIDAD AZTECA Graduate Department and International Division appropriate evidence that the work is to be issued by another publisher in book form.

### **E. PUBLICATION OF FINDINGS BEFORE DEGREE CONFERRAL**

Before the degree is conferred, a student may find it desirable or expedient to publish some of the findings that will later be incorporated in the thesis. If this is done, an appropriate acknowledgment of the earlier publication should be included in the thesis. The UNIVERSIDAD AZTECA Graduate Department and International Division encourages such publication, but the thesis may not be published in its entirety before all degree requirements have been met.

### **F. CLASSIFIED AND PATENTABLE INFORMATION**

Because all theses and dissertations are made available to the public, a thesis containing classified material, i.e., material deemed non-publishable under federal security regulations, cannot be accepted. It is, however, occasionally necessary for the UNIVERSIDAD AZTECA Graduate Department and International Division to temporarily delay release of a thesis that contains potentially patentable information. In such a case, a student's degree requirements can still be fulfilled even though publication of the thesis is postponed. Guidelines describing the procedure for processing requests to withhold a thesis from publication may be obtained from the UNIVERSIDAD AZTECA Graduate Department and International Division.

#### **a. Deadlines:**

The student should consult the UNIVERSIDAD AZTECA Graduate Department Calendar and the department about deadlines for taking final oral examinations and depositing the thesis with the Graduate Department. The thesis deposit deadline cannot be extended beyond the date published.

#### **b. Copyrights:**

Copyright is a legal protection of a person's work that is recorded with the U.S. Copyright Office in the Library of Congress. The booklet, *Instructions for Preparation of Theses*, describes copyright more fully.

Students may register for copyright on their own, by completing an application form, paying the basic fee, and submitting an extra copy of the thesis to the U.S. Copyright Office. Doctoral candidates may choose to ask the University, to complete these steps for them for a slightly higher fee.

## **Chapter V**

### **COMMITTEE SPECIFICATIONS**

<b>CHAIR</b>	<b>PURPOSE</b>
<ul style="list-style-type: none"> <li>• One instructional faculty with a regular academic appointment (assistant professor or higher) from the department awarding the degree.</li> <li>• Holds a Ph.D. or its equivalent doctoral research degree.</li> </ul>	<p>To guide the candidate at all stages of the project such as:</p> <ul style="list-style-type: none"> <li>• Formulating the proposal.</li> <li>• Carry out the research.</li> <li>• Writing the dissertation.</li> <li>• To monitor the student's progress, to ensure that all committee members have reviewed the dissertation and that substantive objections are resolved prior to the defense.</li> </ul>
<b>DEPARTMENT REPRESENTATIVES</b>	<b>PURPOSE</b>
<ul style="list-style-type: none"> <li>• Two instructional faculty with regular academic appointments (assistant professor or higher) in the department awarding the degree.</li> <li>• Hold a Ph.D. or its equivalent doctoral research degree.</li> </ul>	<p>To provide:</p> <ul style="list-style-type: none"> <li>• Special expertise in areas needed to give a comprehensive appraisal of the project.</li> <li>• Broader representation from the faculty of the candidate's major.</li> <li>• Critical reading of the drafts of the proposal and dissertation.</li> <li>• To assure the quality of the research.</li> </ul>
<b>OUTSIDE REPRESENTATIVE</b>	<b>PURPOSE</b>
<ul style="list-style-type: none"> <li>• One instructional faculty holding either a regular academic or reduced tenure appointment at the rank of assistant professor or higher in a department other than the one awarding the degree.</li> <li>• Holds a Ph.D. or its equivalent doctoral research degree.</li> </ul>	<p>To represent the UNIVERSIDAD AZTECA Graduate Department in order to:</p> <ul style="list-style-type: none"> <li>• Protect the interest of the University faculty and the student by ensuring that the dissertation meets the highest academic standards.</li> <li>• Play a "disciplinary" role in terms of maintenance of uniformity in standards of quality across departments.</li> <li>• Provide assurance that political or other extraneous factors do not enter into the process and that appropriate procedures are followed.</li> <li>• Provide the "outside" point of view, sharing an expertise with a new perspective or theoretical vantage that might not otherwise be available.</li> </ul>

## **B. OTHER FACULTY REPRESENTATIVE ELIGIBILITY**

The following are considered eligible for membership as an **inside** department representative:

### **a. Courtesy Appointment**

Provided the person has been or is currently employed as a regular instructional faculty at the University. Must hold a Ph.D. or its equivalent doctoral research degree.

### **b. Participating Appointment**

Provided the person is currently employed as a regular instructional faculty at the University; not eligible if this is the only institutional appointment. Must hold a Ph.D. or its equivalent doctoral research degree.

The following are considered eligible for membership as an **inside** or **outside** representative:

### **3. Emeriti/Emerita**

With the approval of the department in which the person holds emeritus status. Must have previously held a regular instructional faculty appointment.

### **4. Senior Research Associate**

Must hold a Ph.D. or its equivalent doctoral research degree. To qualify as an outside representative, the person must have served on three doctoral committees as an inside departmental representative.

## Chapter VI MISCELLANY

### A. MICROFILIMING AND ORDERING COPIES

#### ***Master's Thesis***

The master's thesis is microfilmed through UNIVERSIDAD AZTECA Reprographic Services

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#### ***Doctoral Dissertations***

Copies of the abstract, and copies of the dissertation in soft cover, hard cover, microfilm or rolifilm may be ordered at the time of filing through Azteca, at a discounted rate, using the agreement form. A student should allow about six months from the time of filing for the request to be processed and the copies delivered.

### B. REGISTRATION OF COPYRIGHT

The need to register copyright depends on the nature of the materials and on plans for the future publication or revision of the manuscript. Under present law, the works of an author are protected from the date of creation and on throughout the life of the author, plus another fifty years thereafter.

Whether the thesis or dissertation copyright is registered or not, the author retains the right to publish all or any part of the manuscript by any means at any time, except, in the case of the doctoral dissertation, as described.

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If a registration of copyright is desired, the student prepares the copyright page for notification of copyright in the thesis or dissertation.

#### ***Master's Thesis***

Master's candidates are responsible for registering the thesis and may do so by applying directly. Universidad Azteca will provide with third parties companies for the service.

#### ***Doctoral Dissertations***

The candidate completes the appropriate section, signs the authorization on the back of the form, and submits the required fee via wire bank transfer or credit card as part of the filing process.



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## IMPORTANT REFERENCE NUMBERS

- **Questions regarding manuscript format and policies:**

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**Division of International Programmes**

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E-mail: [international@universidadazteca.edu.mx](mailto:international@universidadazteca.edu.mx)

- **Questions regarding completion of academic requirements:**

**Dean of Graduate and European Programmes**

Representative in Europe:

Adamgasse 30/63, A 6020 Innsbruck, Austria

Tel: + +43 664 34 29 717

E-mail: [europa@universidadazteca.edu.mx](mailto:europa@universidadazteca.edu.mx)

**Dean of Asian Programmes**

Representative in United Arab Emirates:

803, AL Murjan Tower, Sharjah, Dubai, UAE

United Arab Emirates

Tel: + 971-50-598-7316

E-mail: [zemeer@universidadazteca.edu.mx](mailto:zemeer@universidadazteca.edu.mx)

- **Questions regarding degree certification and diplomas:**

**Office of the Registrar**

Palma No. 61, Barrio San Antonio Chalco, Edo. De México. CP. 56600

Tel /Fax: + 52 (55) 3092-2489.

Office hours: 9:00 AM - 5:00 PM, Monday through Friday

E-mail: [registrar@universidadazteca.edu.mx](mailto:registrar@universidadazteca.edu.mx)

- **Questions regarding fees and payments:**

**Billing and Accounting Department**

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- **Questions regarding copyright and publications:**

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Tel/Fax: + 55 52 5986-3050

E-mail: [info@pro-innovacion.com](mailto:info@pro-innovacion.com)