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THESIS AND DISSERTATION  
FORMATTING AND FILING GUIDE

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*Revised February 2012*

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## INTRODUCTION

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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 presentation of the results of your research and related preparation. Digital access to the document is available through the University of California Digital Library (<http://escholarship.org/>) and ProQuest ([www.proquest.com](http://www.proquest.com)). During the filing process, you may also elect to make the approved document available through third party vendors.

The UCLA Graduate Division, under delegated authority from the UCLA Academic Senate Graduate Council, established this policy and procedure guide to ensure uniformity in the format of theses and dissertations. Your 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. You are urged to consult with their committee chairs early in the preparation of the manuscript regarding style preferences. Style manuals are available in several UCLA libraries, and for purchase at the UCLA bookstore. The regulations included here supersede any style manual instructions regarding format. The **format** includes the 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. You should not rely upon theses or dissertations previously filed or past UCLA regulations for format examples because changes are made periodically. Candidates are responsible for following the requirements in effect when the document is filed.

The Graduate Council 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. In some cases, for example when a patent is being filed, it may be reasonable and appropriate to put in place an embargo that delays public release of the thesis or dissertation. See page 18 for guidelines and instructions on this option.

Orientation meetings on the preparation and filing of theses and dissertations are held normally during the first week of classes each regular academic term (except summer). You are encouraged to attend one of these meetings. Dates are posted on the Graduate Division website at <http://www.grad.ucla.edu/gasaa/library/thesismtg.htm>.

A list of contact information for related offices is located on the last page of this guide.

## CHAPTER I: BEFORE YOU BEGIN

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### A. FILING DEADLINES

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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 Academic Calendar (<http://www.registrar.ucla.edu/calendar/>). You are encouraged to file as early in a quarter as possible. All filing must be done via computer; there is no need to visit campus to file.

Submissions on the day of the deadline will be accepted until 5pm PST. To count as submitted, you must have completed:

- All required committee members have signed off
- Committee has certified you have passed the final oral exam (if applicable)
- You submitted a final PDF via ProQuest
- You completed the online Graduate Division process (see page 19)

*To guarantee your name is included in the doctoral hooding booklet, you should complete all elements of the submission process two weeks before the spring filing deadline.*

### B. REGISTRATION STATUS/FILING FEE

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Students who are not registered must follow the steps below to determine eligibility and use the Filing Fee in lieu of registering. The filing fee must be submitted to the Graduate Division in advance of starting the submission process.

- A doctoral candidate must be registered for the term immediately preceding the filing of the dissertation in order to be eligible to pay the filing fee in lieu of registering for the current quarter. (Note: Spring quarter is considered the term which immediately precedes both summer and fall terms. Registration and enrollment in four units during a summer session is considered registration in a term.) Doctoral candidates who were not registered for the immediately preceding term must register for the current term in order to file the dissertation.
- A master's candidate can submit a filing fee application at any point and does not need to be registered in the preceding term.
- A student who was a) registered for the immediately preceding term and b) does not need to be registered for the current term for any other reason (e.g., an academic apprentice personnel appointment), completes the Filing Fee Application located on the Graduate Division website.
- The department chair and the committee chair must sign the Filing Fee Application.
- The student submits the completed application to Academic Services, UCLA Graduate Division, at 1255 Murphy Hall. If approved, the fee is billed through the Billing and Receivables System (BAR).

## CHAPTER II: PREPARING THE PDF

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### A. PREPARING THE THESIS OR DISSERTATION AS A FORMATTED PDF

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The main thesis or dissertation document must be submitted as an Adobe PDF file. The file should not be compressed or password protected. It should not include or require a digital signature. As noted on page 9, additional media files may be uploaded along with the PDF file.

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### FONTS AND LAYOUT

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Note: The guidelines in this section apply to all material that is presented in “manuscript” form, including the front pages. If the scholarly work has already been published and you wish to include some or all of the chapters in the form of reprint(s) of published work, see pages 8 and 16 for formatting information.

**FONT.** Embedded fonts are required; the Conversion Tool provided by ProQuest will embed fonts in the PDF. ProQuest provides instructions on [embedding fonts](#) which can also be found in the Resources & Guidelines tab on the ProQuest page.

Only non-italic style fonts should be used for the main portion of the text (“body text”). If you are uncertain whether a particular font style and size are appropriate, please email a sample of the type to Academic Services, UCLA Graduate Division. Legible fonts that are commonly used for the body of the text include Times or Times New Roman (12 point) and Arial 11- or 12-point.

Some recommended fonts and point sizes are shown below.

*Arial	11 pt
Century	11 pt
*Courier New	11 pt
Garamond	12 pt
*Georgia	11 pt
Lucida Bright	11 pt
Microsoft Sans Serif	11 pt
Tahoma	11 pt
Times	12 pt
*Times New Roman	12 pt
*Trebuchet MS	11 pt
*Verdana	11 pt
CMR (Tex/LaTex)	12 point

\* Web font designed for easy screen readability. Since many readers are likely to view and/or use your dissertation or thesis onscreen, you may wish to improve the readability of your text by using one of these fonts.

**BODY TEXT.** The University does not require an absolute character and space count per inch of text. A general guideline for optimal readability is a type density, including characters and spaces, of no more than 15 characters per inch. For the basic manuscript text, most fonts in 12-point or larger should be acceptable. The table below lists recommended fonts and corresponding *minimum* point sizes. Smaller type (10-point or less) cannot be used for the body text, except for subscripts and superscripts or if a reprint of a published article is used. A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.

**CAPTIONS, FOOTNOTES, FIGURES, EQUATIONS AND TABLES.** Type sizes may be smaller for footnotes, captions, equations, and information in figures and tables. In general, for optimum readability, choose a font size that is no more than 3 points smaller than the font used for the main portion of the text.

**ITALICS, UNDERLINING AND BOLDFACE STYLES:** 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 your committee.

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## SPACING

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Unless otherwise noted, the manuscript must be double-spaced throughout.

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 a single blank line between entries.

There are special spacing requirements for some of the preliminary pages. (See sample pages.) The layout for these pages must be followed carefully, as departures from the standard format are not acceptable.

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## MARGINS

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LEFT, RIGHT, TOP: 1"

BOTTOM TEXT MARGIN: 1"

FOOTER MARGIN: 0.75" from bottom of the page for page number.

Aside from page numbers, all other manuscript material, including tables, figures, graphs, etc., must fit within the margins.

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## MANUSCRIPT AND FIGURE LAYOUT

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The required order of pages for the manuscript is on page 10. The bibliography is always the last section of a manuscript, and the last page of a manuscript should be the last page of the

bibliography. All figures, tables, appendices, etc., come before the bibliography. If the thesis or dissertation is prepared as a single manuscript, appendices should precede the bibliography. Alternatively, a bibliography may be included at the end of each individual chapter. Students following this style must remember to list each chapter's bibliography in the Table of Contents with the appropriate page number. In some cases, it may be appropriate to include appendices that are relevant to several chapters (e.g., computer programs, laboratory procedures or statistical methodologies) as stand-alone chapters at the end of the document. These must be listed in the Table of Contents as chapters or appendices.

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 your committee chair decides the format.

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## FORMATTING REPRINTS OR VERSIONS OF MANUSCRIPTS AS CHAPTERS

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**PERMISSIONS:** See page 16.

**FORMAT:** If you wish to use an actual reprint of a published article, i.e., a copy of the article as it appears in a journal or book, as a chapter of the thesis or dissertation, you must adjust the page size of the article to fit the UCLA margin requirements, remove the original journal page numbers, and paginate the article appropriately. The Figures and Tables in the reprinted article do not need to be renumbered consecutively with others in the thesis or dissertation.

You may choose to use the accepted version of the published manuscript or a **version** of an article that may have been submitted for publication, or is in preparation for submission. If this is the case, then all heading material—the addresses of the authors, journal addresses, etc., — should be removed 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 you are using a reprint; UCLA does not require students to renumber Figures or Tables in reprints.

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## PAGE NUMBERS

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Page numbers must be centered to the text and must be at least 0.75” from the bottom of the page.

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## PAGINATION

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Every page 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. **If you have any pages that are rotated to a landscape orientation, the page numbers still need to be in the same spot on the page throughout the document.**



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

**ARABIC NUMERALS** are used for all pages after the preliminary pages, starting with the first page of the body text in the manuscript. All pages must be numbered, including appendices, facing pages, tables, figures, etc. Correct pagination — no missing pages, no duplicate numbers or pages — is required for the manuscript to be acceptable. If you have any questions about this issue, do not guess, refer to previously submitted manuscripts, or ask anyone for assistance other than the Academic Services office, which is available by telephone and email.

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## IMAGES

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The Graduate Division recommends an image resolution of 300 dpi or higher (no lower than 150 dpi) for images embedded within the PDF. The higher quality images will make the PDF larger in size, which will make uploading much slower.

Hint: If you are copying an image directly from a PDF, to maintain a higher quality of the image, enlarge the PDF, copy the image, and shrink the image once it is pasted into your document.

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## SUPPLEMENTARY MATERIALS

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If supplementary materials – such as audio, video, and spreadsheets - are part of the dissertation or thesis, you may upload them as supplementary files during the online submission process.

Helpful hints:

- Do not embed media files in the PDF
- Upload media files as supplementary files; during online submission, there will be an opportunity to upload any supplementary files.
- Describes supplementary files in the abstract; add a description of each file to the abstract.
- Do not compress or group files into folders; upload each file individually.

*Multimedia files and formats.* Digital preservation best practices typically recommend including multimedia content as supplementary files, rather than embedding multimedia in PDF files.

ProQuest will accept multimedia content of all file types. File types listed below will be migrated by ProQuest. File types other than those listed below are not guaranteed to be migrated.

<b>Images</b>	GIF (.gif); JPEG (.jpeg); TIFF (.tif)
<b>Video</b>	Apple Quick Time (.mov); Microsoft Audio Video Interleaved (.avi); MPEG (.mpeg)
<b>Audio</b>	AIF (.aif); CD-DA; CD-ROM/XA; MIDI (.midi); MPEG-2; SND (.snd); WAV (.wav)

## CHAPTER III: ELEMENTS OF THE MANUSCRIPT

### A. FORMAT

Consult with your committee chair regarding an acceptable manuscript style before preparing the final PDF of the thesis or dissertation. This UCLA Thesis and Dissertation Formatting and Filing Guide supersedes manuals of style if there is a conflict in the instructions regarding format.

### B. ARRANGEMENT

The order for the manuscript pages is listed below. You must follow this order; no exceptions are allowed. Starting with the abstract (ii), each page must be counted and numbered. Use lower case Roman numerals on preliminary pages and Arabic numerals on subsequent pages. The body text starts with the first page of text and uses Arabic numeral 1.

Section	Required?	Suggested Numbering
<b>Title page</b>	Yes	Not numbered
<b>Copyright Page (can be blank if no copyright)</b>	Yes	Not numbered
<b>Abstract</b>	Yes	ii (may be more than one page)
<b>Committee Page</b>	Yes	iii (roman numeral, depending on preceding page)
<b>Dedication Page</b>	Optional	(roman numeral, depends on preceding page)
<b>Table of Contents</b>	Yes	(roman numeral, depends on preceding page)
<b>List of Figures, List of Tables, List of Symbols, List of Acronyms, Supplementary Materials, Glossary, etc.</b>	Optional	(roman numeral, depends on preceding page)
<b>Acknowledgments or Preface</b>	Optional	(roman numeral, depends on preceding page)
<b>Vita/Biographical Sketch</b>	Yes, for doctoral	(roman numeral, depends on preceding page; max. 2 pages)
<b>Body Text</b>	Yes	Begin with 1
<b>Appendices</b>	Optional	
<b>References/Bibliography</b>	Yes	Last pages of manuscript, if not included in individual chapter bibliographies

View sample doctoral ([www.grad.ucla.edu/gasaa/etd/sampledoctoral.pdf](http://www.grad.ucla.edu/gasaa/etd/sampledoctoral.pdf)) and master's ([www.grad.ucla.edu/gasaa/etd/samplemasters.pdf](http://www.grad.ucla.edu/gasaa/etd/samplemasters.pdf)) pages.

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### C. PRELIMINARY PAGES

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The information on the preliminary pages and the format of these pages are standardized. Follow the samples and instructions presented in this manual.

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, be sure to double-space. Format the spaces between groups of lines to present a balanced appearance).

There must be consistency between official university records and all preliminary pages with respect to your name, major field, committee chair's name (or co-chairs' names), title of thesis or dissertation, and year the degree is granted.

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### TITLE PAGE

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1. UNIVERSITY OF CALIFORNIA appears in full capital letters at the top of the page, Los Angeles in upper and lower case letters. You 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 by ProQuest's reference service. Italics are acceptable. Acronyms, and abbreviated forms in general, are to be spelled out (e.g., K<sub>3</sub> Mn(CN)<sub>6</sub> is written Potassium Manganicyanide; MMPI is written Minnesota Multiphasic Personality Inventory; TESL is written Teaching English as a Second Language). ProQuest will not display diacritics or special characters on its website.
3. The MAJOR in which the degree you are earning must be written exactly as it is approved by the Academic Senate Graduate Council. You can verify the official name of the major by visiting URSA, viewing the listing in the UCLA General Catalog or contacting Academic Services. Unofficial specializations should not be included. For example, UCLA awards a graduate degree in Education, not Educational Psychology.
4. The NAME used on the title page must be the name under which you are registered at UCLA and must match the name that appears in official university records, copyright page, abstract and committee page. If you wish to change the name of record, you must file a change of name petition in the Registrar's Office prior to submission of the thesis or dissertation. If you are unsure about what form of your name is on record, this information may be obtained through URSA, the Registrar's Office or Academic Services.
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 via ProQuest after the published last date to file for the Fall Quarter. (E.g. the fall 2011 quarter filing date was November 30, so any student that filed in December 2011 was awarded a degree in 2012.)

There is no page number on the title page, as it is counted as the first preliminary page, but is not numbered.

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## COPYRIGHT PAGE OR BLANK PAGE

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You must include either a blank page or a completed copyright page. This page is not counted or numbered. Whether you intend to file for copyright at the time of filing or at a later date, you must complete a copyright page with the copyright notice, your name, and the year of the copyright, centered at the bottom text margin. See sample pages for an example. The information and layout are the same for both theses and dissertations.

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## REGISTRATION OF COPYRIGHT

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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 current 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 (Public Law 94-553, The Copyright Act 1976, effective January 1, 1978). 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 in the ProQuest Agreement. Registration of the copyright puts on public record the exact details of a copyright claim. In order to bring suit against an infringer, registration is necessary.

Further information about copyright may be obtained at [www.loc.gov/copyright](http://www.loc.gov/copyright).

If a registration of copyright is desired, prepare the copyright page for notification of copyright in the thesis or dissertation. You may apply for a copyright through the ProQuest website at the time of submission.

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## ABSTRACT PAGE

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The words ABSTRACT OF THE DISSERTATION (doctorate) or ABSTRACT OF THE THESIS (master's) appear in full capital letters beneath the top margin. You should follow the sample-page spacing. The version of the title, your 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 official university records. The title "Professor" precedes the chair's name (no matter what the individual's usual title). The title "Chair" or "Co-chair" follows the name; "committee" is dropped. (NOTE: This style is different than the committee 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 abstract will be the most important tool for future web searches of the manuscript.

A separate abstract section is included on the ProQuest site for easy searching of your thesis or dissertation. UCLA strongly endorses the ProQuest recommendation to limit this abstract to 350 words for doctoral dissertations and 150 words for master's theses as some indexes limit words. The abstract in the PDF does not have a word limit and will not be amended by ProQuest.

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## COMMITTEE PAGE

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Each committee member must be listed. 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 in the online approval process. On the committee page, the title "Committee" Chair or (Co-chair) follows each chair's name. You 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 appear(s) as the last name(s) on the page.

A common error is inconsistency among names, especially between committee and abstract pages. Inconsistencies are when the name does not match exactly, like including or not including a middle initial or using a shortened name. You must insure that the form of your name is consistent on the manuscript title page, the abstract page, and the committee page, 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 committee page is typed, the chair's name is now set. That form of the name should be used on the abstract as well.

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.

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## DEDICATION PAGE

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(not in sample pages)

OPTIONAL. If included, this should be typed double-spaced.

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## TABLE OF CONTENTS AND LISTS

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(not in sample pages)

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

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## ACKNOWLEDGMENTS OR PREFACE

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(not in sample pages)

Acknowledgments are optional **except** in the following circumstances:

1. You reprint or reproduce copyrighted material that requires permission to be reprinted or reproduced. In this case, you are responsible for acquiring and acknowledging each permission to reprint or reproduce in accordance with the instructions of the individuals, institutions, or publishers granting the permission. (See Copyright Permissions on page 15.)
2. You include material based on co-authored work that is published, in-press, submitted, or in preparation for publication. In this case, you are responsible for identifying all co-authors and providing full bibliographic information about the publication irrespective of the publication status; if published, the data, volume, and page numbers suffice. The digital object identifier (DOI number) should be included for work that is only available online; it is optional for work that is also available in print. It is adequate for you to include a sentence such as, “Chapter Five is a version of [include the formal bibliographic citation].” Additionally, you must identify and acknowledge the specific contributions of all co-authors. It is sufficient to identify the PI or project director as such. Acknowledgments of non-authors that were included in the original publication can remain in the chapter version if the work is reproduced as published or as accepted.
3. You received funding or the work was supported by an agency or foundation.

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## VITA/BIOGRAPHICAL SKETCH

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(not in sample pages and not used for Master’s thesis; **limited to two pages maximum**)

**VITA/BIOGRAPHICAL SKETCH**—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 sketch of the candidate; it is not intended to be a comprehensive resume. The vita includes previous degrees and names of colleges or universities (exclude the degree for which this dissertation is written), academic or professional employment, publications, presentations, patents and inventions, and may, if you wish, include other scholarly work, military service, honors, awards and distinctions.

You should not include personal information such as date or place of birth, address or marital status.

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## D. START OF TEXT

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### BODY TEXT

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All pages preceding the start of the text are considered preliminary pages and should be numbered with Roman numerals. Starting with the first page of text page numbering is done with Arabic numerals, beginning with “1” and so on to the last page.

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## REFERENCE SECTION/BIBLIOGRAPHY

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The reference section/bibliography is always the last section of the manuscript or the last subsection of each chapter (see Arrangement section). The style used for the reference section is determined by consultation with your committee. If the bibliographic citations are single-spaced, however, there should be double-spacing between citations.

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## E. COPYRIGHT PERMISSIONS

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### USING REPRINTS, MODIFIED PUBLISHED, ABOUT-TO-BE PUBLISHED OR UNPUBLISHED MATERIAL, OR REPRODUCED COPYRIGHTED MATERIAL IN THE MANUSCRIPT

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Reprinting or reproducing material protected by copyright in a manuscript will often require written permission depending on what material is used and how it is reproduced. The following guidelines are meant to conform to UCLA policy, which takes its cues from U.S. Copyright law.

#### PLEASE NOTE:

- All theses and dissertations must comply with UCLA policies regarding permissions in order to be accepted. This section describes those requirements.
- If you do not have the appropriate copyright permissions at the time the manuscript is filed, you will still be allowed to file.
- Also, regardless of copyright status or permission, all works must be properly acknowledged. See page 14 for instructions on acknowledgment.

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### WHAT A STUDENT CAN DO WITHOUT PERMISSION

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Copyright is inherent upon creation, so it is wise to assume that any materials for which you do not own copyright, published or unpublished, are protected.

The following materials are **not protected** by copyright:

1. Your own work
  - If you use a modified version of an about-to-be-published article or a paper in progress as a chapter in the manuscript, copyright permission will not be required.
2. Any works in the Public Domain, which includes:
  - Works produced by the Federal Government (at any time).
  - Material published in the U.S. before 1923.
  - Selected additional works published between 1923 and 1977, depending on several factors.

*One should assume that anything published in 1923 or afterwards is **NOT** in the Public Domain, unless you are able to determine otherwise.*

3. Items made specifically available for commercial reuse, such as works clearly marked with a Creative Commons license allowing that type of use without prior permission.

Outside of the exceptions above, ***assume that any published or unpublished materials, including materials found on the internet, are protected by copyright.***

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## FAIR USE

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**Limited amounts of works protected by copyright can be used without permission by employing the “Fair Use” exception to Copyright Law.** ProQuest provides access to “Copyright Law and Graduate Research” by Kenneth Crews, which explains Fair Use and other copyright considerations at great length:

<http://proquest.com/en-US/products/dissertations/copyright/>

Also, UCLA recommends that you read the **Visual Resources Association’s Statement on The Fair Use of Images for Teaching, Research, and Study**. It specifically addresses the use of images in dissertations and suggests its own standards for Fair Use in relation to images:

<http://www.vraweb.org/organization/pdf/VRAFairUseGuidelinesFinal.pdf>

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## OBTAINING PERMISSION TO USE COPYRIGHTED WORKS

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Copyright is a protection enjoyed by the originator of any creative work. However, in many cases, authors transfer the copyright of their work to the publisher of the materials. If permission is necessary, you must obtain permission from the actual copyright holder which might be the publisher, not the author.

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## ARTICLE REPRINTS

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One of the most frequent uses of copyrighted materials in a thesis or dissertation is the use of “reprints.” If approved by your committee, a master’s thesis or doctoral dissertation may include such reprints. A reprint is an identical copy of a published article, and unless the author retained the right to reprint in the original author agreement for said article, the student must obtain the publisher’s permission to reprint. You must obtain a letter of endorsement from your committee chair to use reprinted materials as well as letters of endorsement from co-authors of the material. You must retain these letters for possible future scrutiny.

You must acknowledge the permission, and identify the author who directed the research that forms the basis of the article/chapter, in the manuscript’s Acknowledgments section. (See page 14 Acknowledgments.)

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 should be blocked out. See page 8 for formatting guidelines.



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## ALTERNATE VERSIONS OF PUBLISHED ARTICLES

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Instead of reprints – identical copies of articles you have published – you may decide to include modified versions of the material you have published, such as the manuscript form of the article you submitted for publication, or a substantial portion of the article's text. **Closely analyze the author's agreement you signed upon publication to check if you signed away these rights.** Even if you did not, be careful to not use without permission any tables, charts, or images that were included in the article. If you are concerned with how to proceed, please contact the publishers or one of the librarians at the end of this document for a consultation.

Beyond the bounds of copyright, **permission is sometimes required for the use of materials from certain private collections and museums.** The student is responsible for determining if such permission is needed, and if it is, to submit letters of permission when the manuscript is filed with the theses and dissertations advisor.

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## PERMISSION LETTERS

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If you believe that permissions letters are necessary, the request should be mailed as early as possible.

Most publishers will have detailed instructions on their websites for obtaining permissions. Some will provide a contact or mailing address, and others use a service from the Copyright Clearance Center, which handles permissions requests for a variety of publishers. If the publisher grants permission, they should sign a letter to use the material within the thesis or dissertation.

When contacting copyright holders, these time limits and restriction information should be included in the permission request, to underscore the need for a timely reply. Also, the permission request should not be left open-ended. The copyright holders should be asked for a response, whether the answer is yes or no.

When contacting copyright holders for permissions letters, **you should use your home or department as a return address if you are writing early enough to receive replies before filing the manuscript.** *If you wait until the last minute* before sending out permission-request letters, you should use the ProQuest address given below.

Permission answers should be mailed directly to:  
ProQuest  
Attn: Author School Relations  
789 E Eisenhower Pkwy  
Ann Arbor, MI 48106

*Include your first and last name, title of your manuscript, and UCLA as your university*

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## COPYRIGHT QUESTIONS

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Copyright questions always boil down to a case-by-case analysis, and even with a clear understanding of the law and guidelines such as the above, it's easy to be confused. The UCLA

Library stands ready to assist you with any questions you might have about copyright and permissions. Contact information can be found at the end of the document to schedule a consultation.

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### DELAYED RELEASE (EMBARGO)

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The Graduate Council 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. In some cases, for example when a patent is being filed, it may be reasonable and appropriate to put in place an embargo that delays public release of the thesis or dissertation. Other reasons may be to satisfy requirements for review of grant-sponsored research or to protect data being utilized by a team of researchers of which you are a member.

If a delayed release is necessary, you may select this option when uploading the thesis or dissertation to ProQuest. Embargo lengths are 6 months, 1 year or 2 years. No extensions are allowed. The embargo will also apply to theses and dissertations displayed on eScholarship. If you decide to embargo your thesis or dissertation at a later point after filing, you will need to contact both ProQuest and eScholarship. Contact information for eScholarship is on the last page of the guide.

### **PLEASE ALSO NOTE THE FOLLOWING:**

All fees are subject to change without notice.

No changes to your thesis or dissertation are allowed after you submit your manuscript to ProQuest.

## ETD SUBMISSION INSTRUCTIONS

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### STEP 1: GRAD.UCLA.EDU/ETD/

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1. Visit ([www.grad.ucla.edu/etd/](http://www.grad.ucla.edu/etd/)) and log in with your UCLA Logon ID.
2. Within the secure website:
  - a. Verify your official name, official major, whether the final oral exam is required, and initiate revisions to this information as applicable. All information must be correct and complete in order to proceed.
  - b. Verify the committee members and initiate the online faculty approval process. This step replaces the previously required signature page.
    1. UCLA professors will need to access their UCLA email addresses found in the campus directory.
  - c. Complete the UCLA Doctoral Exit Survey and the Survey of Earned Doctorates (for doctoral candidates only).
3. Enter the ProQuest site to upload the final PDF version of the manuscript. (See instructions below)
4. Return to [www.grad.ucla.edu/etd/](http://www.grad.ucla.edu/etd/) to enter your submission ID (see instructions below).
5. Complete the electronic filing and degree requirements.

### STEP 2: PROQUEST

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1. Create an account with ProQuest (<http://www.etdadmin.com/ucla>).
2. Decide on publishing options:
  - a. Traditional Publishing.
  - b. Available to search engines. Recommended.
  - c. Third party retailers. This option is not recommended if you have a desire to publish your manuscript at a later date.
3. UCLA discourages delayed release unless you are waiting on a patent or have a compelling research need. A delayed release (embargo) can be 6 months, 1 year or 2 years only.
4. Add contact information.
5. Complete thesis or dissertation details.
  - a. Enter your title. It is recommended you copy and paste the title from a word document if you want to maintain the UCLA Graduate Division approved diacritics, special characters or italics.
  - b. Confirm the year you are filing.
  - c. Select your **major** from the dropdown menu titled "Department."
  - d. Input committee members – enter names consistent with committee page.
  - e. Select subject categories: these are created by ProQuest for indexing purposes.
  - f. Include any keywords for future searching of your manuscript.

- g. Insert abstract: while there is no word limit to an abstract on the ProQuest site, some major online publications do limit thesis abstracts to 150 words and dissertation abstracts to 350 words.
6. Create and upload an Adobe PDF of your final dissertation or thesis.  
**NOTE: DO NOT UPLOAD A DRAFT.** Once you submit your thesis or dissertation, you will not be allowed to make changes unless required by the UCLA Graduate Division. Be sure your manuscript is in its final form!
- a. Verify formatting according to the *Thesis and Dissertation Formatting and Filing Guide*. (<http://www.grad.ucla.edu/gasaa/library/thesisintro.htm>)
7. Upload any supplemental materials. Acceptable file types are: audio, code/script, data, image, pdf, presentation, spreadsheet, text, video, webpage.
8. Include appropriate copyright information; you have an opportunity to apply for a copyright through ProQuest
9. Order copies. Copies take about 5 weeks to ship after the manuscript is published by ProQuest. You can also order copies through the UC Bindery (<http://bindery.berkeley.edu/contact>), which has lower prices.
10. Confirm your selections.
11. Click Submit.
12. Once you receive the confirmation email from ProQuest, you must copy and paste the submission code (displayed in parentheses after your title) and enter it back into [www.grad.ucla.edu/etd/](http://www.grad.ucla.edu/etd/) to complete the UCLA electronic thesis and dissertation filing process. See below for screen shots of where to locate your submission ID.

*Sample confirmation email*

Dear [Student],

Thank you for your interest in publishing your dissertation. Your submission, "A look at "All About My Mother" by Pedro Almodóvar" (10002) has been submitted to University of California, Los Angeles.

The administrators at the graduate school will review your submission and contact you if there is any missing information.

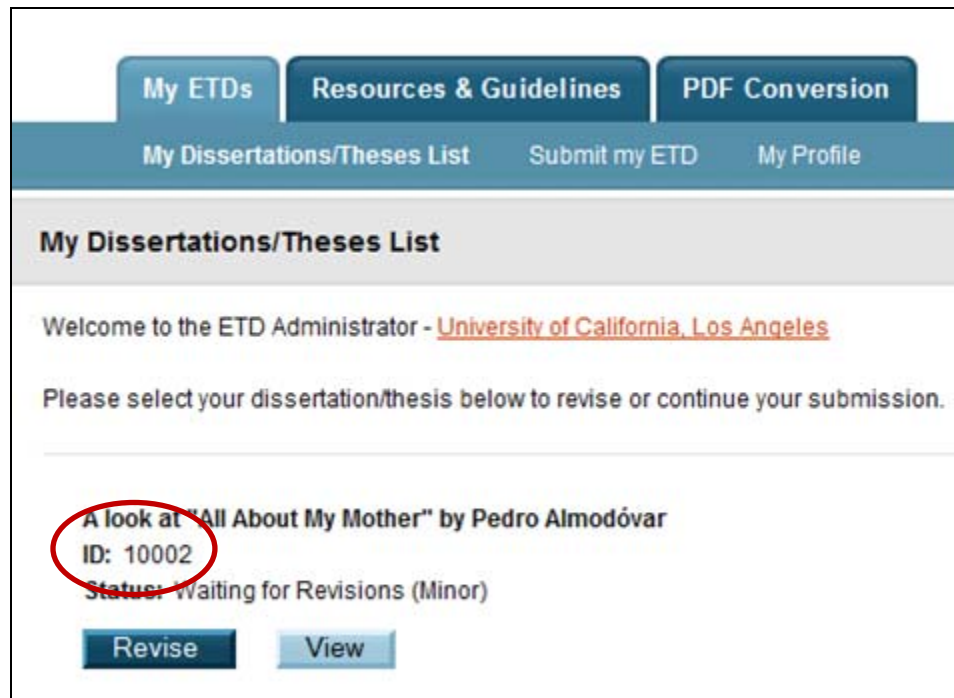
Your submission may be accessed via the following link:

View ETD (<http://www.etdadmin.com/cgi-bin/student/etd?submissionId=129528;siteId=451>)

Order Summary:

Quantity	Description	Unit Price *(USD)	Total Price *(USD)
1	Traditional Publishing	\$0.00	\$0.00
	Sales Tax		\$0.00
	Service Tax		\$0.00
* Note: Prices are in U.S. Dollars (USD)		Total:	\$0.00 USD

*You can also find your submission ID number when you log back into UMI/ProQuest after submission.*



Graduate Division confirms that you have met degree requirements, reviews and approves the final submission and may contact you about changes. You will receive a confirmation email when the Graduate Division has completed the submission of your thesis or dissertation to ProQuest.

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### CERTIFICATE OF COMPLETION

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A Certificate of Completion from UCLA is only necessary when you must immediately submit proof of completion to an employer or other institution. If needed, you can contact the Registrar's Office only **after** receiving the final email confirmation from the Graduate Division of the completion of all filing requirements.

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### HELPFUL HINTS

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- Make sure you are completely familiar with the new (simpler) formatting and filing requirements before beginning this process.
- Allow certifying committee members sufficient time to sign off electronically by the deadline.
- If applicable, allow committee members sufficient time to electronically submit their assessment of your final oral exam.
- Plan ahead! Give yourself enough time to complete the entire online process.

## RESOURCES

IF YOU NEED HELP WITH:	CONTACT:
<b>Completion of Academic Requirements</b> <b>or</b> <b>Formatting and Filing Guide</b>	<b>Academic Services, UCLA Graduate Division</b> 1255 Murphy Hall (310) 825-3819 Phone support available from 9:00 am - 4:00 pm, Monday through Friday (excluding UCLA holidays) <a href="mailto:academicservices@grad.ucla.edu">academicservices@grad.ucla.edu</a>
<b>Technical Support for UMI/ProQuest</b>	1.877.408.5027 Phone support available from 9:00 am-6:00 pm E.S.T., Monday through Friday (excluding U.S. holidays) <a href="http://www.etdadmin.com/cgi-bin/techsupport">http://www.etdadmin.com/cgi-bin/techsupport</a>
<b>eScholarship (California Digital Library)</b>	510-987-9869 <a href="mailto:help@escholarship.org">help@escholarship.org</a>
<b>Degree Certificate and Diploma</b>	<b>Student Services, Verification and Transcripts</b> 1113 Murphy Hall (310) 825-1091 Office hours: 9:00 am - 5:00 pm, Monday through Friday <a href="http://www.registrar.ucla.edu/faq/transcriptfaq.htm">http://www.registrar.ucla.edu/faq/transcriptfaq.htm</a>  <b>Registrar's Office Certificates of Completion</b> 1113 Murphy Hall Doctoral and Master's Candidates (310) 825-3248 <a href="http://www.registrar.ucla.edu/forms/">http://www.registrar.ucla.edu/forms/</a>
<b>Copyright Consultation</b>  Copyright questions always boil down to a case-by-case analysis, and even with a clear understanding of the law and guidelines such as the above, it's easy to be confused. The UCLA Library stands ready to assist you with any questions you might have about copyright and permissions.	<b>Martin Brennan</b> Copyright and Licensing Librarian <a href="mailto:martinjbrennan@library.ucla.edu">martinjbrennan@library.ucla.edu</a> (310) 206-0039 or <b>Angela Riggio</b> Head of Scholarly Communication and Licensing <a href="mailto:ariggio@library.ucla.edu">ariggio@library.ucla.edu</a> (310) 206-7532
<b>Copyright and Publication</b>	<b>Copyright Office</b> Library of Congress Washington, D.C. 20559 (202) 707-9100 <a href="http://www.loc.gov/copyright">www.loc.gov/copyright</a>  <b>ProQuest (formerly UMI)</b> 300 North Zeeb Road Ann Arbor, MI 48106 (800) 521-0600 ext. 7020 <a href="http://proquest.com/">http://proquest.com/</a>
<b>Word Processing and Formatting</b>	<a href="http://www.clicc.ucla.edu/">http://www.clicc.ucla.edu/</a>