



University of Kentucky Thesis and Dissertation Submission Guide

UKnowledge (<http://uknowledge.uky.edu/>) is the University of Kentucky's institutional repository, which collects and provides online access to the unique scholarship created by the UK community. UK graduate students have to submit their accepted theses/dissertations to UKnowledge. **Please take note of these requirements:**

1. The UK Graduate School [Electronic Thesis or Dissertation \(ETD\) Approval Form](#) must be filled out, signed by the advisor, Director of Graduate Studies, and the student, and uploaded to UKnowledge with the thesis/dissertation as instructed on page 10 of this guide. If the students have questions about their college or departmental affiliations, they should seek clarification from their advisors.
2. In case the students wish to impose an embargo on their theses/dissertations (i.e., a delay in online access), they must indicate it on the ETD Approval Form. Questions about an embargo should be directed to the Graduate School at 257-1946.
3. The students should ensure that their theses/dissertations are free of errors. Once the Graduate School has posted the theses/dissertations on UKnowledge, no correction can be made unless the Assistant Dean of Graduate Academic Services in the Graduate School grants the permission.
4. The students have to follow the [Preparation of Theses and Dissertations guidelines](#) to convert their theses/dissertations to PDF format, ensure that the formatting is correct, and check that the file size is not over 250 megabytes. PDF files that exceed the 250-megabyte limit will lengthen the submission process.
5. Your thesis/dissertation will not be accepted for degree requirement purposes until all format revisions requested by the Graduate School have been completed, the revised version is submitted to UKnowledge, and all required forms are submitted as additional files.

Students who meet these requirements should follow the steps in this guide and submit their theses/dissertations to UKnowledge accordingly. Questions about online submission should be directed to the Graduate School at 257-1946 unless specified otherwise.

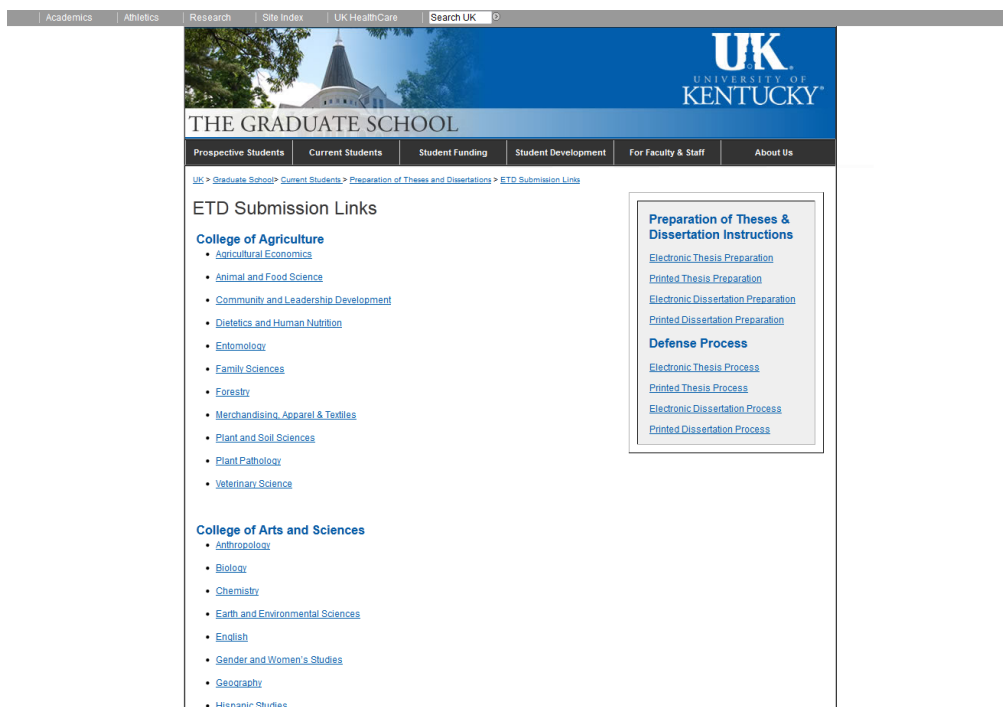
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Get Started

Open your Web browser and go to this Graduate School page:

http://www.research.uky.edu/gs/CurrentStudents/ETD_Submission_Links.html

This shortened URL will also take you to the same page: <http://go.uky.edu/KQ>



UK academic departments/programs are listed on the page. Click the link for your department/program. **If you do not see your department/program listed, please contact the Graduate School at 257-1946 immediately.**

Log in/Create a Login Account

You should see a UKnowledge login page. The UKnowledge system works best with the Firefox browser.

If you already have a UKnowledge account, please log in. **The UKnowledge account is different than your LinkBlue account.** If you have forgotten your password, click the **Forgot your password?** link and follow the instructions to reset the password.

If you have never made a submission to UKnowledge before, you will need to create an account. **It will be separate from your LinkBlue account.**

The screenshot shows the UKnowledge website header with the University of Kentucky logo and a navigation bar. The main content area is divided into a left sidebar and a right main section. The sidebar contains a search bar, a 'BROWSE' section with links to Collections, Disciplines, and Authors, an 'AUTHOR CORNER' section with links to Author Rights/Copyright and Author FAQ, and a 'UK LIBRARIES NEWS & EVENTS' section. The main section features a 'Login' form with fields for Email address and Password, a 'Remember me' checkbox, and a 'Login' button. Below the login form is a link to 'Forgot your password?'. To the right of the login form is a 'Create new account' section with a 'Sign up' button. A note below the sign up button states: 'You will need to create an account to complete your request. It's fast and free.' At the bottom of the main section, there is a note: 'New Email Address? Please log in and choose Edit Profile on your My Account page to update your contact information or customize your password.'

When creating an account, please provide an email address that you can still use after graduation. The UKnowledge system will recognize you with that email address and send you download counts of your thesis/dissertation by email.

Please complete this form to create your user account. Use proper casing for names and institution as these fields may be displayed for publication purposes. Berkeley Electronic Press neither sells nor rents contact information to third parties.

You will receive an email confirmation shortly.

Required fields are marked with an *:

Email address *

First/Given Name *

Middle Initial

Last/Family Name *

Suffix

Institutional Affiliation Not on list? Please enter name in full.

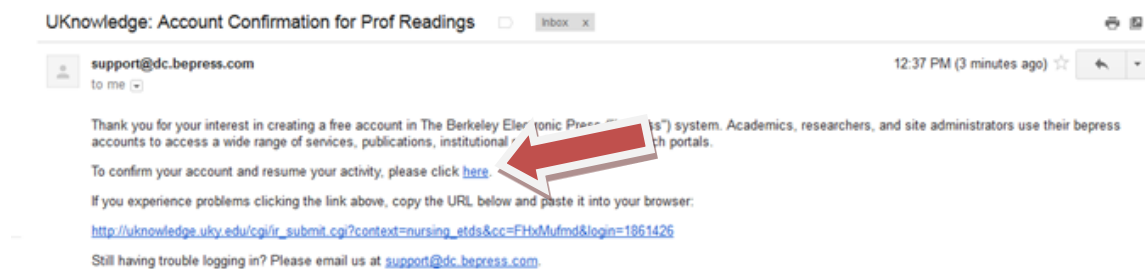
Password *

Re-enter Password *

Type your name as it appears on your thesis/dissertation. The suffix box is for an abbreviation such as Jr. or Sr., **not** Mr., Ms., Mrs., Dr., or PhD. Skip it if you do not have a suffix. Do not add a nickname (e.g., Elizabeth “Liz” Adams) as part of your name.

Please enter “University of Kentucky” for the institutional affiliation. Remember to write down your password for future reference.

Click the **Sign up** button to complete the account creation process. The UKnowledge system will send you a confirmation message by email.

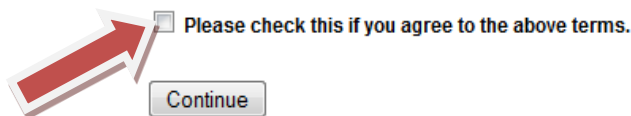


There is a link in the message that enables you to log in and continue the submission process. Click it.

If you do not see the confirmation message in your email inbox, check the junk mail box because the UK email system may treat the confirmation message as spam.

Submission Agreement

After logging in the system, you will be presented an agreement as the first step of the submission process. Please read the agreement carefully, print it for your record, check off the box, and click the **Continue** button at the bottom. Questions about it should be directed to the Graduate School at 257-1946.



Metadata of Thesis/Dissertation

REQUIRED Title



Please enter the title exactly as you have it on the title page of your dissertation/thesis.

Dissertation/Thesis Title

Title – Copy and paste or retype the title of your thesis/dissertation in the text box. The title should be exactly the same as it appears on your thesis/dissertation. However, feel free to change the case so that only the first letter of each word is capitalized.

REQUIRED Author

Use a permanent email address and enter "University of Kentucky" for Institution. Suffix refers to words such as Jr. and Sr., not Mr., Ms., Mrs., or Dr.

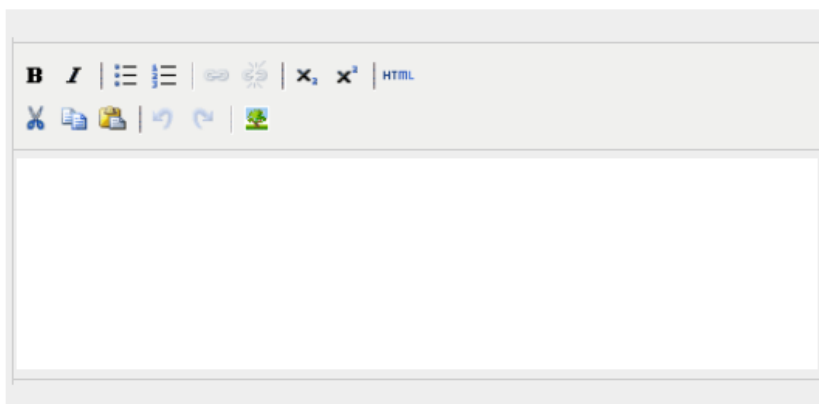
Search For An Author Using: Last Name, First Name, Email, or Institution						
1						 
Email	First	Middle	Last	Suffix	Institution	
<input type="text" value="Search..."/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="Search..."/>	

Author – The system automatically populates this section with the data you provided when creating the UKnowledge account. Please verify that:

- the email address is one you can still use after graduation;
- your name is identical to the one on your thesis/dissertation; and
- "University of Kentucky" has been entered in the Institution field.

Author ORCID Identifier

If you have an ORCID ID, enter it in the field below. If you do not have an ORCID ID but would like to register for one, [click here](#) and follow the instructions. [Click here](#) for more information about ORCID ID.

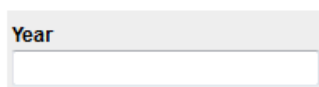


Author ORCID Identifier – If you have an [ORCID identifier](#), enter it here in form of a URL by placing the 16-digit number immediately after “<http://orcid.org/>,” e.g., <http://orcid.org/0123-0123-0123-0123>. Then embed the URL in your ORCID identifier by using the toolbar above the text box so that the identifier becomes clickable.

If you do not have an ORCID iD, you may want to register for one. An ORCID iD is a unique identifier that helps eliminate confusion over the variant forms of a researcher’s name, e.g., David Martin, David L. Martin, D. L. Martin, etc. It also aims to distinguish researchers with identical names or researchers who have changed their names. Registration for an ORCID iD is free and you can use it throughout your academic career to facilitate recognition of your scholarly contributions. More information about ORCID iD is available in [this short video](#).

Once you have obtained an ORCID iD, remember to add it to your thesis/dissertation (e.g., below the copyright notice on the cover page), future scholarly publications, CV, and academic profiles such as a personal Web page. This will help clarify your identity as a scholar among others who have names similar to or same as yours.

REQUIRED Year of Publication



Year of Publication – Enter the year your thesis/dissertation was approved by the advising committee.

REQUIRED Embargo Period

An embargo is a delay in online access to your thesis/dissertation. If an embargo is not applicable, leave the option as No Embargo Required. If you require an embargo, click the drop-down menu and select the duration. It should be the same as the duration you selected on the ETD Approval form.

Embargo Expiration
No Embargo Required ▼

Embargo Period (Duration of the delay in online access to your thesis/dissertation) – **If you wish to have an embargo on your thesis/dissertation, you should discuss it with the thesis/dissertation committee chair (or co-chairs if any). If the committee chair(s) supports the embargo, you must indicate it on your ETD Approval Form.** More information regarding an embargo is available on the [Theses and Dissertations page](#) of the UKnowledge Guide. If you have any questions, contact the Graduate School at 257-1946.

If an embargo is not applicable to your thesis/dissertation, leave the option as **No Embargo Required**. If you require an embargo, click the drop-down menu and select the duration. It should be the same as the duration you selected on the ETD Approval Form.

Please note that there is a record of each embargoed thesis/dissertation on UKnowledge that displays the author name, title, abstract, publication year, and college and department affiliations. The record also shows when the embargo will expire. Only you as the author and the administrators of UKnowledge can access the thesis/dissertation before the embargo expiration date.

REQUIRED Degree Name

Name of the degree associated with the work as it appears within the work. (example: Masters in Operations Research)

Degree Name:
<-- Please Select One --> ▼

Degree Name – Use the drop-down menu to choose your awarded Degree. **If your degree name is not listed, or if you are unsure which option to select, contact the Graduate School at 257-1946.**

REQUIRED Document Type

Document Type:

Document Type – Use the drop-down menu to choose Master’s Thesis or Doctoral Dissertation.

REQUIRED College

Enter College:

College – Use the drop-down menu to choose your college affiliation. **If your college is not listed, or if you are unsure which option to select, please notify the Graduate School at 257-1946.**

REQUIRED Department

Department:

Department – Use the drop-down menu to choose your departmental affiliation or the title of your academic program. **If your department or program is not listed, or if you are unsure which option to select, please notify the Graduate School at 257-1946.**

REQUIRED First Advisor

Copy/paste name from cover sheet—Dr. John N. Smith. If you have co-chairs for your committee, please enter second name in the Second Advisor field below.

First Advisor:

Second Advisor

Second Advisor:

REQUIRED Director of Graduate Studies

Advisor(s) and Director of Graduate Studies – Enter the title(s) and name(s) of your advisor(s), e.g., Dr. Charles Smith. Skip the **Second Advisor** field if you do not have co-chairs on your committee. Enter the title and name of your Director of Graduate Studies, e.g., Dr. Frances Gauthier.

REQUIRED Keywords

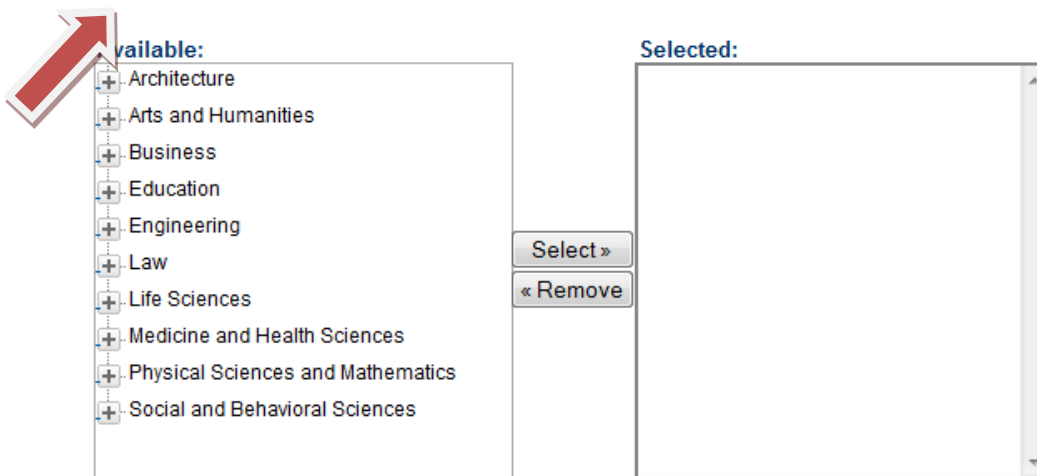
To enhance the indexing and retrieval of your thesis/dissertation, you may add up to six keywords or phrases as descriptors. They should be separated by commas. They will help identify and classify your thesis/dissertation in online searches. Possible keywords or phrases include geographical locations or scientific names not mentioned in your title or abstract.

Keywords:

Keywords – Enter up to six keywords or phrases to describe your thesis/dissertation. Separate them with commas. Keywords improve the online indexing and discoverability of your thesis/dissertation. **This field does not accept HTML tags.**

REQUIRED Subject Categories

Please select at least one subject category that best fits your thesis/dissertation. Subject categories will improve the indexing and retrieval of your thesis/dissertation. Click [here](#) to view the complete list of disciplines.



Available:

- + Architecture
- + Arts and Humanities
- + Business
- + Education
- + Engineering
- + Law
- + Life Sciences
- + Medicine and Health Sciences
- + Physical Sciences and Mathematics
- + Social and Behavioral Sciences

Selected:

Select »
« Remove

Subject Categories – Select up to five relevant subject categories from the menu on the left. To expand a particular subject category, click the plus sign on the left of it. You will see subcategories and can choose the one(s) most suitable for your thesis/dissertation. If you wish to see all subcategories, click the link noted above to download the complete list.

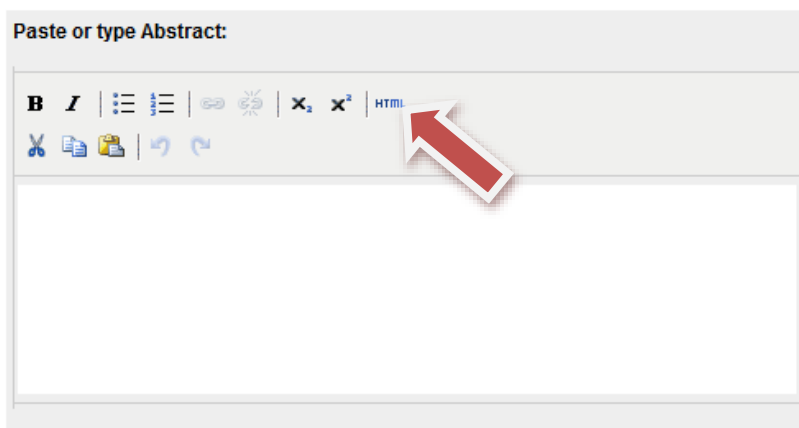
To choose a particular subject category/subcategory in the Available box, click it and then click the **Select** button. If you made a mistake, click the inappropriate subject category/subcategory in the Selected box and click the **Remove** button.

Assigning accurate and specific subject categories/subcategories will improve the online indexing and discoverability of your thesis/dissertation. It will also inform readers of what your expertise and research interest are.

REQUIRED Abstract

Learn how your abstract can [improve the discovery of your thesis/dissertation](#) in online searches.

Paste or type Abstract:



Abstract – The toolbar above the abstract box provides shortcuts to formatting such as creating a numbered list, embedding links, enabling superscript, etc. If there are special characters and/or specific formatting in your abstract, the best way to enter them is to click the HTML button and paste the text in the pop-up text box. From there, you can use HTML tags to format the text as needed. Click the **Update** button on the pop-up box to add the formatted text to the abstract box.

For more information about special characters and HTML formatting, please see the [UKnowledge FAQ page](#) and this [HTML Tutorial](#).

Digital Object Identifier (DOI)

Skip this field. UK Libraries will assign and register a digital object identifier for this thesis/dissertation before releasing it on UKnowledge.

Digital Object Identifier – Skip this field. A digital object identifier (DOI) is a unique and internationally recognized number for your thesis/dissertation. UK Libraries will assign and register it for you. You will be notified of it by email when your thesis/dissertation is released on UKnowledge. Please note that it may take 24 hours from the release time of your thesis/dissertation for the DOI to become valid.

REQUIRED Upload Full Text

To locate your file: Click the **Browse** button to locate your manuscript on your computer.

Full text of submission:

- ☒ Upload file from your computer
- ☐ Import file from remote site
- ☐ Link out to file on remote site



Please remember to convert your thesis/dissertation to PDF format and check the layout and formatting before uploading the PDF file.

Upload Full Text – Click the radio button next to **Upload file from your computer**, select the PDF file of your thesis/dissertation, and upload it. **Do not choose the other options to submit your thesis/dissertation.**

Additional Files

Please check this if you'd like to add additional files ☐



Additional Files – The Graduate School requires you to submit certain administrative documents in PDF format as additional files during the submission process. Moreover, you can submit supplementary files such as research data, graphs, spreadsheets, images, video files, audio files, etc. that are part of your thesis/dissertation.

Check off the box and click the **Submit** button at the bottom of the page. The additional file(s) to submit includes:

1. The completed and signed [ETD Approval Form](#) in PDF format (required)
2. Reprint permission letter(s) and/or third party software license(s) in PDF format, if applicable
3. Supplementary file(s) such as research data, graphs, spreadsheets, images, video files, audio files, etc., if any
UKnowledge supports these file formats:
 - Images: PNG, JPEG, GIF, TIFF
 - Audio: MP3, MP4, AIFF, “unprotected” (DRM-free) AAC, WAVE
 - Video: MPEG, QuickTime
 - Data: XML, Comma-separated values

If you have more than five supplementary files, please include them all in a zip file and upload the zip file. If you have questions or need assistance, please contact the UKnowledge administrators at UKnowledge@lsv.uky.edu. You can also seek help from the [UKAT Service Desk](#).

Please follow these file-naming conventions:

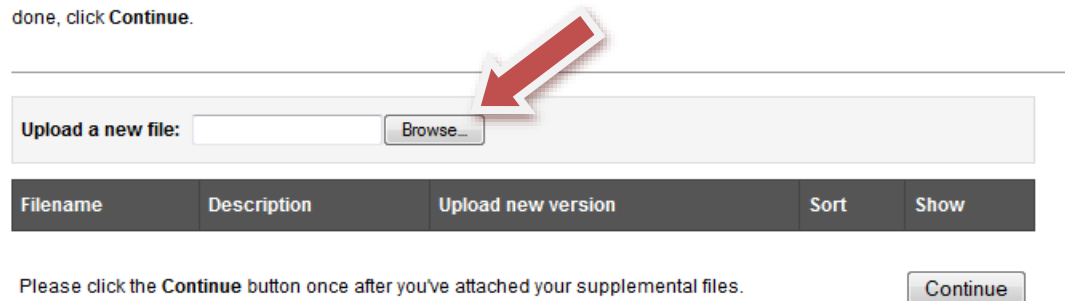
ETD Approval Form	→	lastname_firstname_etd.pdf
Reprint permission letter(s)	→	lastname_firstname_permissions.pdf
Supplementary files	→	File name at student's discretion. If there is more than one file, it is recommended that there be a convention for the file name consistency.

On the next screen, use the **Browse** button to identify the file(s) to upload. The process is similar to attaching a file to an email.

Upload Supplemental Content

If your submission includes supplementary material—spreadsheets, audio clips, or other material that isn't part of the text portion of your work—you can upload it here. If you wish to upload a supplementary file, use the form below to locate the file on your computer.

Click the **Browse** button to upload the file. Repeat this process for each additional file you want to upload. When you are done, click **Continue**.

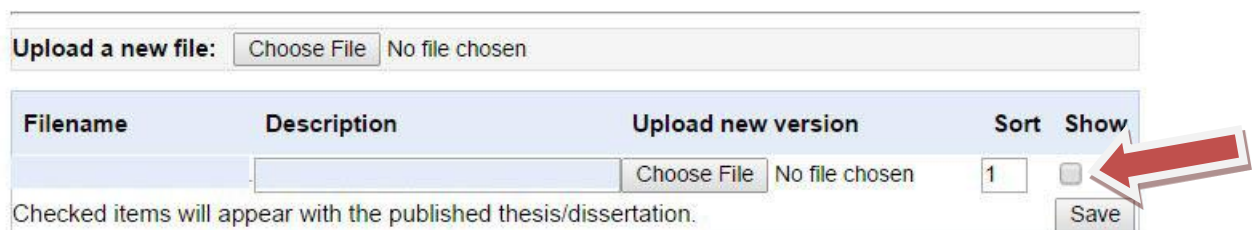


Upload a new file:

Filename	Description	Upload new version	Sort	Show
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Please click the **Continue** button once after you've attached your supplemental files.

For the ETD Approval Form and the reprint permission letter(s), please ensure that there is **not** a check mark in the **Show** box. Then click the **Save** button.

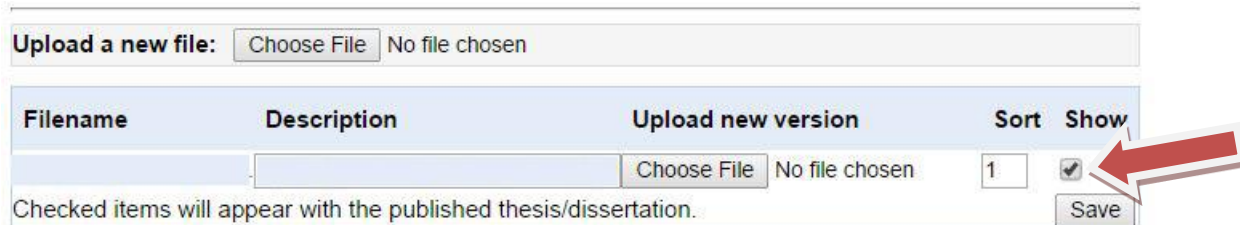


Upload a new file: No file chosen

Filename	Description	Upload new version	Sort	Show
		<input type="button" value="Choose File"/> No file chosen	1	<input type="checkbox"/>

Checked items will appear with the published thesis/dissertation.

For supplementary files such as research data, graphs, images, etc., please put a check mark in the **Show** box. Then click the **Save** button.



Filename	Description	Upload new version	Sort	Show
		Choose File No file chosen	1	<input checked="" type="checkbox"/>

Checked items will appear with the published thesis/dissertation.

Save

When all additional files have been uploaded and saved, click the **Continue** button to complete the submission process.

When you see this message: “You have successfully uploaded: [title of your thesis/dissertation],” you are DONE. Now there is a record of your thesis/dissertation on the UKnowledge system. You will receive a system-generated email message to confirm receipt of your submission.

In case the system does not accept your submission, you may want to consider these factors:

- The system works best with the FireFox browser.
- It takes longer to upload a large PDF file. Make sure that the size of your thesis/dissertation (and other files) is not over 250 megabytes.
- The speed of Internet connection matters.
- The age of your computer also matters.

Please try to submit your thesis/dissertation later in the day. If the situation persists, contact the UKnowledge administrators at UKnowledge@lsv.uky.edu.

When you finish the submission process, please remember to log out.

What Happens Next

Your thesis/dissertation is now under review. The [Degree Certification Officers](#) at the Graduate School will check the format within two to three business days to ensure that it meets all standards and requirements.

Once your thesis/dissertation has been reviewed, you will receive a decision message by email. The Degree Certification Officer will either accept your submission or request that you make format corrections to the thesis/dissertation before your ETD is accepted. If the latter, there will be a list of corrections in the email or a correction sheet to guide you. Please read carefully and revise your thesis/dissertation as requested.

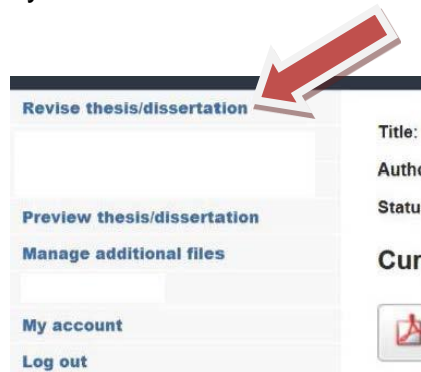
Your thesis/dissertation will not be accepted for degree requirement purposes until all format revisions requested by the Graduate School have been completed, the revised version is submitted to UKnowledge, and all required forms are submitted as additional files. If you have any questions, contact the Graduate School at 257-1946.

For doctoral students only: The Degree Certification Officers will send you a link to the Survey of Earned Doctorates and the ProQuest Dissertation Agreement. Please complete the survey and print the confirmation page. Also complete and sign the ProQuest Dissertation Agreement. Scan both documents into PDF files at **300 DPI** (300 dots per inch for resolution) and submit them to UKnowledge. More information about this submission step is available in the next section.

Submission of Revision (and Doctoral Degree Documents)

After you have modified your thesis/dissertation and converted it to a PDF file, refer to the Graduate School's decision message for instructions on how to upload the revised version to the UKnowledge record you have already created for your thesis/dissertation. **Do not go through the submission process described on previous pages again because it will result in a duplicate record, cause confusion, and delay the processing of your revised thesis/dissertation.**

Click the link in the Graduate School's decision message and log in the UKnowledge system to access this screen:



Click the **Revise thesis/dissertation** link on the left.

REQUIRED Upload Full Text

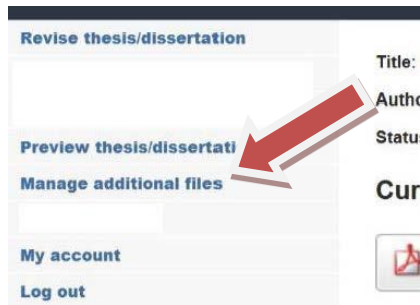
To locate your file: Click the **Browse** button to locate your manuscript on your computer.

Full text of submission:

- ☐ Upload file from your computer
- ☐ Import file from remote site
- ☐ Link out to file on remote site

Click the radio button next to **Upload file from your computer**, select the PDF file of your revised thesis/dissertation, and upload it. **Do not choose the other two options.**

If you submitted a supplementary file(s) (e.g., research data, graphs, spreadsheets, images, video files, audio files, etc.) and wish to replace it with a revised version, you can do so by clicking the **Manage additional files** link on the left.



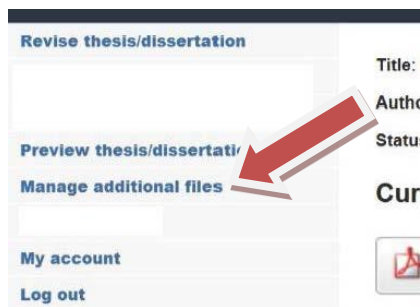
Click the **Submit** button at the end to complete the submission process. Please remember to log out. You will receive a confirmation message by email. If you have any questions, contact the Graduate School at 257-1946.

For doctoral students only: Even if you do not need to submit a revised version of your dissertation, you still have to log in the UKnowledge system to submit the PDF files of the Survey of Earned Doctorates confirmation page and the signed ProQuest Dissertation Agreement. Please remember that both documents should be scanned at **300 DPI** (300 dots per inch for resolution) and follow these file-naming conventions:

Survey of Earned Doctorates confirmation page → lastname_firstname_sed.pdf

ProQuest Dissertation Agreement → lastname_firstname_ag.pdf

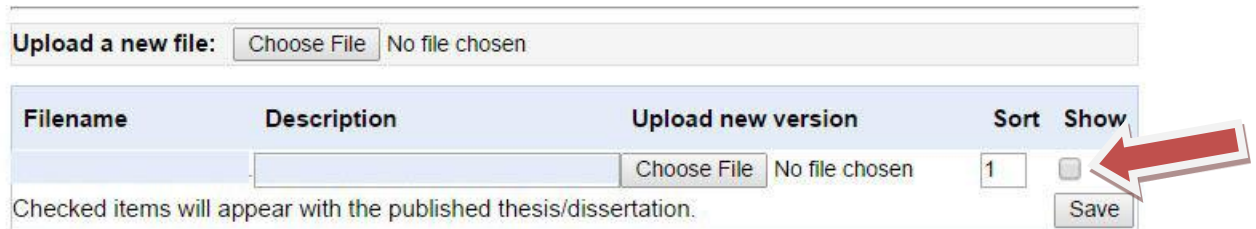
Refer to the Graduate School's decision message for instructions on how to log in and access the UKnowledge record you have already created for your dissertation.



When you see the above screen, click the **Manage additional files** link on the left. An area to upload new additional files will appear at the bottom of the page. Upload the survey confirmation page and the ProQuest Dissertation Agreement separately.

For the ProQuest Agreement, only pages 4 and 5 are necessary. Copyright registration is optional, so skip page 6 if you do not intend to request it. You as the author are by default the copyright holder of your thesis/dissertation even without going through the registration process. However, registration will provide you with more protection in case somebody infringes upon your copyright in the future. Please upload the required pages of the ProQuest Agreement as one PDF file.

Please ensure that there is not a check mark in the **Show** box for the Survey of Earned Doctorates confirmation file and the ProQuest Agreement file. Then click the **Save** button.



Filename	Description	Upload new version	Sort	Show
		Choose File No file chosen	1	<input type="checkbox"/>

Checked items will appear with the published thesis/dissertation.

Save

After adding the necessary files, please email your Graduate School Degree Certification Officer to inform them that the required files have been uploaded to UKnowledge. **It is important that you do so. Not informing your Degree Certification Officer will result in a delay in processing your dissertation.**

The Graduate School will not accept your thesis/dissertation unless all required administrative documents have been submitted as described above. Once your thesis/dissertation is accepted, it will soon be posted on UKnowledge. You will be notified of its URL and digital object identifier by email. Please note that it may take 24 hours from the release time of your thesis/dissertation for the digital object identifier to become valid.

Availability of Thesis/Dissertation

Your thesis/dissertation will be available online only and not be physically shelved in any libraries on campus. If you wish to have a bound copy of it, you can run a search on the Internet to find a bindery that provides thesis/dissertation binding service. For example, the HF Group offers the [Thesis on Demand](#) binding service. Information about other providers of binding service can be found on the Graduate School's [Thesis/Dissertation Preparation FAQ](#). Please note that UK does not endorse any of the providers.

Once your thesis/dissertation is posted on UKnowledge, you will not be able to make any revision to it or the corresponding UKnowledge record. **If you wish to revise the posted thesis/dissertation, you MUST contact the Graduate School at 257-1946 and follow the proper procedures.** Do not submit an updated thesis/dissertation to UKnowledge without contacting the Graduate School first.

For an embargoed thesis/dissertation, there is a record of it on UKnowledge that displays the basic citation information of the thesis/dissertation, i.e., title, author, abstract, and publication year. The record also shows when the embargo will expire. Nobody (except the author and the administrators of UKnowledge) can access the thesis/dissertation before the embargo expiration date.

If you wish to lift the embargo on your thesis/dissertation before its expiration date, please contact the Graduate School at 257-1946 or email the Assistant Dean of Graduate Academic Services, Dr. Cleo Price, at cprice@uky.edu.

If the embargo on your thesis/dissertation is going to expire soon and you wish to extend it, please contact the Graduate School at 257-1946 or email the Assistant Dean of Graduate Academic Services, Dr. Cleo Price, at cprice@uky.edu. You will be required to provide legitimate reasons for the extension.

Hyperlinks and Contact Information Mentioned in This Guide

Graduate School Phone Number: 257-1946

Email address for requesting an embargo removal or extension:

Dr. Cleo Price, Assistant Dean of Graduate Academic Services, cprice@uky.edu

Graduate School Degree Certification Officers

http://www.research.uky.edu/gs/About/degree_cert_officers.html

Electronic Thesis or Dissertation Approval Form

<http://www.research.uky.edu/gs/Forms/ETDApprovalForm.pdf>

Preparation of Theses and Dissertations

http://www.gradschool.uky.edu/CurrentStudents/theses_prep.html

Thesis/Dissertation Preparation FAQ

http://www.research.uky.edu/gs/CurrentStudents/Documents/FAQ_Thesis-Diss.pdf

Electronic Thesis and Dissertation Submission Links

http://www.research.uky.edu/gs/CurrentStudents/ETD_Submission_Links.html OR

<http://go.uky.edu/KQ>

UKAT Service Desk

<http://www.uky.edu/ukat/help/support>

UKnowledge

<http://uknowledge.uky.edu/>

UKnowledge FAQ page

<http://uknowledge.uky.edu/faq.html>

UKnowledge Research Guide: Theses and Dissertations

http://libguides.uky.edu/UKnowledge/theses_dissertations/

UKnowledge email address

UKnowledge@lsv.uky.edu

ORCID iD

<http://orcid.org/>

What is ORCID? (short video)

<https://vimeo.com/97150912>