

UCLA Thesis and Dissertation Filing Requirements



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INTRODUCTION

UCLA Thesis and Dissertation Filing Requirements describes the requirements for filing theses and dissertations. This document was prepared by the UCLA Graduate Division, under delegated authority from the Graduate Council of the UCLA Academic Senate. These requirements and procedures have been developed to ensure information is presented consistently and that your manuscript reflects our institutional commitment to research integrity.

Workshops on the preparation and filing of theses and dissertations are scheduled each quarter. You are encouraged to attend one of these workshops. Dates are posted on the Graduate Division website at <https://grad.ucla.edu/etd>

A list of contact information for related offices is located on page 24 this guide.

UCLA has a Graduate Thesis and Dissertation Public Dissemination Policy (<https://grad.ucla.edu/etd/disseminationpolicy.pdf>), which is excerpted below.

Affirmation of Open Access

The submission of a thesis or dissertation is the last step in an academic program leading to the award of a graduate degree. The manuscript is a scholarly presentation of the results of the graduate student's research and/or creative work. UCLA requires that research and scholarly work conducted by graduate students and incorporated into theses and dissertations be made publicly available through the University of California's institutional repository, eScholarship (<http://escholarship.org/>). The UCLA Graduate Council affirms the principle that graduate students have a responsibility to share their work with scholars in all disciplines and the general public, and stands by the University's commitment to ensuring open access to master's theses and doctoral dissertations. The policy of the University of California is that graduate students own the copyright to their original works of authorship. The license granted to UCLA as required by the Thesis and Dissertation Public Dissemination policy is fully consistent with University copyright policy. (See <http://copyright.universityofcalifornia.edu/>)

Public Dissemination

As one of the requirements for conferral of a degree, a graduate student must submit his/her thesis or dissertation to UCLA through both ProQuest (www.proquest.com) and the institutional repository eScholarship (<http://escholarship.org/>). ProQuest and the institutional repository make the manuscript available several months after the graduate student submits it. A graduate student must adhere to the Graduate Council policy regarding delayed public dissemination (also known as an "embargo") in both ProQuest and UC eScholarship.

Upon submission of his or her thesis or dissertation as a requirement for conferral of the degree, the graduate student shall grant a nonexclusive, worldwide, royalty-free, perpetual license to The Regents of the University of California ("University") as set forth in the UCLA Thesis and Dissertation Submission Agreement, a copy of which is available at <https://grad.ucla.edu/gasaa/etd/repositoryagreement.pdf>.

CHAPTER I: BEFORE YOU BEGIN

A. FILING DEADLINES

The deadline for filing the thesis or dissertation in final form for students who are registered and enrolled and those on Filing Fee status is the last day of the quarter. For registered students and those paying a Filing Fee, the summer deadline is the last day of Summer Session C. The exact date for each quarter is posted in the Academic Calendar

(<http://registrar.ucla.edu/Calendars/Annual-Academic-Calendar>). You are encouraged to file as early as possible. All filing must be submitted online; there is no need to visit campus to file.

Submissions on the day of the deadline will be accepted until 5pm PST. For your manuscript to count as submitted:

- All required committee members must have approved electronically
- Your committee must have certified that you have passed the final oral exam (if applicable)
- You must have submitted a final PDF via ProQuest
- You must have completed the online Graduate Division process (see page 21)
- If the Graduate Division has requested any changes, you must have submitted the specific changes within the designated time period

It is your responsibility to ensure your committee has approved electronically and that you have submitted your final PDF and any corrections to your manuscript. 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.

B. REGISTRATION STATUS/FILING FEE

If you are completing courses, still writing or editing chapters of your thesis or dissertation, using faculty time, library facilities, laboratories, or other University resources, or receiving University funds, you are required to register in the final term in which you expect to receive the degree.

You may be eligible to pay a Filing Fee for the quarter in which the degree is to be awarded instead of registering. Five conditions must be satisfied to be eligible for this fee:

1. All formal requirements for the degree, except for filing the thesis/dissertation and/or taking the master's comprehensive/doctoral final oral examination or submitting the master's comprehensive capstone project, must be completed before the first day of classes;
2. Since last being registered and up to the first day of classes, the combined use of University facilities and faculty time must not exceed 12 hours;
3. During the quarter in question, the thesis/dissertation committee suggested only stylistic and/or typographical changes in the thesis/dissertation OR, in the case of master's comprehensive examinations OR, in the case of master's capstone projects, the faculty

only graded the final comprehensive project; and

4. You must have been registered in the previous academic term.
5. You must have advanced to candidacy at least one quarter prior to the term of Filing Fee usage.

Please see <https://grad.ucla.edu/academics/graduate-study/filing-fee-application/> for more information.

CHAPTER II: PREPARING THE PDF

A. PREPARING THE THESIS OR DISSERTATION AS A FORMATTED PDF

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.

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

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. Degree candidates are responsible for following the requirements in effect when the document is filed.

FONTS AND LAYOUT

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. UCLA 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 above 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.

SPACING

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.

MARGINS

Minimum margin size:

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.

MANUSCRIPT AND FIGURE LAYOUT

The required order of pages for the manuscript is on page 11. 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 (references) 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—and precede the bibliography.

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.

FORMATTING REPRINTS OR VERSIONS OF MANUSCRIPTS AS CHAPTERS

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 you to renumber Figures or Tables in reprints.

PAGE NUMBERS

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

PAGINATION

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.

IMAGES

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.

SUPPLEMENTARY MATERIALS

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.

Images	GIF (.gif); JPEG (.jpeg); TIFF (.tif)
Video	Apple Quick Time (.mov); Microsoft Audio Video Interleaved (.avi); MPEG (.mpeg)
Audio	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 Filing Requirements* document 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
Title page	Yes	Not numbered
Copyright Page	Yes	Not numbered
Abstract	Yes	ii (may be more than one page)
Committee Page	Yes	iii (roman numeral, depends on preceding page)
Dedication Page	Optional	(roman numeral, depends on preceding page)
Table of Contents	Yes	(roman numeral, depends on preceding page)
List of Figures, List of Tables, List of Symbols, List of Acronyms, Supplementary Materials, Glossary, etc.	Yes, if applicable	(roman numeral, depends on preceding page)
Acknowledgments or Preface	Optional	(roman numeral, depends on preceding page)
Vita/Biographical Sketch	Yes, for doctoral	(roman numeral, depends on preceding page; max. 2 pages)
Body Text	Yes	Begin with page 1 (Arabic numeral) for Chapter 1, and number pages consecutively through the end of the manuscript
Appendices	Optional	
References/Bibliography	Yes	Last pages of manuscript, if not included in individual chapter bibliographies

The sample doctoral pages and sample master's pages are located in the appendices of this document.

C. PRELIMINARY PAGES

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.

TITLE PAGE

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., $K_3 Mn(CN)_6$ 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 MyUCLA, viewing the listing in the UCLA General Catalog or contacting the Graduate Division. 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 MyUCLA, the Registrar's Office or the Graduate Division.
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. (For example, a registered and enrolled

student who files by the December 14th Fall 2018 deadline is awarded a 2018 degree. A student who files after the December 14th 2018 deadline is awarded a 2019 degree.)

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

COPYRIGHT PAGE OR BLANK PAGE

You must include either a blank page or a completed copyright page. This page is not counted or numbered. Whether you intend to register your copyright at the time of filing, at a later date, or choose not to register at all, we recommend you 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.

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 current law, the works of an author are protected from the date of creation and on throughout the life of the author, plus another seventy 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. 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 <http://www.copyright.gov>

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

ABSTRACT PAGE

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 below.) 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.

COMMITTEE PAGE

All certifying members must be listed. For any committees appointed or reconstituted effective Fall 2016, all committee members must be listed.

No titles or degree designations should be used (no “Professor,” no Ph.D., no MD, etc.)

On the committee page, the title Committee Chair or Co-Chair follows each chair’s name.

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.

Adjust the spacing between listed names according to how many committee members there are.

The typed name of the entire committee must match the version of the names used in the online approval process at <https://grad.ucla.edu/etd>. A common error is inconsistency among names, especially between committee and abstract pages. Inconsistencies are when the names do not match exactly, such as including (or not including) a middle initial or using a shortened name. You must ensure 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 committee’s names are consistent in all of these places as well (except the title page). A rule of thumb: once the committee page is typed, the committee’s names are 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.

DEDICATION PAGE

(Not in sample pages)

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

TABLE OF CONTENTS AND LISTS

(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.

ACKNOWLEDGMENTS OR PREFACE

(Not in sample pages)

Acknowledgments must be included if any of the following apply; otherwise they are optional.

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 16.)

2. You include material based on co-authored work that is published, in-press, submitted, or in preparation for publication. It is adequate for you to include a sentence such as, “Chapter Five is a version of [include the formal bibliographic citation].” Full bibliographic information about the publication must be provided, irrespective of the publication status. For journal articles, include the complete author list (same order as publication), title, journal, year, volume (required for print versions; may not be available for online versions), and page numbers (range). The digital object identifier (DOI number) must be included for work that is only available online, and is strongly encouraged for work that is also available in print. If the work has not yet been published, indicate its status: in preparation for publication, submitted, or in press. For work that is in the form of book chapters or a book, include the authors, chapter title, book title, editors (if any), publisher, publisher’s city, year, and page range.

For each segment of the work that involved co-authors, you must identify (briefly describe) and acknowledge the specific contributions of each co-author. 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. You should indicate the agency and the form of the support, e.g., a NSF Graduate Research Fellowship or a Mellon Foundation grant.

VITA/BIOGRAPHICAL SKETCH

(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 the names of colleges or universities that awarded them, as well as others that were attended (exclude the degree for which this dissertation is written), academic or professional employment, publications, presentations, patents and inventions, It may, if you wish, include other scholarly work, military service, honors, awards and distinctions.

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

D. START OF TEXT

BODY TEXT

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 (Chapter 1), numbering is done with Arabic numerals, beginning with “1” continuing consecutively through the last page. Do not use numbers more than once (e.g., 2a, 2b).

REFERENCE SECTION/BIBLIOGRAPHY

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.

E. COPYRIGHT PERMISSIONS

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

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 15 for instructions on acknowledgment.

WHAT A STUDENT CAN DO WITHOUT PERMISSION

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.*

FAIR USE

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://media2.proquest.com/documents/copyright_disstheis_ownership.pdf

The University of California maintains a very helpful website with information on copyright and fair use: <http://copyright.universityofcalifornia.edu/use/fair-use.html>

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://vraweb.org/wp-content/uploads/2011/01/VRA_FairUse_Statement_Pages_Links.pdf

OBTAINING PERMISSION TO USE COPYRIGHTED WORKS

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. For guidance on copyright ownership and obtaining permissions, see: <http://copyright.universityofcalifornia.edu/use/obtaining-permission.html>

ARTICLE REPRINTS

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 all authors retained the right to reprint in the original author agreement for said article, you 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 15 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.

ALTERNATE VERSIONS OF PUBLISHED ARTICLES

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. You are 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.

PERMISSION LETTERS

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, a signature is not required, but they must do so in writing, explicitly granting the right to use the material within the thesis or dissertation. An email is sufficient; print out the email and keep it on file.

Model permission letters can be found here:

<http://copyright.universityofcalifornia.edu/use/obtaining-permission.html>

When contacting copyright holders, be sure to indicate any time constraints and specify exactly what you are requesting to include in your document, and in what form (e.g., the published article or the accepted manuscript version). The permission request should not be left open-ended; the copyright holder(s) should be asked for a response, whether the answer is yes or no.

When contacting copyright holders for permissions letters, you should use your e-mail address, or else your home or department as a return mail address, if you are writing early enough to receive replies before filing the manuscript.

REGISTERING YOUR COPYRIGHT

The copyright of your work is inherent upon creation; you already have copyright protection at the moment you saved your dissertation on your computer. You do not need to register your copyright to enjoy copyright protection, but registration does provide some benefits. For full detail, read the U.S. Copyright Office circular “[Copyright Basics](#)”:

<https://www.copyright.gov/circs/circo1.pdf>

The benefits of registration are outlined on Page 7 of the circular.

If you choose to register, you can do so during the filing process if you are the sole author of your Dissertation, and ProQuest will charge an additional fee for this service. However, ProQuest can only register for copyright on your behalf if you are the sole author and owner of the entire graduate work you submitted to ProQuest, and can answer “no” to both of the following questions:

1. Is the completion of your dissertation based on the work of multiple authors?
2. Do you acknowledge the contributions of co-authors or co-claimants anywhere in your manuscript (acknowledgements, chapters, journal articles, co-author permission documents)?

If you answer “Yes” to either of the questions above, you can still register your copyright, but must do so separately at <http://copyright.gov>.

COPYRIGHT QUESTIONS

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 is easy to be confused. The University of California maintains a website with helpful information and links:

<http://copyright.universityofcalifornia.edu/ownership/index.html>

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 if you wish to schedule a consultation.

AFFIRMATION OF OPEN ACCESS

The submission of a thesis or dissertation is the last step in an academic program leading to the award of a graduate degree. The manuscript is a scholarly presentation of the results of the graduate student's research and/or creative work. UCLA requires that research and scholarly work conducted by graduate students and incorporated into theses and dissertations be made publicly available through the University of California's institutional repository, eScholarship (<http://escholarship.org/>). The UCLA Graduate Council affirms the principle that graduate students have a responsibility to share their work with scholars in all disciplines and the general public, and stands by the University's commitment to ensuring open access to master's theses and doctoral dissertations. The policy of the University of California is that graduate students own the copyright to their original works of authorship. The license granted to UCLA as required by the Thesis and Dissertation Public Dissemination policy is fully consistent with University copyright policy. (See <http://copyright.universityofcalifornia.edu>)

PUBLIC DISSEMINATION

The UCLA Graduate Council approved a Graduate Thesis and Dissertation Public Dissemination Policy (<https://grad.ucla.edu/etd/disseminationpolicy.pdf>) and UCLA Thesis and Dissertation Submission Agreement (<https://grad.ucla.edu/etd/repositoryagreement.pdf>).

As one of the requirements for conferral of a degree, a graduate student must submit his/her thesis or dissertation to UCLA through both ProQuest (www.proquest.com) and the institutional repository eScholarship (<http://escholarship.org>). ProQuest and the institutional repository make the manuscript available several months after the graduate student submits it. A graduate student must adhere to the Graduate Council policy regarding delayed public dissemination (also known as an "embargo") in both ProQuest and UC eScholarship.

Upon submission of his/her thesis or dissertation as a requirement for conferral of the degree, the graduate student shall grant a nonexclusive, worldwide, royalty-free, perpetual license to The Regents of the University of California ("University") as set forth in the UCLA Thesis and Dissertation Submission Agreement, a copy of which is available at <https://grad.ucla.edu/etd/repositoryagreement.pdf>.

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. The University of California and UCLA do not have security clearances that permit the conduct of classified research on the UCLA campus.

DELAYED RELEASE (EMBARGO)

Delayed public dissemination, commonly known as "embargo", postpones public dissemination of the thesis or dissertation via UC eScholarship and/or ProQuest that has been approved and filed with the university. 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. Such an embargo cannot be permanent, however. If a delayed release is necessary, you may select this option when uploading the thesis or dissertation to ProQuest. Embargo lengths are six months, one year, or two years.

Under rare circumstances and prior to the filing of the thesis or dissertation, the Dean of the Graduate Division may approve requests for time-delimited embargoes beyond the two-year policy limit. A request for such an exception to UCLA policy should be made as soon as the graduate student's master's or doctoral committee is aware of the need to do so. The graduate student and her/his committee chair must submit a formal request using the Request for Extended Delayed Release application available on the Graduate Division website. The request must be made prior to filing the thesis or dissertation.

ETD SUBMISSION INSTRUCTIONS

STEP 1: [HTTPS://GRAD.UCLA.EDU/ETD](https://grad.ucla.edu/etd)

1. Visit (<https://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 if needed. All information must be correct and complete in order to proceed.
 - b. Verify the committee members and initiate the online faculty approval process.
 1. When you click the button marked 'Send Request' an email will be sent to each committee member to approve your thesis or dissertation.
 2. UCLA professors will need to access their UCLA email accounts 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 <https://www.grad.ucla.edu/etd> to enter your submission ID (see Step 12 of the ProQuest instructions below).
5. Complete the filing and degree requirements.
6. It is your responsibility to check the status of your committee's approval on our website <https://grad.ucla.edu/etd> via 'Status of your Thesis or Dissertation Filing'.

STEP 2: PROQUEST

1. Create an account with ProQuest at: <http://www.etdadmin.com/ucla>
2. Decide on ProQuest publishing options:
 - a. Traditional Publishing.
 - b. Available to search engines (recommended).
3. Decide on Institutional Repository – UC eScholarship public dissemination options
Note: Your manuscript is a scholarly presentation of the results of the research you conducted. UCLA upholds the standard that you have an obligation to make your research available to other scholars. UCLA discourages delayed release unless you are waiting on a patent or have a compelling research need. A delayed release (embargo) is limited to six months, one year or two years.
4. Acknowledge the UCLA Thesis and Dissertation Submission Agreement. To preview a copy of the agreement, see: <https://grad.ucla.edu/etd/repositoryagreement.pdf>.
5. Add contact information.
6. 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.
7. 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 this document, (see pages 11-16 for formatting requirements).
8. Upload any supplemental materials. Acceptable file types are: audio, code/script, data, image, pdf, presentation, spreadsheet, text, video, webpage.
9. Include appropriate copyright information; you have an opportunity to register your copyright through ProQuest.
10. 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/students/thesis-and-dissertations>), which has lower prices.
11. Confirm your selections and 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 in <https://grad.ucla.edu/etd> to complete the UCLA 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.

The screenshot shows the 'My Dissertations/Theses List' page of the ETD Administrator. The page has a navigation bar with 'My ETDs', 'Resources & Guidelines', and 'PDF Conversion'. Below this is a sub-navigation bar with 'My Dissertations/Theses List', 'Submit my ETD', and 'My Profile'. The main content area is titled 'My Dissertations/Theses List' and contains a welcome message from the University of California, Los Angeles. It instructs the user to select their dissertation/thesis to revise or continue their submission. A list of submissions is shown, with the first entry being 'A look at "All About My Mother" by Pedro Almodóvar' with ID 10002. The status of this submission is 'Waiting for Revisions (Minor)', which is circled in red. Below the status, there are 'Revise' and 'View' buttons.

My ETDs	Resources & Guidelines	PDF Conversion
My Dissertations/Theses List	Submit my ETD	My Profile
My Dissertations/Theses List		
Welcome to the ETD Administrator - University of California, Los Angeles		
Please select your dissertation/thesis below to revise or continue your submission.		
A look at "All About My Mother" by Pedro Almodóvar		
ID: 10002		
Status: Waiting for Revisions (Minor)		
Revise View		

The Graduate Division confirms that you have met degree requirements, reviews and approves the final submission and may contact you about required revisions to meet university requirements.

You will receive a confirmation email via ProQuest when the Graduate Division has completed the review and submission of your thesis or dissertation to ProQuest.

CERTIFICATE OF COMPLETION

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

HELPFUL HINTS

- Make sure you are completely familiar with the formatting and filing requirements before beginning this process.
- Allow sufficient time for certifying committee members to electronically submit approval of the dissertation or thesis by the deadline.
- If applicable, allow sufficient time for committee members to electronically submit their assessment of your final oral exam.
- Plan ahead! Give yourself enough time to complete the entire process.
- Verify the constitution of your committee. Make sure your members hold current appointments. If not, you will need to submit a reconstitution form, which will delay the filing process.

RESOURCES

IF YOU NEED HELP WITH:	CONTACT:
Completion of Academic Requirements or Formatting and Filing Instructions	Academic Services, UCLA Graduate Division 1255 Murphy Hall (310) 825-3819 Phone support available from 9:00 am - 4:00 pm, Monday through Friday (excluding UCLA holidays) academicservices@grad.ucla.edu
Technical Support for UMI/ProQuest	United States & Canada (toll free): 1.800.521.0600 http://www.etdadmin.com/cgi-bin/main/support
Degree Certificate and Diploma	Student Services, Verification and Transcripts 1113 Murphy Hall (310) 825-1091 Office hours: 9:00 am - 5:00 pm, Monday through Friday http://www.registrar.ucla.edu/Student-Records/Academic-Transcript Registrar's Office Certificates of Completion 1113 Murphy Hall (310) 825-3248 http://www.registrar.ucla.edu/forms/
Copyright Consultation 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.	Martin Brennan Copyright Librarian martinjbrennan@library.ucla.edu (310) 206-0039 or Jennifer Chan Scholarly Communication and Licensing Librarian jchan@library.ucla.edu (310) 206-3388
Copyright and Publication	Copyright Office Library of Congress Washington, D.C. 20559 (202) 707-9100 http://www.copyright.gov ProQuest 789 E. Eisenhower Parkway Ann Arbor, MI 48108, (800) 521-0600 http://proquest.com UCLA Library Guides: http://guides.library.ucla.edu/citing
Word Processing and Formatting	www.learnIT.ucla.edu Online tutorials for formatting assistance in major word processing software. http://www.clicc.ucla.edu/ Access to workstations and laptops with productivity software and basic assistance with software.

Thesis and Dissertation Filing Checklist

Before you submit, make sure to check:

Student Information and Registration Status	
Registered & Enrolled <u>OR</u> on Filing Fee	
GPA 3.00 or above	
[Master's student] 3 terms of academic residency	
[Doctoral student] 6 terms of academic residency	
In ETD Submission Process at https://grad.ucla.edu/etd	
Official name correct?	
If you need to change or edit your name, you may do so at the Registrar's Office.	
Official major correct?	
Committee member names as appears in official record must match manuscript	
Committee member email addresses are current and spelled correctly	
[Doctoral students only] Final oral (required, not required, or not applicable)	
In final PDF prior to uploading to ProQuest at http://www.etdadmin.com/ucla	
Check order of preliminary pages (refer to page 11 of the guide for details)	
Title Page (required) - no page #	
Name matches official university record (check middle names, initials) and is listed consistently on the copyright page (if applicable), abstract, and committee page.	
Do not bold name or other items on page; bolding title is at the discretion of your committee.	
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Correct filing year	
Copyright/blank page (required) - no page #	
Does it match sample?	
Abstract (required) - starts with page ii	
Same title as Title Page	
Chair or Co-Chair listed as 'Professor [First and Last Name], Chair or Co-Chair'	
Committee Page (required) - continue with roman numeral	
All certifying committee members listed	
No titles or degree designations	
Chair or Co-Chair listed last as 'Committee Chair' or 'Committee Co-Chair'	
Dedication Page (optional)	
Table of Contents (required)	
List of Figures, Tables, etc. (required, if applicable)	
Acknowledgements or Preface (optional, see guide)	
Vita/Biographical Sketch (required for doctoral students only)	
No birth date/place, no degree for which the dissertation is written.	
2 pages maximum	
Body Text (required)	
Start page numbering at 1 and continues until end.	
Appendices (optional)	
References/Bibliography (required)	
End of chapters or at the very end of manuscript	
Double-spaced	
If single-spaced, you must insert a line between each entry.	
Font size no smaller than 11 for main text	
Is the font size and style clear?	
Are images and tables clear and labeled?	
Double-spaced?	
Where groups of lines are double-spaced on the sample pages, be sure to double-space.	
1" margins throughout manuscript	
All pages are numbered	
Except for title page and copyright page	
Page numbers centered at the bottom	
For both portrait and landscape pages	
Reprints of articles	
Original page numbers of the article must be blocked out	
Insert page numbers according to your manuscript	
Fit within margins?	
Easy to read?	

APPENDIX A

SAMPLE DOCTORAL PAGES

All capital letters

UNIVERSITY OF CALIFORNIA

Los Angeles

Official
university
name

Title with Formulae, symbols,
superscripts, Greek letters,
acronyms, and abbreviated
forms in general are to be
spelled out

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

Only use special characters
allowed by UCLA. Italics are
acceptable.

1" margins on
each side

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

Official major as
according to the
Registrar's Office or
Graduate Division.
Do not include
unofficial
specializations.

by

Official name
registered with
UCLA

Kristina May Clark

2018

Year of degree
award date

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Your official name Kristina May Clark

2018 Year of degree award date

All capital letters

ABSTRACT OF THE DISSERTATION

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

Be consistent on
each page with
title, name, year,
professors' names

by

Kristina May Clark
Doctor of Philosophy in Anthropology
University of California, Los Angeles, 2018
Professor Katherine Doe, Chair

Include Chair or Co-
Chairs here and always
call chair Professor
regardless of the
individual's usual title

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

UCLA recommends
limiting the abstract
to 350 words for
doctoral dissertation

Continue roman
numeral numbering
after abstract

ii

0.75" from bottom
of page

The dissertation of Kristina May Clark is approved.

Do not use titles
or degree
designations
(e.g. Professor,
MD, etc.)

George A. Brown

Jane Marie Smith

B. Joseph Jones

Gerald B. Greene

List all certifying
committee
members

Katherine Doe, Committee Chair

List Committee
Chair or
Committee Co-
Chairs last

University of California, Los Angeles

2018

Continue roman
numeral
numbering after
abstract

iii

0.75" from bottom
of page

APPENDIX B

SAMPLE MASTER'S PAGES

All capital letters

UNIVERSITY OF CALIFORNIA

Los Angeles

Official
university
name

Title with Formulae,
symbols, superscripts,
Greek letters,
acronyms, and
abbreviated forms in
general are to be
spelled out

Equipotential Surfaces
for Earth-Pointing Satellites

Only use special
characters allowed by
UCLA. Italics are
acceptable.

A thesis submitted in partial satisfaction
of the requirements for the degree Master of Science
in Aerospace Engineering

1" margins on
each side

Official major as
according to the
Registrar's Office or
Graduate Division. Do
not include unofficial
specializations.

by

Official name
registered with
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John Smith Doe

2018

Year of degree
award date

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ABSTRACT OF THE THESIS

Equipotential Surfaces For Earth-Pointing Satellites

by

John Smith Doe

Be consistent on
each page with
title, name, year,
professors' names

Master of Science in Aerospace Engineering

University of California, Los Angeles, 2018

Professor Richard W. Roe, Chair

Include Chair or Co-
Chairs here and always
call chair Professor
regardless of the
individual's usual title

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

UCLA recommends
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to 150 words for a
master's thesis

Continue roman
numeral numbering
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ii

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of page

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Do not use titles or degree designations (e.g. Professor, MD, etc.)

Howard L. Jones

Patricia Anne Brown

Richard W. Roe, Committee Chair

List Committee Chair or Committee Co-Chairs last

University of California, Los Angeles

2018

Continue roman numeral numbering after abstract

iii