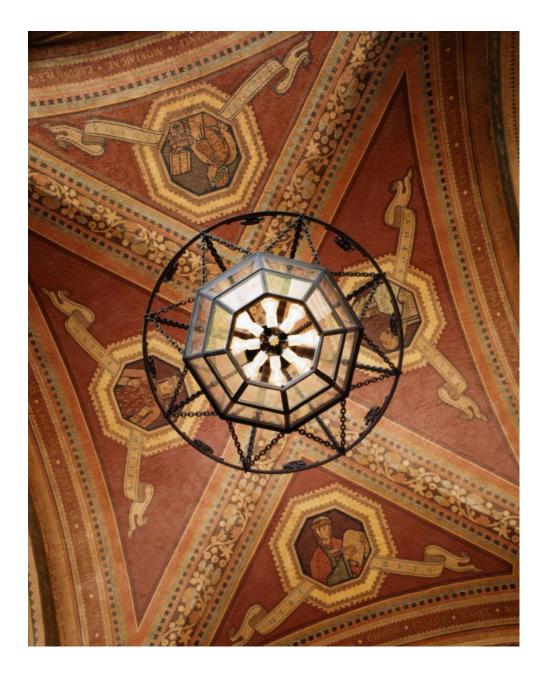
UCLA Division of Graduate Education

UCLA Thesis and Dissertation Filing Requirements & Public Dissemination



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INTRODUCTION

UCLA Thesis and Dissertation Filing Requirements & Public Dissemination describes the requirements for filing theses and dissertations and University policy regarding graduate thesis and dissertation public dissemination. This document was prepared by the UCLA Division of Graduate Education, 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 students' manuscripts reflect our institutional commitment to research integrity.

Workshops on the preparation and filing of theses and dissertations are scheduled each quarter. Students are encouraged to attend one of these workshops. Dates are posted on the Graduate Education website at grad.ucla.edu/etd.

A list of resources and contact information is located on page 28 of this guide.

UCLA GRADUATE THESIS AND DISSERTATION PUBLIC DISSEMINATION POLICY

Approved by UCLA Graduate Council on May 15, 2015

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 (<u>http://escholarship.org/</u>). 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 <u>http://copyright.universityofcalifornia.edu/</u>).

PUBLIC DISSEMINATION

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

Upon submission of their 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 <u>UCLA Thesis and Dissertation Submission</u> <u>Agreement</u>.

AUTHOR WARRANTIES

Upon submitting the thesis or dissertation as a requirement for conferral of a degree, the graduate student shall affirm that the Work:

- (a) Is the graduate student's original work and that s/he has full power to enter into an agreement;
- (b) Does not infringe copyright, intellectual property rights, or privacy rights of another;
- (c) Contains no material that is libelous, defamatory or other unlawful material; and
- (d) The graduate student has not made, and will not hereafter make, any contract or commitment contrary to the terms of the agreement with UCLA or in derogation of the license granted to the University hereunder.

The graduate student shall indemnify, defend, and hold the University harmless from any losses, claims, damages, awards, penalties or injuries incurred, including reasonable attorney's fees, which arise from any claim by any third party of an alleged infringement of copyright or any other property right arising out of the access and use of the Work.

DELAYED PUBLIC DISSEMINATION (EMBARGO) REQUESTS

POLICY: Delayed public dissemination, commonly known as an "embargo," postpones public distribution of the thesis or dissertation that has been approved and filed with the University. In some cases, it may be reasonable and appropriate to put in place an embargo that delays public release, but only in narrowly prescribed circumstances affecting intellectual property rights (such as when a patent is being filed), to satisfy requirements for the review of grant-sponsored research, or to protect data being utilized by a team of researchers of which the graduate was a member. Such an embargo must be limited in time.

If delayed public dissemination is necessary due to the purposes set forth in the previous paragraph, a graduate student should select this option when uploading the thesis or dissertation to ProQuest. The delayed release requested at the time of submission will postpone public distribution of a thesis or dissertation via both ProQuest and UC eScholarship. Students may request embargoes for 6 months, 1 year or 2 years; longer time periods considered by exception.

If a thesis or dissertation has a delayed release, ProQuest and UC eScholarship will display only the graduate's citation and abstract for the duration of the embargo. The full text of the graduate's thesis or dissertation will become available for public access only after the embargo expires. The California Digital Library will archive and preserve the manuscript in perpetuity.

EXCEPTION REQUESTS FOR EXTENDED EMBARGOES: Under rare circumstances and prior to the filing of the thesis or dissertation, the Dean of Graduate Education may approve requests for time-delimited embargoes beyond the two-year 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 Division of Graduate Education is the first point of contact for exception requests, forwarding any approved exceptions to the Library as applicable. <u>The graduate student and her/his committee chair</u> <u>must submit a formal request for a time-delimited extended embargo using the Request for Extended</u> <u>Delayed Release form available from the Division of Graduate Education. The request must be made</u>

prior to filing the thesis or dissertation. Each request will be evaluated on a case-by-case basis. The Division of Graduate Education's review of such requests will take the following factors into consideration:

- Are there serious mitigating circumstances whereby publication of the thesis or dissertation would cause undue risks or potential harm to the author or subjects?
- Will the data generated through the student's research support other in-progress publications from people on the student's research team, which could be impacted by public dissemination?
- Is the student applying for a patent based on research that is discussed in his/her dissertation?
- Is the data or material in the thesis/dissertation subject to review by the sponsor or grantor prior to publication?
- Is there a need to prevent disclosure of information about persons, institutions, technologies, etc.?
- Is there an academic or commercial press that has documented its requirement of manuscript embargo in order to acquire the rights to publish the thesis/dissertation as a book?

When an exception request is approved by the Division of Graduate Education, the Library will be notified to ensure that UC eScholarship suppresses access until the end of the approved extended embargo period.

Requests for permanent embargos will only be approved under truly extraordinary circumstances.

POST-SUBMISSION REQUESTS FOR DELAYED PUBLIC DISSEMINATION

POLICY: Students who wish to delay public dissemination must select this option at the time they submit their theses or dissertations to the Division of Graduate Education via ProQuest. Requests to embargo a thesis or dissertation after the manuscript has been filed generally are not allowed. Post-submission embargo requests to UC eScholarship are permissible only in exceptional circumstances and require Division of Graduate Education and Graduate Council review and approval.

EXCEPTION REQUESTS FOR DELAYED PUBLIC DISSEMINATION POST-

SUBMISSION: The Division of Graduate Education is the first point of contact for post-submission embargo requests to UC eScholarship. To make such a request, which is considered only for exceptional circumstances, the graduate student must submit a Post-Submission Request for Delayed Release to the Division of Graduate Education detailing the reason for the request for an embargo and the reason for the delay in seeking the embargo and including an explanatory letter from the thesis/dissertation committee chair. Each request will be reviewed on a case-by- case basis.

ProQuest allows the graduate student to embargo his or her manuscript at any time and for any duration but cautions that "the rules and policies around dissemination related to a university's institutional repositories are created and managed separately by the university."¹ ProQuest will notify the UCLA Division of Graduate Education of each request for a post-submission embargo. Upon receiving the notification from ProQuest, the Division of Graduate Education will send an email to the graduate student reminding them of the University policy restricting delayed release. Each request will

¹ ProQuest, "Embargoes and Restrictions", <u>http://www.etdadmin.com/UMI_EmbargoesRestrictionsGuide.pdf</u>

be evaluated on a case-by-case basis. The Division of Graduate Education's review of such requests will take the following factors into consideration:

- Are there serious mitigating circumstances such that publication of the thesis or dissertation would cause undue risks or potential harm to the author or subjects?
- Is there a need to prevent disclosure of information about persons, institutions, technologies, etc.?
- Is there good cause for the failure to seek delayed public dissemination at the time of submission?
- Is the work already accessible via eScholarship?

In the rare cases in which a post-submission embargo request is approved by the UCLA Division of Graduate Education and Graduate Council, the Division of Graduate Education will notify the Library and UC eScholarship to withhold release for the approved embargo period.

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 UCLA Academic Calendar (<u>http://registrar.ucla.edu/Calendars/Annual-Academic-Calendar</u>). Students are encouraged to file their thesis or dissertation as early as possible. All filing must be completed online.

Submissions on the day of the deadline will be accepted until 5 PM PT. A completed submission entails the following:

- All committee members must have reported approval via go.grad.ucla.edu
- The committee must have certified that the student passed the final oral exam (if applicable, via go.grad.ucla.edu)
- The student must have submitted a final PDF via ProQuest
- The student must have completed the online Division of Graduate Education ETD process (see page 24)
- If the Division of Graduate Education has requested any changes, the student must have addressed and submitted the specific changes within the designated time period

It is the student's responsibility to ensure their committee has reported approval electronically and that the student has submitted their final PDF and any corrections to the manuscript. <u>Once the student</u> <u>submits a thesis or dissertation, they will **not** be allowed to make changes unless required by the UCLA <u>Division of Graduate Education. Students must ensure the manuscript is in its final form.</u></u>

B. REGISTRATION STATUS/FILING FEE

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

Students may be eligible to pay a Filing Fee for the quarter in which the degree is to be awarded in lieu of registering and enrolling. Four conditions must be satisfied to be eligible for this fee:

- 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 (including, advancement to candidacy at least one quarter prior to the term of Filing Fee usage);
- 2. Since last being registered and up to the first day of classes, the combined use of University resources 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. Students must have been registered in the previous academic term.

Please see the Graduate Education Filing Fee webpage for more information.

CHAPTER II: PREPARING THE PDF

PREPARING THE THESIS OR DISSERTATION AS A FORMATTED PDF

The main thesis or dissertation document must be submitted as a PDF file. The file should not be compressed or password protected. It should not include or require a digital signature. As noted on page 13, additional media files may be uploaded along with the PDF file.

No changes to the thesis or dissertation are allowed after submission via ProQuest.

Faculty committees supervise the intellectual content and may specify certain aspects of style, such as footnote style and placement, and the manner in which references are cited and listed. Students are encouraged to consult with their committee chair(s) early in the preparation of the manuscript regarding style preferences.

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 and placement, and the requirement for permission to reproduce copyrighted material. Students should not rely on theses or dissertations previously filed or past UCLA regulations for format examples as 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 preliminary pages. If the scholarly work has already been published and students wish to include some or all of the chapters in the form of reprint(s) of published work, see <u>Formatting Reprints</u> or <u>Versions of Manuscripts as Chapters</u>, <u>Article Reprints</u>, and <u>Alternate Versions of Published Articles</u> 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 at: https://support.proquest.com/s/article/How-do-l-embed-my-fonts?language=en_US

Only non-italic style fonts should be used for the main portion of the text ("body text"). If a student is uncertain whether a particular font style and size are appropriate, please consult the UCLA Division of Graduate Education by submitting an inquiry via the <u>Graduate Education Portal</u>. 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.

Style	Size			
*Arial	11 pt			
*Helvetica	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			

Some recommended fonts and point sizes are shown below.

* Web font designed for easy screen readability. Since many readers are likely to view and/or use the dissertation or thesis onscreen, students may wish to improve the readability of the 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, students are encouraged to 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 body text titles is at the discretion of the student's 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 in <u>Appendix A</u> and <u>Appendix B</u>). 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 prescribed in <u>Chapter III: B. ARRANGEMENT</u>. 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 body text heading, whether to use bold in a body text title, where to place footnotes, figures, or tables, etc., or what footnote or reference format to use — come under the rubric of "text," and the committee chair(s) decides the format.

FORMATTING REPRINTS OR VERSIONS OF MANUSCRIPTS AS CHAPTERS

PERMISSIONS: See Chapter III: E. COPYRIGHT PERMISSIONS.

FORMAT: If students 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, students 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.

Students 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., — must 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, e.g., 1-1, 2-1, etc. A Figure or Table number cannot be repeated. The only exception is when students are using a reprint; UCLA does not require students to renumber Figures or Tables in reprints.

PAGE NUMBERS

Page numbers must be centered on the page and must be at least three-quarters of an inch (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 there are 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 accepted.

IMAGES

The Division of Graduate Education 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 may slow the uploading speed.

TIP: If students 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 the document.

SUPPLEMENTARY MATERIALS

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

Helpful hints:

- Do not embed media files in the PDF
- Upload media files as supplementary files
- Describe 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 (.mgp)
Audio	AIF (.aif); CD-DA; CD-ROM/XA; MIDI (.midi); MPEG-2; SND (.snd); WAV (.wav)

CHAPTER III: ELEMENTS OF THE MANUSCRIPT

A. FORMAT

Students must consult with their committee chair(s) 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

Students must follow the order for the manuscript pages listed below; 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			
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.

The general format for capitalization and spacing is to be followed for all preliminary pages for which a sample is provided (i.e., 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 the student's name, major field, committee chair's name (or co-chairs' names), title of thesis or dissertation, and year the degree is awarded.

TITLE PAGE

- 1. UNIVERSITY OF CALIFORNIA appears in full capital letters at the top of the page, Los Angeles in title case letters. Students 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., K3 Mn(CN)6 is written Potassium Mangan cyanide; 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 the student is earning must be written exactly as it is approved by the Academic Senate Graduate Council. Students can verify the official name of the major by visiting MyUCLA, viewing the listing in the UCLA General Catalog or contacting the UCLA Division of Graduate Education. Unofficial specializations should not be included. For example, UCLA awards a graduate degree in Education, not Educational Leadership.
- 4. The NAME used on the title page must be the name under which the student is registered at UCLA and must match the name that appears in official university records, copyright page, abstract and committee page. If the student wishes to change the name of record, the student must file a change of name petition with the Registrar's Office via the <u>MyUCLA</u> Message Center 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 by pulling an unofficial transcript through <u>MyUCLA</u>.
- 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 filing deadline for the Fall quarter (i.e., a registered and enrolled student who files by the December 14th Fall 2023 deadline is awarded a 2023 degree, but a student who files after the December 14th Fall 2023 deadline is awarded a 2024 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

Students must include either a blank page or a completed copyright page. This page is not counted or numbered. Whether the student intends to register their copyright at the time of filing, at a later date, or chooses not to register at all, the recommendation is to include a copyright page with the copyright notice, student's name, and the year of the copyright, centered at the bottom text margin. The information and layout are the same for both theses and dissertations. See sample pages in <u>Appendix A</u> and <u>Appendix B</u> for more information.

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 (Pub. L. No. 94-553, 90 Stat. 2541. 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 copyright.gov.

If a registration of copyright is desired, prepare the copyright page for notification of copyright in the thesis or dissertation. Students may register a copyright through the <u>ProQuest website</u> 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. Students should follow the sample page spacing. The version of the title, name, degree being awarded, year of degree, and name of the chair or co-chairs must match the versions used on the other preliminary pages and 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 the thesis or dissertation. <u>UCLA strongly endorses the ProQuest recommendation to limit this abstract to 350 words</u> 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 committee members must be listed.

No titles or degree designations should be used (no "Professor," no "Ph.D.", no "M.D.", etc.)

On the committee page, the title "Committee Chair" or "Committee 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 names of the committee members 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. Students must ensure that the names are consistent throughout the manuscript.

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.

It is strongly recommended that students refrain from including personally identifiable information or content, especially that of family and friends, in the dedication.

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 the student's judgment; however, if figures, schemes, or tables appear in the manuscript, students must include the appropriate list(s) with page numbers following the Table of Contents.

ACKNOWLEDGMENTS OR PREFACE

(Not in sample pages)

Acknowledgments <u>must be included</u> if any of the following apply; otherwise, they are optional:

- The student reprints or reproduces copyrighted material that requires permission to be reprinted or reproduced. In this case, the student is 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 <u>Chapter III: E.</u> <u>COPYRIGHT PERMISSIONS</u>)
- 2. The student includes material based on co-authored work that is published, in-press, submitted, or in preparation for publication. It is adequate for the student 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, <u>the student must identify (briefly</u> <u>describe) and acknowledge the specific contributions of each co-author</u>. 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. The student received funding or the work was supported by an agency or foundation. The student should indicate the agency and the form of the support, e.g., an NSF Graduate Research Fellowship or a Mellon Foundation grant.

VITA/BIOGRAPHICAL SKETCH

(Not in sample pages and not required 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 include other scholarly work, military service, honors, awards and distinctions.

Students must **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 <u>Chapter III. B. ARRANGEMENT</u>). The style used for the reference section is determined in consultation with the student's 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 a student does not have the appropriate copyright permissions at the time the manuscript is filed, the student will still be allowed to file.
- Also, regardless of copyright status or permission, all works must be properly acknowledged. See <u>Acknowledgments or Preface</u> for instructions.

WHAT A STUDENT CAN DO WITHOUT PERMISSION

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

The following materials are <u>not protected</u> by copyright:

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- > Material published in the U.S. before 1928.
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 - a. See examples at <u>this site</u>, or the <u>Circular 22</u>, <u>"How to Investigate the Copyright</u> <u>Status of a Work" (pdf)</u> from the U.S. Copyright Office
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http://media2.proquest.com/documents/copyright_dissthesis_ownership.pdf

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

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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, a student 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

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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 the committee, a master's thesis or doctoral dissertation may include such reprints. A reprint is an identical copy of a published article, and unless <u>all authors</u> retained the right to reprint in the original author agreement for said article, a student must obtain the publisher's permission to reprint. A student must obtain a letter of endorsement from their committee chair to use reprinted materials as well as letters of endorsement from co-authors of the material. The student must retain these letters for possible future scrutiny.

The student 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 <u>Acknowledgments or Preface</u>)

To be acceptable in a thesis or dissertation the reprint must be reduced to fit manuscript <u>margin</u> requirements, <u>paginated appropriately</u>, and the original page numbers should be blocked out. See <u>PREPARING THE THESIS OR DISSERTATION AS A FORMATTED PDF</u> and <u>Formatting Reprints or Versions</u> <u>of Manuscripts as Chapters</u> for formatting guidelines.

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

PERMISSION LETTERS

If 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 <u>Copyright Clearance Center</u>, which handles permissions requests for a variety of publishers. If the publisher grants permission, a signature is not required, but they explicitly grant the right to use the material within the thesis or dissertation in writing. An email from the publisher with this explicit permission is sufficient; save a copy of the email for your records.

Model permission letters can be found here: <u>http://copyright.universityofcalifornia.edu/use/obtaining-permission.html</u>

When contacting copyright holders, students should indicate any time constraints and specify exactly what they are requesting to include in the manuscript, 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.

REGISTERING YOUR COPYRIGHT

The copyright of the work is inherent upon creation. Students have copyright protection the moment they have saved their manuscript to their computer. Students do not <u>need</u> to register their copyright to enjoy copyright protection, but registration does provide some benefits. For details, read the U.S. Copyright Office circular "<u>Copyright Basics</u>": <u>https://www.copyright.gov/circs/circ01.pdf</u>

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

ProQuest charges an additional fee for registering for copyright during the filing process. ProQuest can only register for copyright on the student's behalf if the student is the sole author and owner of the entire graduate work they submitted to ProQuest, and can answer "no" to both of the following questions:

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

If the student answers "Yes" to either of the questions above, they can still register their copyright, but must do so separately at <u>copyright.gov</u>.

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 can assist students with questions regarding copyright and permissions.

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 (<u>http://escholarship.org/</u>). 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 <u>UCLA Graduate Thesis and Dissertation Public Dissemination Policy</u> is fully consistent with University copyright policy. (See <u>http://copyright.universityofcalifornia.edu</u>)

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As one of the requirements for conferral of a degree, a graduate student must submit their thesis or dissertation to UCLA for publishing in both ProQuest (<u>www.proquest.com</u>) and the institutional repository eScholarship (<u>http://escholarship.org</u>). 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 a student's thesis or dissertation as a requirement for conferral of the degree, the 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.

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.

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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 the student is a member. Such an embargo cannot be permanent, however. If a delayed release is necessary, a student 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 <u>prior to the filing</u> of the thesis or dissertation, the Dean of the Division of Graduate Education 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 student's master's or doctoral committee is aware of the need to do so. The student and committee chair must submit a formal request using the Request for Extended Delayed Release application (form may be made available by contacting the Division of Graduate Education). The request must be made prior to filing the thesis or dissertation.

ETD SUBMISSION INSTRUCTIONS

STEP 1: GRAD.UCLA.EDU/ETD

- 1. Visit 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 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 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.
- 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 Division of Graduate Education 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.
- Create and upload an Adobe PDF of your <u>final</u> dissertation or thesis.
 NOTE: DO NOT UPLOAD A DRAFT. <u>Once you submit your thesis or dissertation, you will **not** be allowed to make changes unless required by the UCLA Division of Graduate Education. Be sure your manuscript is in its final form.
 </u>
 - a. Verify formatting according to this document. (See Chapter II: PREPARING THE PDF)
- 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.
- 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 (<u>http://bindery.berkeley.edu/students/thesis-and-dissertations</u>), which has lower prices, or through Bruin Custom Print (<u>https://www.asucla.ucla.edu/bruin-custom-print</u>).
- 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 grad.ucla.edu/etd to complete the UCLA filing process. See below for screen shots of where to locate your submission ID.

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:
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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.

My ETDs	Resources & Guidelines	PDF Conversion
My Dissertat	tions/Theses List Submit my	/ ETD My Profile
My Dissertations/	Theses List	
Welcome to the ETD A	Administrator - University of Califor	mia, Los Angeles
Please select your dis	sertation/thesis below to revise o	r continue your submission
A look at "All Abo	ut My Mother" by Pedro Almodóv	ar
ID: 10002		
Status: Waiting fo	r Revisions (Minor)	
Revise	View	

The Division of Graduate Education 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 Division of Graduate Education 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 via the <u>MyUCLA</u> Message Center<u>one to two business days after</u> receiving the final email confirmation from the Division of Graduate Education that all filing requirements have been completed.

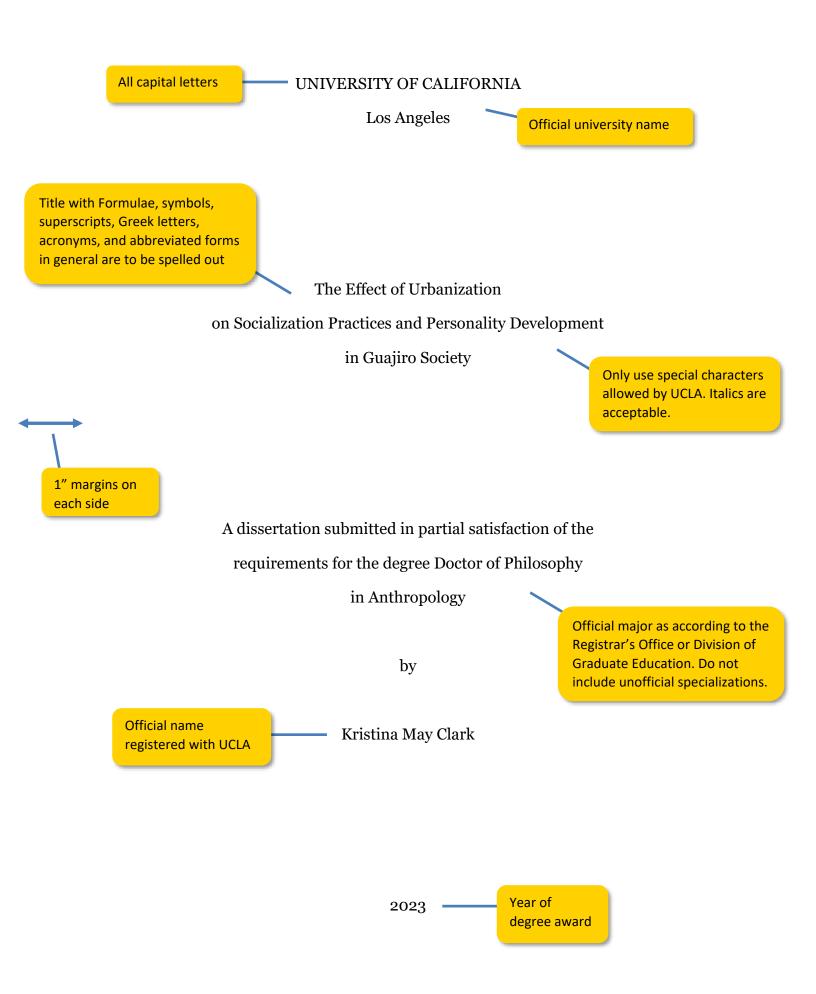
HELPFUL HINTS

- Make sure you are completely familiar with the formatting and filing requirements before beginning this process.
- Allow sufficient time for 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 the 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 & Postdoctoral Services UCLA Division of Graduate Education 1255 Murphy Hall (310) 825-3819 Phone support available from 9:00 am - 3:00 pm, Monday through Friday (excluding UCLA holidays) askgrad@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 http://www.registrar.ucla.edu/Student-Records/Academic- Transcript Registrar's Office Certificates of Completion 1113 Murphy Hall http://www.registrar.ucla.edu/forms/
UCLA Scholarly Communication Services & 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.	UCLA Copyright & Scholarly Communication Education Librarians <u>copyright@library.ucla.edu</u> <u>https://www.library.ucla.edu/help/services-resources/scholarly-</u> <u>communication-services/</u>
Copyright and Publication	U.S. Copyright Office http://www.copyright.gov ProQuest (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.





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, 2023

Professor Katherine Doe, Chair

ii

Your official name, consistent with how it appears on title page

Include Chair or Co-Chair here and always designate chair(s) as "Professor", regardless of

their usual title(s).

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

Recommended abstract word limit of 350, to meet online repository limits.

Continue Roman numeral numbering after abstract

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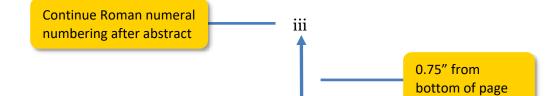
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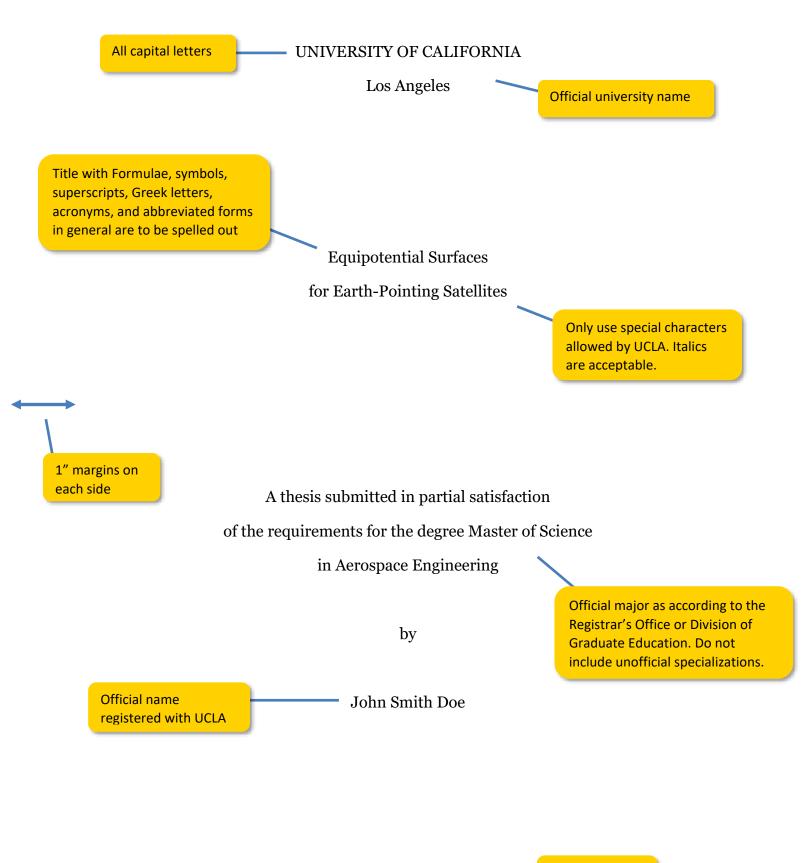
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List Committee Chair or Committee Co-Chairs last

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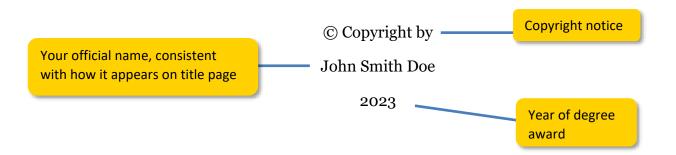
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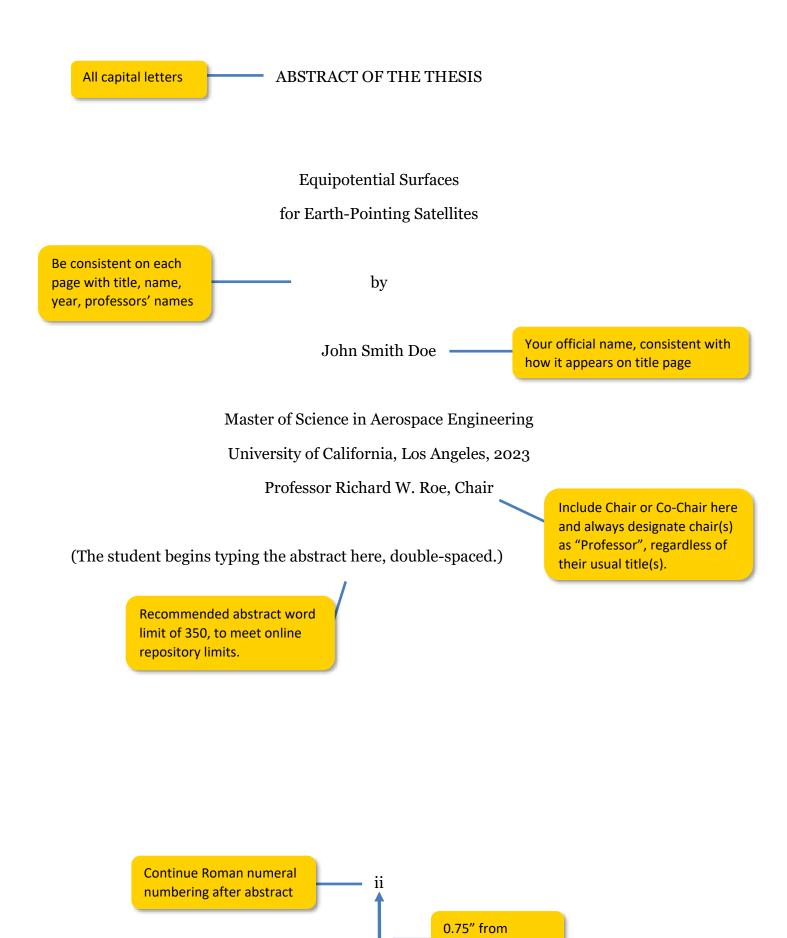




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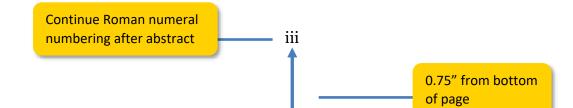
Patricia Anne Brown

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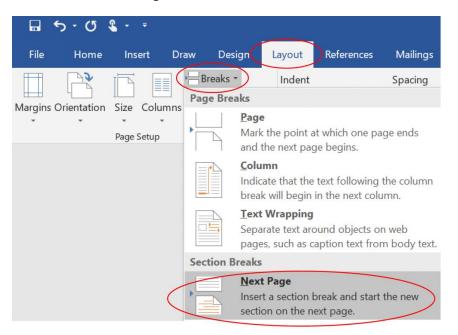
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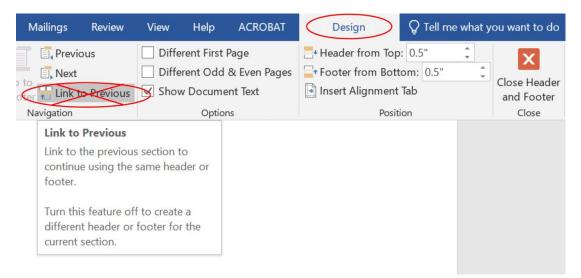
APPENDIX C: PAGINATION USING MICROSOFT WORD

To start page numbering on a page other than the first page of a Microsoft Word document, students must create separate sections in the document. See below instructions for numbering the manuscript in accordance with the requirements in this guide.

STEP 1: CREATE SEPARATE SECTIONS IN THE WORD DOCUMENT. Move the cursor to the end of the copyright page. From the Menu, select the "Layout" tab and then select "Breaks." Under "Section Breaks," select "Next Page."



On the abstract page, open the footer (you can double click on the footer area to 'open', or access, the footer). The "Design" menu tab should also appear. From the Design menu tab, make sure to deselect the "Link to Previous" option and so that the option is *deactivated*.



STEP 2: INSERT PAGE NUMBERS. In the footer of the abstract page, select the "Insert" menu tab, then select "Page Number," and then select "Format Page Numbers..."

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STEP 3: FORMAT PAGE NUMBERS. For page number formatting, select the "i,ii, iii, …" option (Roman numerals) from the drop-down menu.

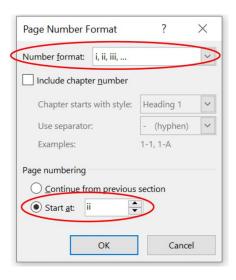
Under "Page numbering," select "Start at" and then type in "ii".

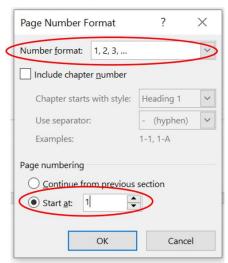
STEP 4: REPEAT STEPS 1 -3 AFTER THE

PRELIMINARY PAGES. Move the cursor to the end of the last preliminary page. Repeat steps 1-3 to create a new section for the rest of the manuscript (i.e. the body text, appendices, and references/bibliography).

To format the page numbers, be sure to select the "1, 2, 3, ..." option (Arabic numerals).

Under "Page numbers," select "Start at" and then type in "1".





UCLA THESIS AND DISSERTATION SUBMISSION AGREEMENT

Approved by UCLA Graduate Council on May 15, 2015

In filing your thesis or dissertation ("the Work," including any abstract), in partial fulfillment of the requirements for your degree at the University of California, Los Angeles (UCLA), you agree to the following terms and conditions.

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- 2. **Delay in Public Release.** If, consistent with University and UCLA policies, you have invoked an approved delay ("embargo") to full public access to the Work, the University will use reasonable efforts to enforce the terms of the embargo period, but you expressly grant to the University the right to make the title and abstract publicly available during the embargo period. Upon the expiration of the embargo period, the University's rights shall be governed by Paragraph 1, above.
- 3. **Representations and Warranties.** You represent and warrant that:
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