

Policies and Procedures
for Thesis and Dissertation
Preparation and Filing

Revised: 2011

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for Thesis and Dissertation Preparation and Filing**

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INTRODUCTION

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

The UCLA Graduate Division and the Theses and Dissertations Office established this policy and procedure for uniformity in the physical format of the manuscript. The student's faculty committee supervises the intellectual content and may specify certain aspects of style, such as footnote style and placement, and the manner in which references are cited and listed. Students are urged to consult with their chairs regarding style preferences early in the preparation of the manuscript. Style manuals are available in several UCLA libraries, and for purchase at the UCLA Store. The regulations included here supersede any style manual instructions regarding format. Format includes manuscript arrangement, organization of specific preliminary pages, spacing, typeface, margins, page number order, page number placement, and the requirement for permission to reproduce copyrighted material. A student should not use theses or dissertations previously filed or past UCLA regulations for format examples because changes are made periodically, and candidates are responsible for following the requirements in effect when the manuscript is filed.

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

Questions that arise in the preparation of final manuscript copies, but which are not covered in this publication, may be discussed with the theses and dissertations advisor, 21560 Young Research Library, (310) 825-3625. The office hours for the theses and dissertations advisor are 12:00 p.m. until 4:00 p.m. Monday through Friday (but please phone ahead as hours occasionally change). Early consultation with the theses and dissertations advisor is particularly helpful if, after a student reads the regulations carefully, the student has questions about special material or about the need for permission to reproduce copyrighted material.

Students should address questions regarding the completion of academic requirements for advanced degrees to their department or to the Graduate Admissions/Student and Academic Affairs Office, 1255 Murphy Hall.

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

A list of related offices with addresses and telephone numbers can be found at the end of this manual.

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Chapter I

MANUSCRIPT CONSTRUCTION: TYPING, ILLUSTRATIONS AND REPRODUCTION

A. MATERIALS

Paper

The two manuscript copies submitted to the Theses and Dissertations Office may be either photocopies or printouts. The paper used for the copies must be at least 20-pound, **25% white cotton** bond. This is not special or unusual paper; it is available at all campus bookstores. Higher cotton content (50% or more) and heavier weight papers (e.g., 24-pound, **25% white cotton** bond) are also acceptable. Standard xerographic bond is not acceptable.

Bond for Oversize Pages

Bond measuring 11 x 17 inches may be used in preparing oversize pages (*see Oversize Material to Be Folded*, page 9).

Graph Paper

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

B. PREPARING THE ORIGINAL COPY

Appearance

The manuscript must be typed or machine-printed, neat in appearance, and without error. Strikeovers, handwritten corrections, or interlineations are not accepted. Corrections may be made on the *original* manuscript only (not on the copy being submitted for filing). Any process may be used (fluid, tape, eraser) that will not reproduce. The manuscript can be printed on only one side of each page. Music composition on heavyweight paper is the only thesis or dissertation submission where both sides of a page may be used (*see Music Composition*, page 10, and *Reproduction of Music Composition*, page 10).

Typeface

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

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

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

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

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

Non-typed Material

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

Spacing

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

Footnotes, bibliographic entries, long quoted passages, figure and table captions, and items in lists and tables may be single-spaced. If individual footnote or bibliographic entries are single-spaced, there must be double-spacing between entries.

There are special spacing requirements for some of the preliminary pages (see sample pages for the doctorate, pages 19-22; sample pages for the master's, pages 23-25). The layout for these pages must be followed carefully as departures from the standard format are not acceptable.

FORMATTING THE MANUSCRIPT

Margins

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

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

TOP LINE OF TYPE = 1" from top of paper

RIGHT = 1"

BOTTOM LINE OF TYPE = 1.5" from bottom of paper

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

Aside from page numbers, all other manuscript material must fit within these margin requirements (including tables, figures, graphs). When oversized pages are used, the same margin measurements are maintained (see pages 8-10).

Manuscript and Figure Layout

The required order of pages for the manuscript is described on page 13. Especially note that a bibliography is always the last section of a manuscript. The last page of a manuscript should be the last page of the bibliography. If students in the biological sciences choose to have a bibliography for each individual chapter of the manuscript, that bibliography must be the last pages of the chapter: All figures, tables, appendices, etc., come *before* the bibliography. Students following this style must remember to list each chapter's bibliography in the Table of Contents with the appropriate page number.

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

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

Layout of figures and tables can be the most bothersome aspect of the manuscript. A student should remember that 11 x 17” paper solves many problems (see page 9). Laying out the table horizontally to the page (landscaping) can also be helpful, as can using the page facing the figure for the caption. For questions about table and figure layout, the student should consult the chair or bring in samples to the theses and dissertations adviser.

Using Reprints or Versions of Manuscripts in Preparation as Dissertation Chapters

If students use an actual *reprint* of a *published article*, i.e., a copy of the article as it appears in a journal, as a chapter of the manuscript, the student must reduce the article to fit the UCLA margin requirements, remove the original page numbers and paginate the article appropriately, and request permission from the article's publisher to include the article in the manuscript. In most cases the article has been copyrighted, and the student must request permission to reprint it even if the student is an author.

If students do not use a reprint, then they may be using a **VERSION** of an article that may have been published or submitted for publication or in preparation for submission. If this is the case, then the student must remove all of the heading material—the addresses of the authors, grant numbers, journal addresses, etc., — from the source manuscript before using the material as a chapter of the dissertation. All Figures and Tables in the chapters must be numbered consecutively, i.e., 1-x or according to chapter, i.e., 1-1, 2-1, etc. A Figure or Table number cannot be repeated. The only exception is if the student is using a reprint; we do not require students to renumber Figures or Tables in reprints. Also, if the source manuscript of a chapter had individual acknowledgements, these must be deleted from the chapter and added to the general dissertation Acknowledgements at the front of the manuscript. *See the discussion under Acknowledgements on page 16, for further details, or phone the Dissertations Advisor with any questions. See also page 26.*

Page Numbers

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

Pagination

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

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

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

C. COPIES SUBMITTED FOR FILING

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

Computer Printers

Only letter quality computer printing is acceptable. If the student has any questions about copies or printers, the student should present a sample of the final product to the Theses and Dissertations Office for approval.

D. OVERSIZE, ILLUSTRATIVE, AND SPECIAL MATERIAL

UCLA margin requirements (see *Margins*, page 6) are to be observed for all oversize, illustrative, and special material described in the following paragraphs, unless an exception is noted.

Wide Margins

Where computer output, tables, or other illustrative materials with wide margins are turned on the page to fit within required margins, the top of the material should run along the left side of the paper at the 1.5 inch margin. Placement of the page number is always at *least* .75” inch from the bottom of the page (see *Margins*, page 6).

Reducing Oversize to Standard Required Margins

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

Oversize Material to Be Folded

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

“Pocket” Oversized Material

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

Very Large Oversized Material

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

Color in Maps and Illustrations

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

Photographs

There are two ways to include photos in the manuscript. Actual photos printed on 8-1/2 x 11 inch matte or pearl finish paper may be substituted as pages if the image size conforms to margin requirements. If the photo has been printed onto paper smaller than 8-1/2 x 11, the student should glue, paste, or somehow affix the photo to a standard sheet of paper, according to margin requirements, photocopy the paste-up either in black and white or color as appropriate, and submit the photocopy as the manuscript page. The student ***must not submit pasted-up pages*** in the manuscript; ***pasted-up pages will be rejected***. Photo page-number placement follows standard requirements (see page 7). Photo captions may be placed on the subject and shot as part of the original negative or captions may be typed on the page facing the photo.

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

Reproduced Published Material

Photocopies of previously published material must be legible and conform to margin and page numbering requirements (see pages 6-7). When published material, including material authored or co-authored by the student, is included in the master's thesis or doctoral dissertation, it is essential that the student follow instructions for permission to reproduce copyrighted material (see page 26).

Music Composition

If the manuscript consists of an oversize music composition only, preliminary pages are reproduced on the same oversized pages as the composition. UCLA margin and page number requirements must be observed on all oversized pages. Page numbers may be typed or neatly handwritten in black ink.

When an oversized music composition is included as a *part* of the manuscript, the manuscript is submitted in two volumes, Volume I includes all the preliminary pages (see pages 13-16) and the text, and is submitted on 8-1/2 x 11 inch paper. The title page includes titles for both Volume I and Volume II, and both volumes will be listed in the Table of Contents.

Volume II includes the oversized music composition and will have a separate set of oversized preliminary pages:

- (a) Title page (*identical to Volume I, showing titles for both volumes*)
- (b) Copyright (*or blank*) page
- (c) Title page for Volume II (*does not include Volume I title*); this page is numbered Roman numeral ii
- (d) Dedication page (*optional*)
- (e) Table of Contents, *if needed*
- (f) Performing notes, lists or other notations (e.g., placement of instruments, instrumentation, explanation of notation), *if needed*

If the composition in Volume II needs to be turned lengthwise on the page to accommodate the width of the score, all pages of Volume II are to be turned lengthwise. The top and bottom margins will then be along the long sides of the page and the top and bottom margins will each equal 1.5". The side margins will be along the short sides of the paper and will each equal 1". The page number will appear at the bottom of the composition and will follow standard page margin requirements (see pages 6-7).

Reproduction of Music Composition

If the manuscript is photocopied on 60-pound bond paper, the manuscript may be printed on both sides of the page. The music manuscript on overweight paper is the only thesis or dissertation submission where both sides of the page may be used. If 20-pound bond paper is used, the student must print on one side of the paper only. If both sides of the page are printed, the student should reverse the margins on the left-side page to allow for binding; that is, the left margin of the left-side page will be 1 inch, the right margin will be 1 1/2 inches, and the page number will be centered to the text. (When the composition is turned on the page, observe the margins described above.)

E. TYPIST AND REPRODUCTION SERVICES

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

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

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Chapter II

THE MANUSCRIPT

A. FORMAT

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

B. ARRANGEMENT

The order for the preliminary pages is listed below. A student *must* follow this order; *no* exceptions are allowed. Starting with the signature page (ii), each page must be counted and numbered. The student must use lower case Roman numerals on preliminary pages and Arabic numerals on text pages. The text starts with the first piece of paper after the abstract and uses Arabic numeral 1.

Examples of the title, signature, vita, and abstract pages for both dissertations and theses follow page 18.

The manuscript is arranged in the following sequence:

1. THE PRELIMINARY PAGES

- a) TITLE PAGE (*counted but not numbered*)
- b) BLANK PAGE or (*if there is to be registration of copyright*) the COPYRIGHT PAGE (*neither counted nor numbered*)
- c) **Copy** of SIGNATURE PAGE with signatures (*page ii, the first page on which a number appears*)
- d) DEDICATION PAGE (*optional*)
- e) TABLE OF CONTENTS (*containing page numbers*)
- f) LIST OF FIGURES, LIST OF TABLES, LIST OF SYMBOLS, ETC. (*if applicable, and containing page numbers*)
- g) ACKNOWLEDGMENTS (*usually optional; see Copyright Permissions, page 26*)
- h) VITA (*required for all dissertations*) Articles under review cannot be listed as publications. Only accepted, in-press articles may be listed as publications. (A master's candidate does not submit a vita with a thesis.)
- i) ABSTRACT (*the final item in the preliminary pages and the final item with Roman numerals*)

2. THE TEXT

(the first page following the abstract is the first page of the text and is numbered with an Arabic number 1)

- a) PREFACE or INTRODUCTION (*if any*)
- b) TEXT, *divided into chapters or sections*

- c) APPENDICES (*if any*)
- d) ADDENDA (*if applicable*)
- e) REFERENCES/BIBLIOGRAPHY (**last pages of a chapter or of the manuscript; see page 7.**)

C. PRELIMINARY PAGES

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

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

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

Title Page

(*Doctoral sample page, p. 19; Master’s sample page, p.23*)

1. **UNIVERSITY OF CALIFORNIA** appears in full capital letters at the top of the page, Los Angeles in upper and lower case letters. The student should follow the spacing on the sample page.
2. The **TITLE** for the thesis or dissertation should include meaningful key words descriptive of the subject and content. This is particularly important for doctoral candidates, because titles are the basis for computer searches from which subject lists of dissertations are prepared by ProQuest’s reference service. Formulae, symbols, superscripts, Greek letters, 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). For music manuscripts that include an oversize composition volume, see page 10, *Music Composition*.
3. The **MAJOR** in which the student is earning the degree must be written exactly as it is approved by the Academic Senate Graduate Council. A student can verify the official name of the major by looking at his or her official transcript or by consulting the list of official majors at the Registrar’s Office site on the World Wide Web at www.registrar.ucla.edu/Dept/major.htm. Unofficial specializations may not be included. For example, UCLA awards a graduate degree in Education, not Educational Psychology. If there is any question about the degree major, the student should consult his or her transcript or the listing in the *UCLA General Catalog* or the Web site noted above.
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 on the approval forms, copyright page, signature page and abstract. If the student wishes to change the name of record, the student should file a change of name petition in the Registrar’s Office. If the student is unsure about what form of his or her name is on record, this information may be obtained through URSA, the Registrar’s Office or Graduate Admissions/Student and Academic Affairs.
5. The **DATE** at the bottom of the title page is the year in which the degree is awarded. This is the same year in which the manuscript is filed, except when the manuscript is filed with the theses and

dissertations adviser after the published last day to file for the Fall Quarter; in this case, the degree will be awarded in the Winter Quarter of the following year, and should be dated accordingly.

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

If a thesis or dissertation exceeds 2-1/2 inches in thickness, it may be divided into two parts with a title page for each part.

Copyright Page or Blank Page

(no sample pages)

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

© Copyright by *(copyright notice)*

Jane Arlene Brown *(name of author)*

2002 *(year degree is awarded)*

DOCTORAL CANDIDATES ONLY — If the student intends to file for copyright at the time of filing, the student must sign the ProQuest Copyright Agreement form (see page 30 section C1b) and bring a *certified check* or *money order* for the amount specified on the ProQuest Agreement form. A student cannot use personal checks to pay for any ProQuest charges — copyright, ordering copies, etc.

Signature Page

(Doctoral sample page, p. 20; Master's sample page, p. 24)

The formal signature page, which contains the signatures of the certifying members of the committee, should not be confused with the approval forms, which are simply record-keeping forms. (See page 29 [Master's] or page 30 [Doctoral] for a discussion of approval forms.)

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

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

Signatures should be in black ink for best reproduction. If a member signs in blue ink, obtain the clearest copy possible.

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

The date at the bottom of the page is the year in which the degree is awarded and is the same as the year on the title page.

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

Dedication Page

(no sample pages)

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

Table of Contents and Lists

(no sample pages)

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

Acknowledgments

(See also page 26.)

(no sample pages)

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

1. The student reproduces/reprints copyrighted material requiring permission to be reprinted/reproduced in which case the student is responsible for acquiring and acknowledging each permission to reprint/reproduce in accordance with the instructions of the individuals/institutions/publishers granting the permission (see Copyright Permissions on page 26).
2. The student uses as text in a chapter either material based on co-authored published or about to be published articles or material based on co-authored papers in progress. If a chapter is based on a co-authored published or about to be published article a sentence such as, "Chapter Five is a version of _____ where the student fills in the formal bibliographic article citation is sufficient. In this way the student has identified all co-authors, the journal where the article can be found and the journal publisher. If a chapter is based on a co-authored paper in progress, the student must identify and acknowledge the individuals contributing to the chapter/paper. Finally, if the student is using as a chapter a version of an article that has its own acknowledgments, those acknowledgments should appear in the manuscript Acknowledgments identified by chapter. In each case the student should always identify and acknowledge the director of the research that forms the basis of a chapter.

Vita, Publications and Presentations

(Doctoral sample page, p. 21; not used for Master's thesis)

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

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

Abstract

(Doctoral sample page, p. 22; master's sample page, p.25)

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

The abstract consists of:

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

The abstract is published without further editing or revisions and special care must be taken in its preparation.

The last page of the abstract is the last page of the preliminary pages; it is the last page numbered with Roman numerals. Any other item in a manuscript that has not been specifically listed and discussed above must not be included in the preliminary pages. With the next sheet of paper following the last abstract page, page numbering is done with Arabic numerals, beginning with "1" and so on to the last sheet of paper.

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UNIVERSITY OF CALIFORNIA

Los Angeles

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

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

by

Richard Smith Roe

2010

The dissertation of Richard Smith Roe is approved.

George A. Brown

Jane Marie Smith

B. Joseph Jones

Gerald B. Greene

Katherine Doe, Committee Chair

University of California, Los Angeles

2010

VITA

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

PUBLICATIONS AND PRESENTATIONS

- Roe, R. S (October, 2005). The etiology of emotional distress among tribe members in the Peruvian Andes. Paper presented at the meeting of the American Psychological Association, Toronto, Canada.
- , Jones, B.J., and Doe, K. (2008). Research design for a study in urbanization. *American Anthropologist*, 77 (3):440-467.

ABSTRACT OF THE DISSERTATION

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

by

Richard Smith Roe

Doctor of Philosophy in Anthropology
University of California, Los Angeles, 2010
Professor Katherine Doe, Chair

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

UNIVERSITY OF CALIFORNIA

Los Angeles

Equipotential Surfaces
for Earth-Pointing Satellites

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

by

John Smith Doe

2010

The thesis of John Smith Doe is approved.

Howard L. Jones

Patricia Anne Brown

Richard W. Roe, Committee Chair

University of California, Los Angeles

2010

ABSTRACT OF THE THESIS

Equipotential Surfaces
for Earth-Pointing Satellites

by

John Smith Doe

Master of Science in Aerospace Engineering

University of California, Los Angeles, 2010

Professor Richard W. Roe, Chair

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

D. TEXT

The student should consult with the committee to determine the preferred textual arrangement and style, including footnote style and the manner in which references are cited and listed. Techniques for managing reproduction of oversize, illustrative, and special material are described on pages 8-10. Regulations regarding the use of published and other special material that may require special permission or acknowledgment are presented in the following section.

E. COPYRIGHT PERMISSIONS Using Reprints, Modified Published/About-to-be Published or Unpublished Material, or Reproduced Copyrighted Material in the Manuscript (see also page 16)

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

CHAPTERS AS REPRINTS. If approved by the candidate's committee a master's thesis or doctoral dissertation may include reprints of previously published articles where the student is a co-author. A reprint is a direct copy of a published article. To be acceptable in a thesis or dissertation the reprint must be reduced to fit manuscript margin requirements, paginated appropriately, and the original page numbers blocked out. A reprint is copyrighted material. If a reprint is used, the student must obtain the publisher's permission to reprint and acknowledge the permission in the manuscript Acknowledgments. The student must also identify the author who directed the research that forms the basis of the article/chapter. (See page 16 [Acknowledgments].)

CHAPTERS BASED ON PUBLISHED OR ABOUT TO BE PUBLISHED ARTICLES OR CHAPTERS BASED ON PAPERS IN PROGRESS. If a student uses a modified version of a published/about to be published article or a paper in progress as a chapter in the manuscript, the student is not using a reprint, so copyright permission to reprint will not be required. However, please note that if the student reprints actual copies of published figures or tables as part of the chapter, permission to reprint those figures or tables is required. All non-reprinted text must be formatted according to UCLA requirements, all cover pages containing co-authors, grants, addresses, etc., and individual acknowledgments removed, and tables, figures, etc., numbered consecutively. (See pages 7, 9 and especially 16 [Acknowledgments, item 2].)

REPRODUCING COPYRIGHTED MATERIAL IN A MANUSCRIPT. If the student reproduces or reprints a complete, single, copyrighted image or work such as, e.g., a table, figure, poem, picture, map, or song, permission to reproduce or reprint the image or work should be obtained from the individual or concern which was the source of the image used in the manuscript: a publisher, institution, or individual. If the student reproduces in the manuscript an excerpt or excerpts of copyrighted material not longer than one single-spaced manuscript page and from a single source, the student will not need to ask copyright permission from a publisher, institution, or individual. If the student reproduces more copyrighted material from a single source than fits on one single-spaced manuscript page, the student should obtain permission to reproduce the copyrighted material from the individual or concern that was the source of the material.

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

When contacting publishers for permissions letters, the student should use his or her home or department as a return address if he or she is writing early enough to receive replies before filing the manuscript. If the

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

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

Manuscript Supervisor
ProQuest
300 North Zeeb Road
Ann Arbor, MI 48106-1346

THESES. Permission answers for theses should be mailed directly to:

Theses and Dissertations Office
21560 Young Research Library
University of California
Los Angeles, CA 90095-1575

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

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

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

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

PERMISSION TO REPRODUCE FROM PRIVATE OR MUSEUM COLLECTIONS. Permission is required for the use of materials from certain private collections and museums without respect to copyright. The student is responsible for determining if permission is needed, and if it is, to submit letters of permission when the manuscript is filed with the theses and dissertations advisor.

F. REFERENCE SECTION

The reference section is always the last subsection of the manuscript (see pages 13-14). The style used for the reference section is determined by the student in consultation with the faculty committee. If the bibliographic citations are single-spaced, however, there should be double-spacing between citations. If references are needed at the end of each chapter, as is often the case in the sciences, this format is acceptable.

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Chapter III

FILING THE MANUSCRIPT

A. LAST DAY FOR FILING

The deadline for filing the thesis or dissertation in final form is ten days to two weeks before the degree date. The exact date for each quarter is posted in the [Schedule of Classes](#). Students are encouraged to file as early in a quarter as possible. The manuscript must be filed in person, either by the student or a representative. *Under no circumstances* will a manuscript be accepted through the mail.

B. FILING PROCEDURES FOR THE MASTER'S THESIS

- 1) The student obtains two Thesis Approval forms, which are available in PDF format on the Graduate Division's website at <http://www.gdnet.ucla.edu/gasaa/library/masapprvl.pdf>. The forms are also available at 1255 Murphy Hall, or from the Office of the Theses and Dissertations Adviser, University Archives, 21560 Young Research Library.
- 2) The student completes the Thesis Approval Forms (must be typed or completed in interactive PDF format on the website listed above and printed out). The name, degree title, degree major, chair or co-chairs, and thesis title on the approval forms must match the information on the preliminary pages of the thesis. The student must be sure to use the same name under which he or she is registered, and that the degree major is listed exactly as approved by the Graduate Council (e.g., Education, *not* Higher Education). The student must be sure to sign the approval forms, noting options available.
- 3) A registered student proceeds to Step 4. A student who is not registered follows these steps for using the Filing Fee:
 - a) Obtains the Filing Fee Application from Graduate Admissions/Student and Academic Affairs. <http://www.gdnet.ucla.edu/gasaa/library/masffee.pdf>
 - b) Has the application signed by the department chair and the committee chair.
 - c) Submits the completed application to Graduate Admissions/Student and Academic Affairs. If approved, the fee is billed through the Billing and Receivables System (BAR).
- 4) On the day that the thesis is filed, the student brings the two copies of the thesis and **first** goes to Graduate Admissions/Student and Academic Affairs to submit the following items:
 - a) Two Thesis Approval Forms (*typed*) <http://www.gdnet.ucla.edu/gasaa/library/masapprvl.pdf>
 - b) Title Page
 - c) Signature Page (*with all signatures included*)

Checking these documents takes only a few minutes. The two Thesis Approval Forms will be signed, dated, and returned to the student to submit to the theses and dissertations adviser. **The title page and the signature page are returned to the student to keep**; they will not be needed again for the filing procedure.

- 5) On the *same* day the student submits the required items in Step (4) to Graduate Admissions/Student and Academic Affairs, 1255 Murphy Hall, and is cleared by that office, the student **then** submits the following items to the theses and dissertations adviser, 21560 Young Research Library:
 - a) Two typed Thesis Approval Forms (stamped and dated by Graduate Division) (Step 4).

- b) Two complete copies of the thesis, including *copies of the signed* signature page, each in a separate manila envelope with an extra title page taped on the outside. Copies must be submitted in final form (no further corrections, substitutions, additions, or deletions) and not bound, stapled, folded, or punched.
 - c) Any letters concerning permission to reproduce copyrighted materials or to use privately owned or museum materials.
- 6) If the manuscript is acceptable, the student takes the approved copy, with an order for microfilming, to the Cashier's Window, first floor Young Research Library. This microfilm is the required archival copy of the thesis.

The minimum microfilming charge is \$40, payable by check, cash or credit card. The student pays and returns to the thesis office where the receipt number is recorded. Presentation of the receipt and the recording of its number complete the steps for filing. The Graduate Division will be notified that the Thesis is accepted.

C. FILING PROCEDURES FOR THE DOCTORAL DISSERTATION

- 1) The student obtains the following forms from either Graduate Admissions/Student and Academic Affairs, 1255 Murphy Hall, or from the Office of the Theses and Dissertations Adviser, University Archives, 21560 Young Research Library.
 - a) Two Dissertation Approval Forms (*typed*) — these forms are also available in PDF format on the Graduate Division's website at <http://www.gdnet.ucla.edu/gasaa/library/docapprvl.pdf>.
 - b) ProQuest Agreement Form http://www.proquest.com/dissertationagree/umi_agreement.pdf
(User name = dissertations; Password = publish)
 - c) Certificate of Completion of the Survey of Earned Doctorates, which is completed online at <http://survey.norc.uchicago.edu/doctorate/index.jsp>
 - d) Confirmation page for the online UCLA Doctoral Exit Survey available at <https://www.gdnet.ucla.edu/gasaa/docexit/default.aspx>
- 2) The student completes the Dissertation Approval Forms (must be typed or completed in interactive PDF format on the website listed above and printed out). The name, degree title, degree major, chair or co-chairs, and dissertation title on the approval forms must match the information on the preliminary pages of the dissertation. The student must be sure to use the same name under which he or she is registered, and that the degree major is listed exactly as approved by the Graduate Council (e.g., Education, *not* Higher Education).
- 3) *Students are required to complete and sign the ProQuest Agreement form* regardless of whether they do or do not copyright the dissertation. Signing the form does not affect control of the manuscript; it simply allows ProQuest to process the manuscript for UCLA.
- 4) Students who are registered for the term in which the manuscript is filed proceed to Step 5. Students who are not registered follow the steps below to determine eligibility to use the Filing Fee in lieu of registering:
 - a) A doctoral candidate must be registered for the immediately preceding term in order to be eligible to pay the filing fee in lieu of registering for the current term (note: Spring term is considered to be the term which immediately precedes both summer and fall terms). Candidates who were not registered for the immediately preceding term must register for the current term in order to file the dissertation. Registration and enrollment in four units during a summer session counts for being registered in a term.
 - b) A student who was registered for the immediately preceding term and who does not need to be registered for the current term for any other reason (e.g., an academic apprentice personnel appointment), obtains the Filing Fee Application form Graduate Admissions/Student and Academic Affairs <http://www.gdnet.ucla.edu/gasaa/library/docffee.pdf>.

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

Checking these documents takes only a few minutes. The two Dissertation Approval Forms will be signed, dated, and returned to the student to be submitted to the theses and dissertations adviser.

- 6) On the same day the student submits the required items in Step (5) to Graduate Admissions/Student and Academic Affairs and is cleared by that office, the student **then** submits the following items to the theses and dissertations adviser, Theses and Dissertations Office, 21560 Young Research Library:
- a) Two complete, unbound copies of the dissertation, including *copies* of the *signed* signature page, each in a manila envelope with an extra title page taped at corners to the outside of each envelope. (If the dissertation is longer than 500 pages, the student may wish to submit two envelopes; each additional envelope should contain an extra title page on the inside and be labeled with an extra title page on the outside.) The dissertation must be in final form (no further corrections, substitutions, additions, or deletions), and not bound, stapled, folded, or punched.
 - b) A third manila envelope, labeled with a title page on the outside, in which is included:
 - i) Two typed Dissertation Approval Forms, signed and dated by the Graduate Division (Step 4).
 - ii) ProQuest Agreement Form (completed and signed on the back).
 - iii) One copy of the title page and one copy of the abstract for ProQuest.
 - iv) Students who request ProQuest to register copyrights on their behalf (optional), must bring a certified check or money order made payable to ProQuest in the amount specified on the ProQuest Agreement Form (no personal checks, credit cards or cash are accepted for the copyright fee).
 - v) If ordering abstracts, copies, or films from ProQuest (optional), a separate certified check, money order, or credit card number (see form). Cash is not accepted.

NOTE: There is no charge (other than normal registration and enrollment or payment of the filing fee) for processing the dissertation, and there is no requirement for registering copyright or for ordering copies; all fees payable to ProQuest are for services provided at the student's option.

- vi) Any letters concerning permission to reproduce copyrighted materials or to use privately owned or museum collections.

PLEASE ALSO NOTE THE FOLLOWING:

All fees are subject to change without notice.

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

Chapter IV

MISCELLANY

A. MICROFILMING AND ORDERING COPIES

Master's Thesis

The master's thesis is microfilmed through UCLA Reprographic Services (see *Filing*, Step 6, page 30.) The University frequently receives requests for copies of theses and fills such orders at cost. Students who intend to publish the manuscript may request that the University withhold reproduction for a period up to three years. A student indicates the desire to withhold reproduction by signing both Thesis Approval Forms in the space provided, giving a permanent address, and noting the date within the three-year period on which permission to publish is to be granted. Request for copies of master's theses should be addressed to UCLA Reprographic Services, 21560 Young Research Library.

Doctoral Dissertations

ProQuest publishes UCLA doctoral dissertations in microfilm form and in paper copies from the microfilm. Braille editions and special sound recordings of nondramatic literary works are provided for the blind and physically handicapped with the student's permission (see item 15 on the ProQuest Agreement form). The abstract of the dissertation is published in *Dissertations Abstracts International*. Copies of the abstract, and copies of the dissertation in soft cover, hard cover, microfilm or rolifilm may be ordered at the time of filing through ProQuest, at a discounted rate, using the agreement form. A student should allow about six months from the time of filing for the request to be processed and the copies delivered.

B. REGISTRATION OF COPYRIGHT

The need to register copyright depends on the nature of the materials and on plans for the future publication or revision of the manuscript. Under present law, the works of an author are protected from the date of creation and on throughout the life of the author, plus another fifty years thereafter (Public Law 94-553, The Copyright Act 1976, effective January 1, 1978). Whether the thesis or dissertation copyright is registered or not, the author retains the right to publish all or any part of the manuscript by any means at any time, except, in the case of the doctoral dissertation, as described in the ProQuest Agreement. Registration of the copyright puts on public record the exact details of a copyright claim. In order to bring suit against an infringer, registration is necessary.

Further information about copyright may be obtained at www.loc.gov/copyright.

If a registration of copyright is desired, the student prepares the copyright page (instructions on page 15) for notification of copyright in the thesis or dissertation.

Master's Thesis

Master's candidates are responsible for registering the thesis and may do so by applying directly to the Registrar of Copyright, Copyright Office, Library of Congress, 101 Independence Avenue S.E., Washington, D. C. 20559-6000, (202) 707-9100.

Doctoral Dissertations

ProQuest will file the application for registration of a claim of copyright on behalf of a doctoral candidate. The candidate completes the appropriate section of the ProQuest form, signs the authorization on the back of the form, and submits the required fee in a certified check or money order (made payable to ProQuest) as part of the filing process. ProQuest pays the registration fee, prepares the application, and deposits the copies required by the Copyright Office. The Copyright Office mails the certificate of registration to the candidate approximately five months after ProQuest receives the manuscript.

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IMPORTANT REFERENCE NUMBERS

Questions regarding manuscript format:

Theses and Dissertations Adviser..... (310) 825-3625
21560 Young Research Library
Office hours: 12:00 PM - 4:00 PM, Monday through Friday

www.library.ucla.edu/welcome/services/thesis.htm

Questions regarding completion of academic requirements:

Graduate Division: Graduate Admissions/Student and Academic Affairs
1255 Murphy Hall
Doctoral and Master's Candidates..... (310) 825-3819
Office hours: 9:00 AM - 4:00 PM, Monday through Friday

www.gdnet.ucla.edu

Questions regarding degree certification and diplomas:

Registrar's Office Certificates of Completion
1105 Murphy Hall
Doctoral and Master's Candidates..... (310) 825-3248

Student Services, Verification and Transcripts
1134 Murphy Hall
For confirmation of candidate's name and major..... (310) 206-0482
Office hours: 9:00 AM - 5:00 PM, Monday through Friday

Questions regarding copyright and publications:

UCLA Copyright Clearance Librarian.....(310) 206-0039

Copyright Information and Registration Forms*
Copyright Office
Library of Congress
Washington, D.C. 20559 (202) 707-9100

www.loc.gov/copyright

ProQuest (formerly UMI)
300 North Zeeb Road
Ann Arbor, Michigan 48106..... (800) 521-0600
ext. 7020

<http://proquest.com/proquest/>

*Master's degree candidates may find this information helpful if they wish to register copyright of their theses. Doctoral candidates may instruct ProQuest to register copyright for them.

Questions regarding word processing:

<http://computerlabs.clicc.ucla.edu>

<http://computerlabs.clicc.ucla.edu/Info.asp?LabID=4>