

University of Pennsylvania

Graduate School of Education

EdD Dissertation Manual

April 2020

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Introduction

Writing and submitting the dissertation are among the final steps leading to the award of the EdD degree. At PennGSE, a student presents and defends the dissertation publicly, and then, with the approval of the dissertation committee and Dean of the Graduate School of Education, submits the final manuscript for publication.

This manual documents the University's requirements regarding the format for the manuscript, online submission process, and supporting documents. The Dissertation Manual can be used in conjunction with the new [Dissertation Template](#) -- a Word file preformatted with the approved margins, pagination, fonts, etc. All EdD dissertations must be submitted in digital format through ProQuest's [ETD Administrator](#) module.

Follow the instructions in the Dissertation Manual carefully and, should further questions arise, consult Elizabeth Deane, Coordinator of Faculty Affairs (bettyd@gse.upenn.edu or 215-898-7370), or Megan McManus, Faculty Affairs Coordinator (mcmmeg@upenn.edu or 215-573-5703). The Graduate School of Education serves as the clearinghouse for final deposit of all EdD dissertations.

Open Access Publication

Publication of the dissertation is a University requirement for the PhD and EdD degrees and a bound copy of your dissertation will be shelved in the University library. A digital copy is included in the ProQuest/UMI database, accessible online to subscribers and libraries.

As of fall 2015, Penn requires open access publication of dissertations. **Open Access is a dissertation submitted in digital format that is fully available via the internet, including full text searching through search engines like Google.** Open access publication provides a much wider audience for you, can help to market your ideas to potential employers, and can help make plagiarism or theft much easier to detect. In many cases "open access" publication may be more beneficial to you.

At Penn, open access dissertations are published through the institutional repository (IR), [Scholarly Commons](#). Students should discuss with their advisor whether a delay in publication is necessary or advisable. Students may apply for delay in publication by Proquest and in Scholarly Commons as follows: A request for a three-year delay is approved automatically through Penn's Scholarly Commons. A request for a delay of an additional three years requires approval by the Graduate Group Chair. In the event that a further delay is needed, the graduate should petition his or her School's Graduate Dean (or Associate Dean for Graduate Studies) for an extension.

Use of Copyrighted, Previously Published, or Coauthored Material

Previously published articles may be submitted as part of the dissertation, with written permission of the copyright holder (such as the journal or publisher) and approval of the dissertation committee and Graduate Group Chairperson. (See page 11 of this manual for instructions on how to submit a Copyright Permissions Letter online.)

If you use copyrighted material (images, quotations, datasets), you are responsible for ensuring permission for re-use of that material. In most cases, you are able to use copyrighted material under the “fair use” provisions of copyright law. For more information, go to <http://guides.library.upenn.edu/copyright/dissertations>. If you still have questions regarding copyright and “fair use” send email to: repository@pobox.upenn.edu

University of Pennsylvania policy permits dissertations based on joint work with other researchers, provided that, in such cases, a unique and separate dissertation is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a dissertation by more than one degree candidate is not allowed.

Patents

Any inventions that you make as part of your research for your degree and disclosed as part of your dissertation, and any patent or other intellectual property rights arising therefrom, are governed by the policies of the University of Pennsylvania, including the [Patent and Tangible Research Property Policies and Procedures](#) and [Policy Relating to Copyrights and Commitment of Effort for Faculty](#). For more information, please contact the University’s [Center for Technology Transfer](#) at CTTinfo@ctt.upenn.edu or by calling the CTT Help Desk at 215-898-9591.

Preparing Your Manuscript

Dissertation Template: A Word template is available to help you format the dissertation correctly. It paginates according to University requirements and can be used to generate the Table of Contents, format the margins, etc. When using the Dissertation Template, all italicized notes must be deleted and the highlighted text must be personalized. The Dissertation Template can be downloaded directly from this link

https://www.gse.upenn.edu/pdf/students/EdD_dissertation_template.docx

If you choose to create your own document, rather than use the Dissertation Template, be sure to follow the guidelines below very carefully.

Organization of the Manuscript: Pages must appear in the following order:

Preliminary Pages, in the following order:

- Title Page
- Copyright Notice (optional)
- Dedication (optional)
- Acknowledgment (optional)
- Abstract
- Table of Contents
- List of Tables (If lengthy, it may be included as an appendix.)
- List of Illustrations (If lengthy, it may be included as an appendix.)
- Preface (optional)

Main Text

Appendices (optional)

Bibliography

Index (optional except for graduate groups in Architecture, City & Regional Planning, Earth & Environmental Science, East Asian Languages & Civilization, Folklore & Folklife, Near Eastern Languages & Civilization, South Asia Regional Studies)

Margins:

- Left-hand margin: 1.5 inches
- Right-hand margin: 1 inch
- Top and bottom margins: 1 inch

All text, including footnotes and page numbers, must be inside these boundaries. Nothing may appear in the margin area.

Line spacing: For the sake of readability, it is recommended that the text of the dissertation be double-spaced (except for footnotes, long quoted passages, and lists of tables and figures, which are single-spaced).

Font: Any non-italic font 10-12 points in size should be used. Headings may be larger. For enhanced screen readability, use Arial (10pt), Courier New (10pt), Georgia (11pt), Times New Roman (12pt), or Verdana (10pt) font. For footnotes, figures, citations, charts and graphs, a font of 8 point or larger should be used. Italic type may be used for quotations, words in a foreign language, occasional emphasis, or book titles.

Use of Bold, Underlining and Paragraph Indentation: Spare use of these formatting features is permitted, in order to enhance the readability of the manuscript.

Pagination: Every page in the dissertation has a number, except for the Title Page and the copyright notice (if desired).

For the preliminary pages – dedication (optional), acknowledgements (optional), abstract, table of contents, list of tables, graphs, illustrations and preface (optional) – use small Roman numerals (i, ii, iii, iv, v, ...). These may be placed either at the top or the bottom of the page. **The title page is counted as page i, and the copyright page (if there is one) as page ii, but do not print the page numbers on either of these two pages** (e.g., in a dissertation with a copyright notice, the first numbered page is iii; in a dissertation without a copyright notice, the first numbered page is ii).

For the text, use Arabic numbers (1, 2, 3, 4, 5, ...) starting with page 1 (the first page of the text itself). These may be placed either at the top or the bottom of the page. If you use footnotes, it is recommended that you print page numbers at the page top. Do not print - page numbers, footnotes, or anything else in the margins. Each page must be consecutively numbered, including tables, graphs, illustrations, and bibliography/index (if they are included); letter suffixes (such as 10a, 10b) are not allowed.

Check pagination carefully. **Do not include blank pages.** All pages must have a page number and be accounted for.

Abstract: The Abstract is a condensed summary of the dissertation, not to exceed 350 words. All words count towards the total. The abstract, which is normally a single paragraph, consists of four parts: the statement of the problem; the procedure and methods used to investigate the problem; the results of the investigation; and the conclusions.

The abstract is published online by ProQuest in "Dissertation Abstracts International," providing information to interested readers about the general content of the dissertation.

The abstract is double-spaced. Below the word "ABSTRACT" (in upper case), list the title of the dissertation (upper case), your name, and your dissertation supervisor's name. If you have both a supervisor and co-supervisor, list the co-supervisor's name on the line beneath

the supervisor's. Do not include any titles (e.g. "Supervisor" or "Advisor"), as this is indicated by the placement of the names. Example:

ABSTRACT

PRACTICAL ADVICE: THE EFFECT OF "POOR RICHARD'S ALMANAC"

ON DOMESTIC LIFE IN THE AMERICAN COLONIES

Author's Name

Supervisor's Name

The same elements that transformed the political structure of the British colonies in North America, first through revolution and later through a new constitution, were also eager to promote a similar transformation of social relations among Americans. But at the time of the Revolution, there was no widespread consensus on how Americans should act towards one another or an official aristocracy whose manners were expected to set the tone for the larger society. Benjamin Franklin's "Poor Richard's Almanac" sought to fill this void through the means of pithy homilies issued by an "ordinary" American of the day. Examining its text, one finds both significant guidance concerning interpersonal relations in a society which officially had shed the formal class distinctions of the mother country, practical suggestions for new arrivals in the cities, and useful tips for those working the land in a country that was still largely unsettled. The book also served as the original model for a uniquely American literacy form, the self-help book, which in the United States soon took the place of custom and clan as a means of providing the average individual with clues to proper behavior. Through this book, Franklin had an influence on everyday American manners that was every bit as significant as his influence on American scientific and intellectual life.

Title Page: The Title Page must contain the TITLE (in upper case); the author's name; the official name of the program (see Appendix 1 for official names); the year the degree is being granted; the name, faculty title (rank and department), and signature of the dissertation supervisor (or co-supervisors, if there is more than one); and the name, faculty title (rank and department), and signature of the Dean of the Graduate School of Education. The names and faculty titles (rank and department) of the Dissertation Committee members should be listed on the Title Page (their signatures are not necessary). **If you want to use a format for your name that differs from the current name in the *Penn In Touch* System (e.g., a married name, or a full middle name rather than a middle initial), contact the Registrar's Office and provide the necessary documentation to make that change.**

NOTE: The Library copy of the manuscript must be signed by the dissertation supervisor (or co-supervisors) and the Dean of GSE, but no signatures are required in the pdf of the dissertation.

The title page is understood to be page "i" for counting purposes, but no page number should be printed on the title page.

See sample title page on the page that follows.

SAMPLE TITLE PAGE

TITLE OF DISSERTATION ALL CAPS

AND DOUBLE SPACED IF MORE THAN ONE LINE

Author's Full Name

A DISSERTATION

in

Official Name of Program

Presented to the Faculties of the University of Pennsylvania

in

Partial Fulfillment of the Requirements for the

Degree of Doctor of Education

Year

Supervisor of Dissertation:

Full Name, Academic Title

Dean, Graduate School of Education:

Pamela L. Grossman, Dean and Professor

Dissertation Committee:

Full Name, Academic Title (Chair)

Full Name, Academic Title (1st reader)

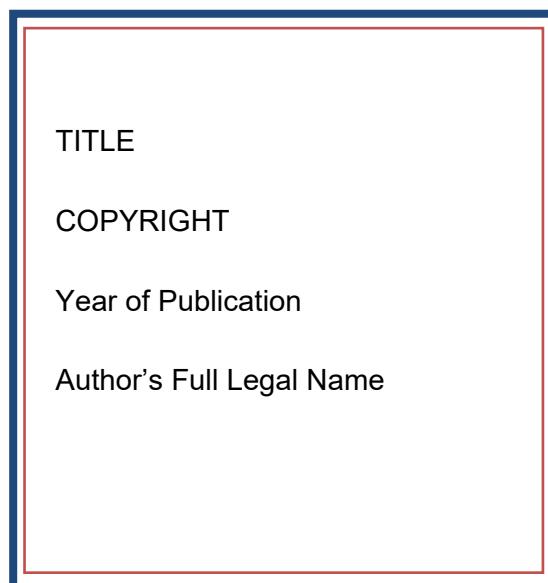
Full Name, Academic Title (2nd reader)

[PLEASE REMOVE "CHAIR," "1ST READER," AND "2ND READER" AS THESE ARE INSTRUCTIONS ONLY]

Paper: The dissertation is printed single-sided on acid-free white paper, 20 lb. (or heavier stock), 8 1/2 x 11 inches in size. Copier paper is fine.

Copyright Notice: The dissertation submitted as a part of the requirements for a degree is the property of the University. However, the author of the dissertation owns and retains the copyright in the dissertation, without further registration formalities (see page 19 for more discussion of copyright options). If you choose to include a copyright notice in your manuscript, place it on a separate page immediately following the Title Page. Display the title of the dissertation, then the word "COPYRIGHT," the year of first publication, and your name. The author may also reference a Creative Commons License Deed on this page. (See Sample 2 below.) Do not print a page number on this page; it is understood to be page "ii" for counting purposes.

Sample 1: Traditional Copyright page



Sample 2: Copyright page referencing a Creative Commons License Deed



Footnotes/Endnotes: Notes can appear as footnotes below the text on a page, or as endnotes at the end of each chapter. Footnotes at the bottom of a page should be numbered continuously throughout the dissertation. Endnotes at the end of a chapter are numbered separately for each chapter (i.e., the first note of each chapter will always be numbered “1”). A bottom-of-the-page footnote must begin on the same page as the text to which it refers, but it may continue on a following page if necessary. Nothing may appear in the margin area.

Bibliography: This is an alphabetical listing of all references. It may be a single alphabetical list by chapters, or an alphabetical list by authors for subject and class of publications. Page numbers in the bibliography continue the pagination of the text; do not number the bibliography separately.

Supplementary Digital Files: Supplementary digital files of essential supporting material may be submitted along with the dissertation manuscript. Follow the instructions in ETD Administrator for attaching supplementary files.

Copyright Permission Letter: If someone other than you owns the copyright in content in your manuscript, including appendices, and your use of that content is not a fair use of that content, ProQuest requires submission of a permission letter from the copyright holder to use that content. Submit the Permission Letter as a Supplemental File in ETD Administrator.

Name the file “Permission Letter - Do Not Publish.”

Dissertation Submission Process

The Graduate School of Education is the administrative clearinghouse for EdD graduates. Prior to submitting a hardcopy of your dissertation to GSE, you must first submit your dissertation online using ETD Administrator. Once your dissertation has been reviewed and accepted on ProQuest, bring a single hardcopy of the dissertation manuscript **un-bound** in a box or sealable envelope with original signature of the Dissertation Chair on the Title Page. GSE will secure the Dean's signature on the title page on behalf of the student. The hardcopy will be bound, included in the Library collection, and made available to the world via inter-library loan.

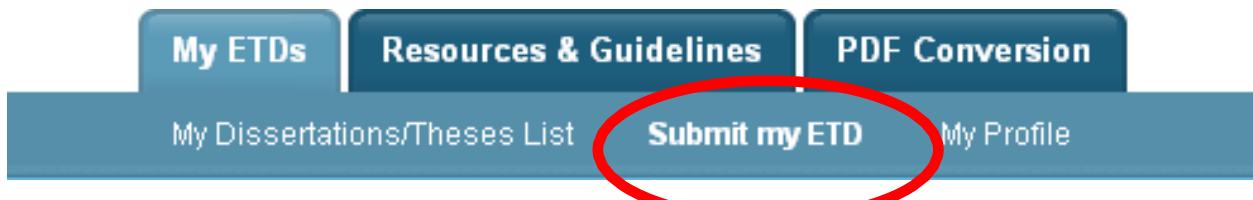
Navigating ETD Administrator

Candidates are required to use ETD Administrator at www.etdadmin.com/upenned to submit a PDF version of their dissertation prior to their appointment at the Graduate School of Education. The following is an easy-to-follow guide for submission and making selections regarding publication method and copyright.

Log in to ETD Administrator. If you have not created an account in ETD Administrator, you must do so at this time.



After logging in, select "Submit ETD" from the "My ETDs" Tab.



Submission steps:**Publishing Information:** **Instructions** **Publishing options** **ProQuest/UMI agreement** **University agreement** **Contact information****About my dissertation/thesis:** **Dissertation/Thesis details** **PDF** **Supplemental files (optional)** **Notes (optional)****Submission & payment:** **Register U.S. Copyright** **Order copies** **Shipping address** **Submit**

This guide will inform and advise you in making selections through the submission process in ETD Administrator. The tabs to the left, including “Publishing Options,” “PDF” and “Register U.S. Copyright” require special attention and are addressed in detail.

Read the “Instructions” page carefully and proceed to the second tab., “Publishing Options.” which appears in detail below. (See Penn-specific guidance in the red boxes that follow.)

Publishing options

The “Publishing Options” tab in ETD Administrator requires you to indicate if you want your work to be searchable through major search engines.

Type of Publishing

Open Access PLUS [View agreement](#)

- I want the broadest possible dissemination of my work, and I want to provide free global access to the electronic copy of my work via the internet.
- I understand that I will not be eligible to receive royalties.
- I understand that the ProQuest fee for Open Access Publishing PLUS is \$95.00 USD.
- I understand that I will pay the fee, unless notified by my graduate institution that the school will pay.
- I understand that my work will be available through [ProQuest Dissertations & Theses](#), [iParadigms](#) and [Dissertation Express](#), and that a citation/abstract may appear in some [indexes](#) (e.g. SciFinder, MathSciNet, PsycINFO, etc.).

Select Publishing Options

I want major search engines (e.g. Google, Yahoo) to discover my work through ProQuest. [*Learn more](#)

Yes
 No

This section deals with delaying publication by Proquest. In cases where a paper is in press or a patent application is pending, Penn allows a delay in the public release of the dissertation. Documentation of approval by your graduate dean is required in order to delay release beyond the embargo (see pages 24-25).



Access options (e.g., delaying the release of your work)

If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. The citation and abstract of your work will be available through ProQuest and may be available through your institutional repository.

Note: Most institutions have delayed release (or embargo) policies. Please consult with your Graduate School for more information.

Delaying release in ProQuest

I want my work to be available **in ProQuest** as soon as it is published. *

Yes

No - I have patents pending, or another reason why I need to delay access to the full text of my work.

How long would you like to delay the release to ProQuest? * (more info)

2 years

Note to administrator (optional):

200 characters

[Clear](#)

Reason for delaying release to ProQuest: *

Save & Continue

Contact information

Dissertation/Thesis details

Complete the forms in the “Contact information” and “Dissertation/Thesis Details”

PDF

You are required to submit your dissertation in PDF format. To meet the file formatting and size requirements, use the pdf Conversion Tool available from ETD Administrator.

PDF

You must upload your work as a PDF. If you don't have a PDF file yet, you can [convert your manuscript to PDF](#) using the conversion tool we provide.

Other PDF Requirements:



- Fonts must be embedded.
- Security settings must be set to "No security". Encrypted files cannot be processed for publishing.
- The maximum file size that can be uploaded is 250MB.

Upload your Microsoft Word, WordPerfect or RTF file of your dissertation to create a PDF document that meets ProQuest's formatting requirements.

You can use this tool to convert your dissertation/thesis into PDF Format. Your converted document will be available for download for two weeks. After two weeks, it will be deleted from our system and no longer retrievable.

You can convert the following types of documents:

Microsoft Word, WordPerfect, and RTF (rich text format).

Preparing your file:

Before using this tool, prepare your file by embedding all fonts. [Instructions](#)

File to convert:

Browse

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[Setting Security](#)

Need help with your PDF?

[Contact Technical Support](#)

Conversion History

[Conversion History](#)

When the conversion is complete, you will receive an email notification with a link to retrieve your PDF. You may also retrieve converted PDF files by logging into your ETD Administrator account directly.

The screenshot shows a web-based interface for managing PDF conversions. At the top, there are three main navigation tabs: "My ETDs", "Resources & Guidelines", and "PDF Conversion". The "PDF Conversion" tab is active, as indicated by the highlighted background. Below these tabs, there are two sub-navigation links: "PDF Conversion" and "Conversion History". The main content area is titled "PDF Conversion". Inside this area, there is a message: "Below is a list of the files you converted. You can download any hyperlinked PDFs." Below this message, there is another message: "Please check your PDF to be sure it is accurate and complete before submitting for publishing." At the top of the content area, there is a link labeled "Refresh/Update List". Below this link, there is a table with three columns: "File", "Date Submitted", and "Date Converted". The table contains two rows of data. The first row shows a file named "MyDissertation.pdf" (7K) submitted on Sep 27 2011 1:18PM EDT and converted on Sep 27 2011 1:31PM EDT. The second row shows a file named "SupplementalFile.pdf" (7K) submitted on Sep 27 2011 1:44PM EDT and converted on Sep 27 2011 1:46PM EDT. At the bottom of the content area, there is a red-bordered box containing the following text: "Your PDF files will be saved for only two weeks. Be certain to download and save converted PDFs for your records."

| File | Date Submitted | Date Converted |
|---|------------------------|------------------------|
| MyDissertation.pdf (7K) | Sep 27 2011 1:18PM EDT | Sep 27 2011 1:31PM EDT |
| SupplementalFile.pdf (7K) | Sep 27 2011 1:44PM EDT | Sep 27 2011 1:46PM EDT |

Your PDF files will be saved for only two weeks. Be certain to download and save converted PDFs for your records.

Register U.S. Copyright

You are entitled to basic copyright protections whether or not you register your copyright. There are, however, legal advantages to federal copyright registration. <http://www.copyright.gov/circs/circ1.pdf>

For \$35 you may submit your own copyright registration application to the U.S. Office of Copyright at <http://www.copyright.gov>

Alternatively, you can ask ProQuest to submit a copyright registration application to the U.S. Office of Copyright on your behalf. We see no advantage to using ProQuest's copyright service.

Register U.S. Copyright

At ProQuest, we make copyright registration easy - by submitting your application to the United States Office of Copyright on your behalf and providing you with the certificate from the Library of Congress. Registering your copyright via ProQuest is the fastest and most efficient method currently available.

How to take advantage of our copyright service:

Registering with the U.S. Office of Copyright **establishes your claim** to the copyright for your dissertation/thesis and **provides certain protections if your copyright is violated**. If you wish, ProQuest/UMI Dissertation Publishing will act on your behalf as your agent with the United States Copyright Office and apply for copyright registration as part of the publishing process.

We will:

- Prepare an application in your name
- Submit your application fee
- Deposit the required copy or copies of the manuscript
- Mail you the completed certificate of registration from the Library of Congress

You are entitled to copyright protections whether or not you register.

1. Previous U.S. Copyright Registration

Has registration for your published dissertation/thesis, or for an earlier version of the manuscript, been made with the Copyright Office?

Yes - copyright was previously filed No

2. Requesting ProQuest/UMI to file for U.S. Copyright Registration

Do not file for copyright - I am requesting that ProQuest/UMI not file for copyright on my behalf.

File for a new copyright - I am requesting that ProQuest/UMI file for copyright on my behalf.

- Fees may be associated with this item, but may be paid via your institution. See instructions for details on any associated fees.
- I authorize ProQuest/UMI to submit an application for registration of my copyright in the Work in my name. I will receive the registration confirmation directly from the U.S. Office of Copyright.
- If I have previously registered my published dissertation/thesis, or an earlier version of the manuscript with the U.S. Office of Copyright, I have provided the registration number and year of registration above (see Question 1).

You May choose to register yourself, without paying ProQuest's "copyright service" fee.

After making your selections to order copies of your dissertation, it is ready for final submission. When you submit, it will be sent to the Graduate School of Education for review.

Where to Get Help

The Graduate School of Education

Faculty Affairs Coordinators:

Megan McManus: Email: mcmmeg@upenn.edu (215-573-5703)
Elizabeth Deane: Email: bettyd@gse.upenn.edu (215-898-7370)

Ordering a Transcript & Getting Your Diploma

Information on ordering **transcripts** is online at [http://www.upenn.edu/registrar/
student-services/transcripts.html](http://www.upenn.edu/registrar/student-services/transcripts.html)

Diplomas are mailed to the address of record by the Office of the Secretary approximately two months after each degree cycle, (e.g., in early October for August graduates, in March for December graduates, and in July for May graduates).

For questions please contact:

Director of Student Records: Janeen Chavis
Email: jchavis@upenn.edu (215-7898-7379)

Checklist

(Check -- even if you used the Dissertation Template)

1. Is every page of the dissertation correctly numbered? Are all pages included?
2. Is a bibliography and/or index required by your graduate group?
3. Does the author's name, in full, appear on the title page, the abstract, and the contract form? Is the name the same on all three? Is it in the same format as in the *Penn In Touch* system?
4. Does the supervisor's name (without the faculty title) appear on the abstract? Is the name typed accurately and in the proper place, so that it is clearly indicated that s/he is the supervisor and not the author?
5. Are all charts, graphs, and other special illustrative materials legible? Are they in the correct order and position? Are they paginated?)
6. Do you want to apply to register the copyright in the dissertation with the U.S. Copyright Office?
7. If a significant portion of a third person's copyrighted work is included in your dissertation, have you obtained permission from the copyright owner? Have you submitted the Permission Letter as a Supplemental File in ETD Administrator? Did you name the file "Permission Letter – Do Not Publish"?

Appendix A: Official Names of Graduate Groups

Higher Education Division

Higher Education

Higher Education Management (Executive Doctoral Program)

Reading/Writing/Literacy Division

Reading/Writing/Literacy

Teaching, Learning and Leadership Division

Educational Leadership

Teaching, Learning and Teacher Education

Other Executive Doctoral Programs

Penn Chief Learning Officer

Educational and Organizational Leadership (Mid-Career Doctoral Program)

Appendix B: DELAY OF PUBLICATION REQUEST FORM

Publication of the dissertation is a University requirement. A copy of the dissertation is shelved immediately in the University Library and transmitted to ProQuest.

Beginning December 2015, Penn will require open access publication of dissertations in the institutional repository, [ScholarlyCommons](#).

In cases where papers are in press, patents are pending, or where there are other intellectual property concerns, it may be beneficial for you to delay publication or “embargo” your dissertation. Students should discuss with their advisor whether such a delay is necessary or advisable.

Up to a three-year delay of publication in Scholarly Commons is permitted automatically. No forms or permissions are required.

A two year delay of publication or “embargo” in Proquest ETD Administrator is permitted.

**First extension of embargo requires approval by the Graduate Group Chair.
(FORM IS ON PAGE 25)**

**Second extension requires approval by the Graduate Dean.
(FORM IS ON PAGE 25)**

To avoid release of the work, approvals must be received one month in advance by the Graduate Division.

THESE REQUESTS WILL NOT BE ACCEPTED BY THE GRADUATE DIVISION UNTIL 3 MONTHS PRIOR TO THE ORIGINAL EMBARGO EXPIRATION DATE.

FORMS ARE ON THE NEXT PAGE

Request for First Extension of Embargo

(beyond the 3 years of “automatic embargo”)

AUTHOR'S NAME _____

TITLE OF DISSERTATION _____

Print Name _____ Signature of Author _____ Date _____ Email _____

Print Name _____ Signature of Graduate Group Chair _____ Date _____

Delay Publication until _____

Request for Second Extension of Embargo

(beyond the 3 years “automatic” embargo and the approved 3 year extension)

AUTHOR'S NAME _____

TITLE OF DISSERTATION _____

Print Name _____ Signature of Author _____ Date _____ Email _____

Print Name _____ Signature of **Graduate Dean** _____ Date _____

Delay Publication until _____