

**UC DAVIS GRADUATE COUNCIL POLICY**  
**Mandatory Electronic Filing of Theses and Dissertations**  
**Approved – June 7, 2010**  
**Revised – June 11, 2019**  
**Revised – May 15, 2020**

**GC2010 – 01 (Rev. 02)**

**Thesis and Dissertation Submission**

Effective September 20, 2010, for all degrees to be awarded on the Fall 2010 degree list and thereafter, theses and dissertations (hereafter referred to as manuscripts) submitted to the Office of Graduate Studies must be filed electronically using the ProQuest-UMI Electronic Thesis and Dissertation (ETD) Administrator. These manuscripts must meet all formatting requirements as outlined on the ProQuest-UMI ETD Administrator web site at <http://www.etsadmin.com>.

Students will continue to complete the agreement form and Copyright forms, where applicable, with ProQuest-UMI through the ProQuest-UMI ETD Administrator web site. In addition, students must meet with Office of Graduate Studies staff to submit required forms and a signature page to complete the filing process.

**Embargo Options**

Theses and dissertations are held by Graduate Studies until the degree list for the current quarter has been approved. Thus, there is an inherent 2-4 month delay between the time the manuscript is submitted and its electronic publication by ProQuest-UMI. **With the agreement of their major professor**, students may also elect to formally embargo electronically submitted manuscripts for a period of six months, one year, two years, or 6 years without the need to obtain prior Graduate Council approval. Requests for exception to policy must be submitted to Graduate Council for review and approval.

In selecting an embargo period, students are urged to consider the implications of electronic availability of theses and dissertations with respect to prior publication restrictions of journal and book publishers as well as patent protections of new ideas. Concerns about protecting disclosure of information must be balanced against the public's expectations of access to new knowledge.

The Abstract-Only option offered by ProQuest-UMI is effectively a permanent embargo of the manuscript and is eliminated as an option. In general, a permanent embargo is not consistent with the mission of a public research university, which has a responsibility to share research outcomes with the public. In unusual circumstances, a student may request to permanently embargo his or her manuscript by submitting a petition for exception to Graduate Council for review and approval.

Any request to embargo the manuscript, for any period of time, must include a written endorsement from the student's dissertation committee chair. A request to permanently embargo a manuscript must include endorsement by the chair of the graduate program.

The Office of Graduate Studies will notify the University Library of any approved embargo of the manuscript for any period of time.