

The Filing Tutorial

Read this if you plan to file a Master's Thesis, Doctoral Dissertation, or DMA Document within the next year!

Months in Advance of Filing:

- Check with your department to ensure you have met all of the other (non-thesis/dissertation/DMA document) requirements for your degree
- Check the [Grad Post](#) for upcoming Filing Workshops, Dissertation Writer's Room hours, Dissertation Writing Retreats
- Start formatting your document to fit with the University formatting guidelines
 - [Templates](#)
 - [The Rules \(Filing Guide\)](#)
- Figure out your copyright requirement(s):
 - Review this copyright guide at: <http://www.etdadmin.com/cgi-bin/main/resources?siteId=67#guides>
 - If you have previously published all or parts of your thesis/dissertation/DMA supporting document in a journal, check with the journal regarding permission to reprint (in the form of a letter/email or inclusion of a specific citation) the material in your document. This is a common question, so you should be able to get the answer easily by contacting the journal
 - If you are including material that was created by someone else (images, photos, poems, lyrics) you probably need to request permission in writing (email or hard copy)
- Figure out if you need to [embargo](#) your dissertation, and for how long
- Identify the filing deadline you intend to meet
 - <http://www.graddiv.ucsb.edu/academic/filing-deadlines-and-degree-conferral-dates>
 - Figure out what your status will be when you file
 - [Registration](#) or a [filing leave of absence](#) is required during the quarter you file
 - Spring quarter registration or filing leave covers you to file during the summer

Weeks in Advance of Filing

- Print out the [Filing Checklist](#) and start checking things off!
- Check your transcript via GOLD to make sure it is accurate. Contact your graduate program assistant for guidance if needed
- Ensure that your committee members will be available to sign the required documentation and prepare the documents:
 - [Committee Form III](#) (doctoral students only, Scanned/faxed signatures ok on this document)
 - Thesis/dissertation/DMA document signature page (the second page of your document; Original signatures required, scans/faxes **not accepted**)
 - [Embargo Request Form](#) (only if you want to embargo your thesis/dissertation/DMA document for **more** than two years; Scanned/faxed signatures ok on this document)
 - [Committee Form IA](#) (only if your committee has changed and you haven't documented it; Scanned/faxed signatures ok on this document)

- [Committee Form I](#) (if you are filing a master's thesis and haven't formally nominated your committee yet; Scanned/faxed signatures ok on this document)
- Come to the [Graduate Division](#) to have a Pre-Check with an advisor
 - Print out your preliminary pages and a chapter for the advisor to review

When you are ready to File

- Electronically file (e-file) your dissertation, thesis, or DMA document with [Proquest](#)
 - Watch this [screen-capture video](#) to familiarize yourself with the process
- If you are on a filing leave of absence, pay the filing fee (half the Student Services Fee) at the Cashier's Office
- If you are filing a Master's Thesis, pay the thesis submission fee at the Cashier's Office (\$25)
- Bring your **original signature page**, a copy of your title page, and any other necessary documentation (Form III, Embargo form, etc.) to the [Graduate Division](#). Have your student ID ready.
- Complete the Exit Surveys (doctoral students only)
 - [Survey of Earned Doctorates](#) (optional to include last 4 digits of SSN)
 - [UCSB Doctoral Exit Survey](#)
- You need to both e-file with Proquest and deliver one original, signed signature page to the Graduate Division in order to be considered "filed."

Oh no, what if...

What if I have already e-filed and I didn't format the document correctly?

That is ok, an advisor will review the document and let you know if any changes need to be made, and then you just correct the formatting and re-upload the document via ProQuest. This won't affect your original filing date.

What if one of my committee members won't be around to sign off on my document?

Contact a [Graduate Division Academic Services Staff](#) several weeks in advance of the filing deadline. We require original signatures on the thesis/dissertation/DMA document signature page in order to award your degree, but we can work with you to ensure you meet the deadline.

What if I don't have time to complete the Exit Surveys by the deadline?

That is ok, you can completed the surveys shortly after the deadline as well.

What if my employer needs verification of my degree?

Just let us know when you deliver your signature page to the Graduate Division and we can provide the documentation options and timeline.

What if I have more questions?

[Call, email, or visit us!](#)

More Resources

Graduate Division: <http://www.graddiv.ucsb.edu/academic/Filing-Your-Thesis-Dissertation-DMA-Document>

ProQuest: <http://www.etdadmin.com/cgi-bin/main/resources?siteId=67#guides>