

Dissertation and Thesis Filing Workshop

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Master's Thesis and Doctoral Degree Filing Checklist

- In GOLD, verify that your transcript has no **Incompletes** (I), **No Grades** (NG), **No Records** (NR), or **In Progress** (IP) grades. Contact the instructor if corrections are needed.
- Have an approved Master's or Doctoral Committee on file (verify with your department).
- Copyright permission(s), if required, should be obtained as soon as possible and uploaded to **ProQuest** directly. For more information, see: http://media2.proquest.com/documents/copyright_dissthesis_ownership.pdf
- An embargo request for more than 2 years requires approval by your Committee Chair and the Graduate Dean.** Submit a completed Embargo Request Form at the time of filing
See <http://www.graddiv.ucsb.edu/academic/preparing-filing>

To meet a filing deadline, the Graduate Division must receive the following:

Filing deadlines available at <http://www.graddiv.ucsb.edu/academic/filing-degree-conferral-deadlines>

- Electronic submission of your entire committee-approved thesis, dissertation or supporting document (DMA students) including a formatted, but unsigned signature page and copyright permission(s) (if required) at: <http://www.etdadmin.com/cgi-bin/school?siteId=67>
- PLEASE NOTE: when asked to include your Abstract on the Details page, verify that the content is legible as certain formatting/characters may not copy accurately-ProQuest includes help if special formatting is needed.*
- One original, signed signature page (on 8.5 x 11 white paper, signatures in blue or black ink)
- One copy of your title page

Before your degree can be awarded (preferably when you file) the Graduate Division must receive:

Master's Thesis Students Only

- Committee Nomination Form (department may submit this separately)
- Committee Change Form IA (only if committee has changed from original nomination)
- Cashier's receipt for payment of the \$25 Master's Thesis Submission fee
- Cashier's receipt for payment of the Filing Fee (only if on Filing Leave of Absence)
- One-half of the Student Services Fee <http://registrar.sa.ucsb.edu/feeinfo.aspx> In 2017-2018 = \$188

Doctoral Students Only

- Doctoral Form III signed by all committee members (department may submit this separately)
- Committee Change Form IA (only if committee has changed)
- Cashier's receipt for payment of the Filing Fee (only if on Filing Leave of Absence)
- One-half of the Student Services Fee <http://registrar.sa.ucsb.edu/feeinfo.aspx> In 2016-17=\$179.00
- Completed Embargo Request Form (only for requests of more than 2 years)
- Graduate Council required Exit Surveys (Graduate Division will receive notification upon completion):
- National Research Council's Survey of Earned Doctorates (entering last 4 digits of SSN is optional) <https://sed-ncses.org>
- UCSB Doctoral Exit Survey <http://bap.ucsb.edu/institutional.research/doctoral.exit>

Filing and Degree Conferral Deadlines

Degrees are officially awarded four times a year.

A student must have finished all requirements by the **final business day of the academic quarter or Summer Session** to have his/her degree dated that quarter.

The degree conferral date is the **last day of each academic quarter or last day of Summer Session** and it is this date that will appear on the student's official University of California diploma and transcript.

Deadlines for Degrees Filed Within the Academic Year or Summer Session

Spring Quarter 2018: Friday, June 15, 2018

Summer Quarter 2018: Friday, September 14, 2018

Fall Quarter 2018: Friday, December 14, 2018

Deadlines for Degrees Filed Between Academic Quarters

A student who completes his/her final degree requirement (e.g., master's comprehensive exam, project, or thesis, or doctoral dissertation) between quarters (e.g., the break between fall and winter) do not pay additional fees as long as they were enrolled or on a Filing Leave of Absence the previous quarter.

The degree conferral date will be the last day of the next academic quarter.

Deadlines for Degrees Filed Between Academic Quarters

Spring Fees or Filing Leave, or Summer Fees (if applicable):
September 21, 2018 (Degree Conferral: End of Fall Quarter)

Fall fees or Filing Leave:
January 4th, 2019

General Formatting Quick Guide

Margins

Left: 1.25 inches

Right/Top/Bottom: 1 inch

They can be set for larger than this (such as 1.5 all around), but not any smaller.

Page Numbers

Centered and 0.75 inches from bottom of page

Exceptions: the title page and signature page do not have visible page numbers even though they are considered pages i and ii.

Lower-case Roman Numerals (iii, iv, v) used in the preliminary pages (through the table of contents), **Arabic Numerals (1, 2, 3)** used in the main body of the document.

Text should be double-spaced.

Exceptions: CV, acknowledgements, TOC, long quotes, footnotes, text within figures/tables/maps, bibliographies, and captions can be single spaced.

12-point font size required throughout entire document.

Exceptions: Captions, footnotes/endnotes, text in figures/tables/maps can be as small as 10 pt.

There is no set fonts that you must use. Graduate Division will check for legibility and size.

ProQuest recommends True Type fonts. Some True Type fonts include (but are not limited to):

*Arial

*Georgia

*Times New Roman

*Trebuchet

*Verdana,

*Courier New

Microsoft Sans Serif

Garamond

Tahoma

Century

Lucida Bright

**Web font. Designed for easy reading online*

Style

Style outside of the required margin, font, numbering, and spacing requirements is up to you.

You are free to head your chapters and sections in whatever way is normal for your discipline, the templates just contain examples of what they could look like.

Please use the citation style (footnotes, endnotes, inline) that is normal for your discipline.

Document Templates

Please review our Master's Thesis, Dissertation, DMA Document, and Joint Doctorate Dissertation templates here:

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

Reprint Permission

It is the responsibility of the student to determine whether or not reprint permission letters are necessary for the material included in the master's thesis, doctoral dissertation, or DMA supporting document. This is a good exercise for the student to go through as it is the same law that will apply for publications throughout their professional careers.

If the student has previously published all or parts of his/her thesis/dissertation/supporting document in a journal, the student must check with the journal to find out if permission (in the form of a letter/email or inclusion of a specific citation) to reprint the material is required. This is a common question, so the student should be able to get the answer easily by contacting the journal. If the student is including material that was created by someone else (images, photos, poems, lyrics) reprint permission in writing (email or hard copy) may be necessary if the work is not open access or in the public domain.

To help determine whether included material needs reprint permission, please consult these resources:

Copyright and Your Dissertation or Thesis: Ownership, Fair Use, and Your Rights and Responsibilities by Kenneth D. Crews,

J.D., Ph.D. via ProQuest

Copyright Basics, UCSB Library

Image Resource Center, UCSB Department of History of Art & Architecture, and their "Copyright Guide to Image Use in MA Theses and PhD Dissertations"

Graduate Council Thesis & Dissertation Policies

Coauthorship, Previously Published Material, Copyright, and Acknowledgements

The thesis, dissertation, or equivalent (hereafter called the capstone) may include chapters or other segments that involve coauthored work, if allowed by the department and appropriate for the discipline. In cases of coauthorship, the student's capstone committee's approval will be taken as certification that the student's individual contributions are sufficient for the capstone requirement. The acknowledgements or introductory portion of the capstone should clearly detail the role and contributions of the student in coauthored works.

Copyright, Coauthorship, and Reprint Permissions

Published, accepted, or in preparation for publication works are included in this policy. To the extent possible, graduate programs should offer guidance about the expectations for coauthorship or single authorship in formal policies. Whenever conflicts arise over collaborative authorships, Graduate Council urges the parties involved to resolve their conflict on the basis of professional ethics, integrity and fair play.

A capstone is expected to conform to appropriate copyright laws. If portions have already been published or presented in copyrighted form, the student must obtain the appropriate permissions from the copyright holder(s). Previously published material must be acknowledged appropriately, as established by a discipline or by the original publication agreement. Published material included in the capstone should be substantially the product of the student's period of study at UCSB; the student's capstone committee's approval will be taken as certification of this requirement. The acknowledgements portion of the capstone should include acknowledgement of funding sources.

Protecting Your Copyright

The student maintains the copyright to their thesis/dissertation/supporting document and may choose to include a copyright notice on the third page of the document. The student may also choose to register their copyright with the U.S. Copyright Office. This is optional and ProQuest will offer this as a service during the electronic filing process. Students may also register it themselves by visiting the U.S. Copyright Office website.

More information can be found on ProQuest's website here:

http://www.proquest.com/go/etd_whycopyright

To access the links in this document, please view the online PDF titled "**Copyright, Coauthorship, and Reprint Permissions**" in the Resources section here:

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