February 2015
UCSB Graduate Division

Dissertation & Thesis Filing Workshop
Agenda

- Resources
- Formatting your Document
- Requirements & Checklist for Finishing your Degree
- How to take a Filing Leave of Absence
- Fair Use/Copyright Permission
- ProQuest/E-Filing/New Policies
Resources

- **Graduate Division’s Website**
  (graddiv.ucsb.edu/academic/index.aspx)
  - Filing Guide & Filing Checklist
  - Thesis/Dissertation Templates
  - Filing videos (E-filing, Common Mistakes)

- **ProQuest’s Website**
  (http://www.etdadmin.com/cgi-bin/school?siteld=67)
  - Additional resources, including copyright/permissions info
  - Packet includes deadlines, checklist, Diss. Template, and copyright information.
Formatting your Document

General formatting:
- Margins:
  - Left: 1.25 inches
  - Right/Top/Bottom: 1 inch
  - Page numbers .75 inches from bottom of page
- Text should be double spaced
  - Exceptions: vita, acknowledgements, TOC, long quotes, footnotes, text within figures/tables/maps, bibliographies, and captions.
- 12 pt font required
  - Exceptions: Captions, footnotes/endnotes, text in figures/tables/maps can be as small as 10 pt.
Switch to word template
Filing Deadlines

- Winter Quarter: **March 20**\(^{\text{th}}\) (winter conferral)
  - **March 26**\(^{\text{th}}\): Final filing deadline using winter fees (spring conferral)
- Spring Quarter: **June 12**\(^{\text{th}}\) (spring conferral)
  - **September 11, 2015** (summer conferral using spring or summer fees)
  - **September 18, 2015** (fall conferral using spring or summer fees)
What is needed to meet a filing deadline?

- Electronic submission of your entire committee-approved ETD via ProQuest
- One original, signed signature page (on 8.5 x 11 white paper, signatures in blue or black ink) delivered to the Graduate Division
- One copy of your title page
Graduate Division Hours/Closures

- **Regular Office Hours:**
  - Monday – Friday, 9:00-12:00, 1:00-4:00
  - 4 academic advisors on staff

- **Upcoming Closures:**
  - February 16 (Campus closed for President’s Day)
  - March 27 (Campus closed for Cesar Chavez Day)

- You will be able to electronically file your document during closures/weekends, but staff can’t accept your signature pages, etc.
What is needed to award your degree?

- Committee Nomination Form (may be submitted by your department)
- Committee Change Form 1-A (only if committee has changed)
- Cashier's receipt for payment of the $25.00 Master's Thesis Submission fee (Master’s Thesis students only)
- Cashier's receipt for payment of the Filing Fee *(only if on Filing Fee Leave of Absence)*
- Completed Embargo Request Form *(only for requests of more than 2 years)*
- Doctoral Form III or IIIA signed by all committee members (may be submitted by your department) –Doctoral Students Only
- Graduate Council required Exit Surveys (Doctoral Students Only)
Filing Leave of Absence

- Can be used for the quarter that you file your terminal MA thesis or doctoral dissertation when registration isn’t necessary
- You are eligible if you were registered the quarter prior
- Must be done with coursework, research, and have a substantial portion of your document drafted
- You do not register and pay tuition; only pay the $20 petition fee (when you apply for the leave) and the $162 filing fee (when you file your thesis/dissertation)
- You will have access to the Library, Student Housing, Career Services, and the University Children’s Center
Filing Leave of Absence Cont.

- While on Filing LOA you cannot:
  - Hold student academic appointments (TA/GSR/Reader)
  - Receive most forms of University financial support
  - Be exempt from payment of loans (check with loan agency)
  - Have student bus privileges on the MTD
  - Obtain parking privileges from UCSB Transportation & Parking Services

- You can only use this leave once, and if you don’t file your thesis/dissertation during this quarter, you will need to register again and pay full fees in order to have your degree awarded

- Filing Leave of Absence Petitions available on Graduate Division’s website and winter leave petitions are due mid-December
Filing and Preservation

- **Preservation**
  - All students electronically file a PDF version of their thesis/dissertation with ProQuest
  - A copy of the PDF is sent by ProQuest to UCSB’s Davidson Library

- **Dissemination/Distribution**
  - **ProQuest:**
    - Open Access ($95) or Traditional (free)
  - **UCSB’s Davidson Library:**
    - Open Access (free), campus use only (free)
Embargo – Delayed Release

- Due to a pending publication or patent, you may want to delay the release of your thesis/dissertation
- You can embargo your thesis or dissertation for 6 months, 1 year, or two years.
- A request longer than 2 years needs approval from your Committee Chair and the Graduate Dean
Copyright – your document

- You own the copyright to your dissertation regardless of whether you register your copyright with the US Copyright Office
- You can add the copyright notice to the third page of your thesis/dissertation to remind readers that your document is copyrighted
- You can register your copyright with the US Copyright Office
  - ProQuest will do it for an additional fee, you can do it yourself online
  - Establishes a public record of your copyright claim
Fair Use – Copyright Permission

- Fair use provisions of Copyright Law allows for limited use of copyrighted materials.
- Reprint permission is required when usage of copyrighted material exceeds fair use.
- Instances when usage may exceed fair use:
  - Long Quotations (more than one and a half pages)
  - Poetry/music lyrics
  - Graphic/Pictorial works – photos, charts, graphs, drawings, cartoons
  - Previously published material that is authored or co-authored by you
Fair Use - continued

- Your responsibility;

1. Review your document to identify anything that may exceed fair use.

2. Use the resources from ProQuest’s website to help with the identification (see the last page of your packet for this information and links).

3. If you decide that you need copyright permission, request the permission in writing from the copyright holder and upload that letter to ProQuest during the filing process.
E-Filing Process using ProQuest’s website

- Video of the e-filing process:
  - https://www.youtube.com/watch?v=yEHS4b5jRzU&feature=player_embedded