



# A Step by Step Filing Tutorial

UC **SANTA BARBARA**  
Graduate Division

# STEP 1

## 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.



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# STEP 1

## Months in Advance of Filing

Check the [UCSB GradPost](#) for upcoming Filing Workshops, Dissertation Writer's Room hours, and Dissertation Writing Retreats.



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# STEP 1

## Months in Advance of Filing

Start formatting your document to fit with the University formatting guidelines:

[Templates](#)

[The Rules \(Filing Guide\)](#)



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# STEP 1

## Months in Advance of Filing

Figure out your copyright requirement(s).

Review these copyright guides:

[ProQuest](#)

[UCSB Library](#)

If you have previously published all or parts of your Thesis/Dissertation in a journal, check with the journal to find out if you need **permission (in the form of a letter or inclusion of a specific citation)** to reprint 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)** if the work is not open access or in the public domain.



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# STEP 1

## Months in Advance of Filing

Figure out if you need to [embargo](#) your dissertation and for how long.

Identify the filing deadline you intend to meet:

[Filing deadlines and degree conferral dates](#)

Figure out what your status will be when you file:

- [Registration](#) or [filing leave of absence](#) is required during the quarter you file
- Spring quarter registration or filing leave covers you to file over the summer



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## STEP 2

### Weeks in Advance of Filing

Print out the [Filing Checklist](#) and start checking things off!



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## STEP 2

### Weeks in Advance of Filing

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)
- Dissertation Signature page (the second page of your dissertation; Original signatures required, scans/faxes **not accepted**)
- [Embargo Request Form](#) (only if you want to embargo your dissertation/thesis 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 yet; 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)





## STEP 2

### Weeks in Advance of Filing

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

A photograph of a blue sign with yellow and white text. The sign reads "UC Santa Barbara" in a yellow serif font and "GRADUATE DIVISION" in a white serif font below it.

UC Santa Barbara  
GRADUATE DIVISION

A grey rectangular area containing a faint, light blue watermark of the text "GRADUATE DIVISION" and the text "UC SANTA BARBARA Graduate Division" in a dark blue serif font.

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## STEP 3

### When You are Ready to File

- Electronically file your dissertation or thesis 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)**



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## STEP 3

### When You are Ready to File

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 your signature page to the Graduate Division in order to be considered “filed.”



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# QUESTIONS

**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.**



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# QUESTIONS

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

Contact a member of the [Graduate Division Academic Services staff](#) **in advance of the deadline.**

We do require original signatures on the thesis/dissertation signature page in order to award your degree, but we can work with you to ensure you meet the deadline.



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# QUESTIONS

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

That is ok.

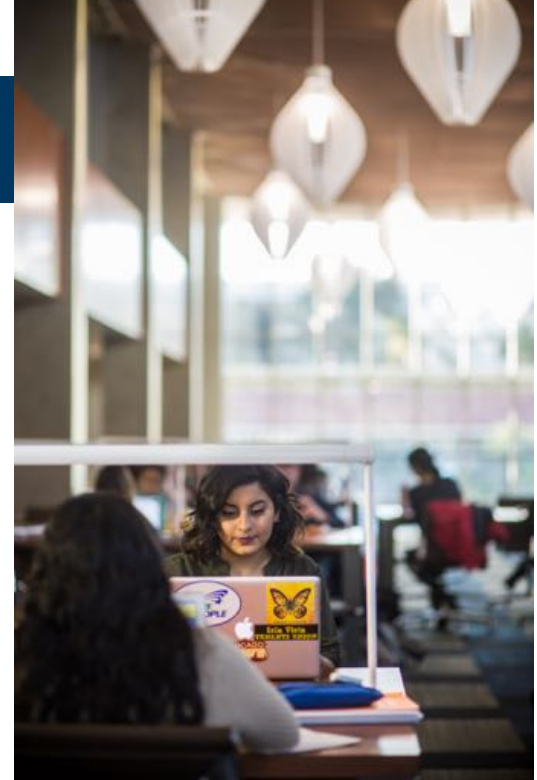
**You can completed the surveys shortly after the deadline as well.**



# QUESTIONS

**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 let you know the **documentation options and timeline.**



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# QUESTIONS

What if I have more questions?

[Call, email, or visit](#) us at the Graduate Division!



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# MORE RESOURCES

## Graduate Division Website

[Filing Your  
Thesis/Dissertation/DMA  
Document](#)

## ProQuest

[Resources & Guidelines](#)



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