

Thesis/Dissertation Submission Checklist

It is your responsibility to read and follow these instructions and to submit all required online and paper documents to the Graduate School no later than 10 business days after your public defense.

Submission extensions: If your committee feels additional time is needed to complete required corrections, **and IF your defense was held well ahead of the semester deadline**, the committee chair should email Lori Naramore at naramor3@uab.edu to request an extension. Extensions cannot be granted past the semester submission deadline (10 business days after the final defense deadline).

NOTE: Items submitted after the semester submission deadline will not apply toward current semester graduation.

The following items will be checked by the Graduate School **after** submission to the ProQuest website, and are the most common causes for revision requirements.

- It is your responsibility to check each of these things on your final PDF before submitting:**
- Your title page, abstract page, and other preliminary pages must follow current UAB order and format.
 - Margins must be correct throughout the document – **including preliminary pages, illustrations and appendices.**
 - The Table of Contents and list pages must accurately reflect the **page numbering** and wording of the headings, subheadings, and table and figure captions found in the text.
 - If IRB or IACUC approval was required for your research project, a copy of the appropriate, current form must be in an appendix (see the UAB Format Manual for instructions).
 - There can be no blank pages
 - The UAB Format Manual can be found here:
<https://www.uab.edu/graduate/images/acrobat/forms/theses/FormatManual.pdf>.

Submit the following item online:

- PDF of your committee approved thesis or dissertation:** Submitted as a single PDF to the UAB/ProQuest Submission Site: <http://dissertations.umi.com/uab/>. Follow the online instructions.

Submit the following items on paper to the Graduate School:

- One signed Approval Form.** One committee member must check your final PDF and sign the last line of the approval form, verifying that your document is approved to be published in that form. The approval form is not included in the PDF of your document. The second form is for your personal use.

Doctoral Candidates Only:

- Complete the Survey of Earned Doctorates:** <https://sed.norc.org/doctorate/showRegister.do>: Print out the Certificate of Completion to turn in with your signed approval form, or email the form to naramor3@uab.edu.
- Complete the UAB Exit Survey in Canvas.** You can access this survey from the email that was sent to you, or by logging directly in to Canvas.
- Submit signed approval forms to Lori Naramore in the Graduate School (you do not need an appointment) or they may be mailed: Lori Naramore / LHL G03 - 1700 University Boulevard - Birmingham, AL 35294-0013. **After submitting pdf to the UAB/ProQuest website** (see above), your document will be reviewed by the UAB Graduate School before being released to ProQuest and to the UAB Libraries for publication. Publication does not take place until after the graduation date.

You will be notified via email at the address you enter with ProQuest as soon as your review has been completed, usually within 5 - 7 business days after submission. Documents submitted late (more than 10 days after the defense), for 2nd review (after corrections), or near the semester deadline often take considerably longer.

- **If corrections are required, make them within 5 business days**, recheck page numbering, and then follow the instructions on the ProQuest/UMI site to **view/revise existing submission**.
- **If no corrections are required**, this becomes the final published version of your document. No further corrections can be made.

Publication Agreements

You will submit only one PDF of your document. However, your thesis or dissertation will be published by two separate entities: the UAB Libraries and ProQuest/UMI. The Graduate School will deliver the final approved copy for publication **after the graduation date**.

You will **complete one publication agreement for UAB and ProQuest**. The publication choice will affect access to, and use of, your document in the future. It is your responsibility to determine which publication option best meets your needs.

Theses and dissertations are not released to ProQuest or the UAB Libraries for publication until after the end of the graduating semester. Allow 6-8 six weeks for online access. If you have chosen to embargo your work, the embargo time begins at the graduation date.

The ProQuest/UMI Publication Agreement

The ProQuest Publication Agreement is submitted online at the time you submit your document. The role of ProQuest in the publication of theses and dissertations is discussed on the Graduate School website and at the ProQuest submission site.

Permissions: Upload as supplementary files any written permission statement from the owner(s) of any previously copyrighted item included in your thesis or dissertation (e.g., software, tables, graphics, and/or permission to reprint your own previously published article(s) if this right is not granted in the journal's official website).

Costs: Submission to ProQuest is free and covers either of the **Traditional Publishing Options** (TR-1 or TR-2). The first 24 pages of your document will be accessible via the Internet through the ProQuest website. The entire document will be accessible from any computer with a UAB IP address. If you choose to restrict access to your work (embargo), only the abstract will be available via the ProQuest site until the embargo period expires.

ProQuest offers to do several things for you, each of which involves a fee:

- A \$95 fee applies if you choose either **Open Access Publishing Options** (OA-1 or OA-2). Open Access allows your entire document to be accessible via the Internet through the ProQuest website.
- You may choose to have ProQuest register your copyright. This is an **additional \$65 fee**.
- You may order paperback or hard bound copies of your document through ProQuest. These will be delivered several weeks after the graduation date. The costs depends on the format you choose.

Embargoes & Restrictions

Consideration	Recommended Action			
	Choose Traditional Publishing	Place an embargo of 6-months, 1 year, or 2 years	Restrict from Google/search engines and harvesters	See your institution's technology transfer or research officer. Consult with your advisor and graduate dean
Likely submission to a peer-reviewed journal	✓	✓		
Interested/potential interest by an academic or commercial press	✓	✓		
Ethical need to prevent disclosure	✓	✓	✓	
Patentable rights in the work/ other commercial potential	✓	✓	✓	✓

FOLLOWING FINAL DOCUMENT APPROVAL

In the absence of any outstanding fees or grades, the email notification of final approval of your thesis or dissertation completes your graduation requirements.

Participating in a UAB Graduation Ceremony

Graduation ceremonies are held each spring, summer and fall for those receiving Graduate degrees. Information concerning times, deadlines, and ordering regalia is on the Graduate School website: www.uab.edu/graduate (see Current Students/ Graduation Information) throughout your graduation semester. **Doctoral students MUST submit the commencement attendance form to the Graduate School by the posted deadline, or they will not be allowed to participate in the ceremony.**

Receiving Your Diploma

Your diploma will be mailed directly from the printing company to the address you listed on your Application for Degree. Allow approximately two months after the graduation date for delivery. If you need to change the delivery address, notify Marla Jones at mcjones@uab.edu. Include the following information: Your full name, student number, graduation date, level of degree (e.g., MS, PhD), program name, and the complete address to which your diploma should be mailed. Ms. Jones will respond to the email verifying she has received your request. If the Graduate School does not receive written notification of your change of address, and your diploma does not reach you, a new diploma will have to be ordered and **you will be charged a duplicate diploma fee.**

Ordering Bound Copies of your Thesis or Dissertation (not required)

You may order copies of your document through ProQuest when you submit your pdf.

OR

After final approval by the Graduate School, you may make printed copies of your document. Please contact Tuscaloosa Bindery at 205-758-2204 or tusbindery@aol.com for information on binding.

These pages will not be checked for accuracy before they are bound, so check your own copies carefully to be sure they have printed and copied correctly throughout. If you want a copy of your signed approval form to be included in your personal copies, you must make copies and place them there.

Paper: Because these copies will not be placed on the shelf in the library, there is no special paper requirement; however, your bound copies will have a more professional appearance and have a longer shelf life if you use high quality paper. White 20-24 lb., acid-free, 8 ½ x 11, watermarked paper (available in most office supply stores and professional copy centers) is the usual choice for bound dissertations.

For Doctoral Students: Verification of Degree

Your degree will officially be conferred on the posted graduation date. Within three to five days after that time, degree verification can be obtained through Student Clearinghouse (www.studentclearinghouse.org) and official transcripts can be requested through the UAB Registrar's Office (934-8222 or <http://www.uab.edu/registrar>).

If required for a post-doctoral appointment or employment, a letter of verification may be requested before the official conferral date, **but only after your dissertation has been approved by the Graduate School.** Your grades and student account will be checked at that time. Allow approximately one week for this process to be completed. If all records are clear, a letter indicating that you have completed all degree requirements will be mailed. Email naramor3@uab.edu to request verification. Include the following information:

- Your complete name (as it appears in UAB records) and your student ID number.
- The name, title, (Dr?) and complete mailing address of the person(s) to whom the letter is to be sent.

Required UAB Graduate School Exit Survey

Doctoral Students

You should have received an email (at your UAB email address) that you need to take a UAB Exit Survey.

This survey will take only a few minutes to complete, but it is a requirement for graduation for all UAB doctoral students beginning fall semester, 2012.

Please follow the link that was provided and take the survey in Canvas as soon as possible.

Thank you,

UAB Graduate School