

# Instructions for Formatting & Filing Your Thesis

Graduate Division  
University of California, Berkeley  
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## Background

Filing your master's thesis at the Graduate Division is one of the final steps leading to the award of your graduate degree. Your manuscript is a scholarly presentation of the results of the research you conducted. UC Berkeley upholds the tradition that you have an obligation to make your research available to other scholars. This is done when the Graduate Division submits your manuscript to the University Library

Your faculty committee supervises the intellectual content of your manuscript and your committee chair will guide you on the arrangement within the text and reference sections of your manuscript. Consult with your committee chair early in the preparation of your manuscript.

The specifications in the following pages were developed in consultation with University Library. These standards assure uniformity in the degree candidates' manuscripts to be archived in the University Library, and ensure as well the widest possible dissemination of student-authored knowledge.

## Research Protocols

If your research activities involve human or animal subjects, you must follow the guidelines and obtain an approved protocol **before you begin your research**. Visit our Web site at [http://www.grad.berkeley.edu/policies/degrees\\_office.shtml](http://www.grad.berkeley.edu/policies/degrees_office.shtml) or contact the Committee for the Protection of Human Subjects (<http://cphs.berkeley.edu/> or 642-7461) or the Animal Care and Use Committee (<http://www.acuc.berkeley.edu/> or 642-8855).

## Eligibility

To be eligible to file for your degree, you must be registered or on approved Filing Fee status for the semester in which you file. We encourage you to file your thesis as early in the semester as you can and to come in person to our office to submit your supporting documents. If you cannot come to our office, it is helpful if you have a friend bring your documents. The deadline to file your thesis in its final form is the last day of the semester for your degree to be awarded as of that semester. If you file in the summer, you will have a December degree date.

# Formatting your Manuscript

## Paper

You must print **2 copies** of your thesis on one of the following approved archival papers:

### Archival Paper- 8.5 x 11 inches, white

Crane's Thesis Paper  
Crane and Company, <http://www.crane.com>  
(800) 268-2281

Eaton-Southworth Acid Free Thesis Paper ("Credentials" and "Connoisseur")  
Southworth Company, <http://www.southworth.com>  
(800) 225-1839

Permalife Bond, Perma Dur Bond  
University Products Archival Suppliers division,  
<http://www.archivalsuppliers.com/>  
(800) 628-1912

Strathmore Writing Paper, ("Ultimate White Wove" or "BrightWhite Wove")  
Mohawk Paper Company, <http://www.mohawkpaper.com/lite/>

Xerox Image Elite  
Xerox Corporation  
(800) 822-2200

### Oversize pages, 11 x 17 inches or larger:

Permalife Bond  
University Products Archival Suppliers division,  
<http://www.archivalsuppliers.com/>,  
(800) 628-1912

Conservation Resources Archival Bond  
Conservation Resources International,  
<http://www.conservationresources.com>,  
(800) 634-6932

### Oversized Drawing Paper

Use the following drawing papers:

Bristol Drawing-Plate surface (smooth)  
Neutral pH; Sizes: 9" x 12", 11" x 14", 14" x 17", 19"x 24"

Bienfang Bristol Drawing  
Neutral pH; Sizes 9" x 12", 11" x 14", 14" x 17"

Omni Sketchbook, Pentaclic Corporation, <http://www.pentalic.com>  
70 lb., neutral pH, neutral tone, Size: 14" x 17"

## Paper Sources

In the Berkeley area, the following businesses usually carry one or more of the archival papers:

Cal Student Store, Bancroft Way at Telegraph Avenue, Berkeley, CA 94720;  
(510) 642-9000; <http://calstudentstore.com>

Copygrafik, (<http://www.copygrafik.com/>) 2282 Fulton Street, Berkeley, CA  
94704; (510) 843-5251

xpedx Paper Store (<http://www.xpedxstores.com/>), 795 Potter Street, Berkeley,  
CA 94710; (510) 540-5900

## Appearance & Typeface:

- Your manuscript must be neatly typed or printed from a computer.
- Basic manuscript text should be a non-italic type font and at a size of 12-point or larger. Whatever typeface and size you choose for the basic text, use it consistently throughout your entire manuscript. For footnotes, figures, captions, tables, charts, and graphs, a font size of 8-point or larger is to be used.
- You may include color in your thesis, but your basic manuscript text must be black.
- For quotations, words in a foreign language, occasional emphasis, book titles, captions, and footnotes, you may use italics. A font different from that used for your basic manuscript may be used for appendices, charts, drawings, graphs, and tables.

**Pagination:** Your manuscript is composed of preliminary pages and the main body of text and references. Page numbers must be positioned either in the upper right corner, lower right corner, or the bottom center and must be at least  $\frac{3}{4}$  of an inch from the edges. The placement of the page numbers your document must be consistent throughout.

### *Careful!*

If you have any pages that are rotated to a landscape orientation, the page numbers still need to be in a consistent position throughout the document.

- Do not count or number the title page, the approval (signature) page, or the copyright page.
- The remaining preliminary pages may include a table of contents, a dedication, a list of figures, tables, symbols, illustrations, or photographs, a preface, your introduction, acknowledgments, and curriculum vitae. You must number these preliminary pages using **lower case Roman numerals** beginning with the number “i” and continue in sequence to the end of the preliminary pages (i, ii, iii, iv, v, etc.).
- Your abstract must have **Arabic numeral** page numbers. Start numbering your abstract with the number “1” and continue in sequence (1, 2, 3, etc.)
- The main body of your text and your references also use Arabic numerals. Start the numbering of the main body with the number “1” and continue in sequence (1, 2, 3, etc.), numbering consecutively throughout the rest of the text, including illustrative materials, bibliography, and appendices.

Yes, the first page of your abstract and the first page of your main text both start with ‘1’

- **Inserted pages.** Before you print your entire manuscript in final form, check that your page numbers follow the rules noted above. If you print your manuscript, and it then becomes necessary to add new pages, you are allowed to number the inserted pages so that you do not have to reprint the entire manuscript. Determine the page number immediately preceding the inserted pages, then number the inserts with that page number followed by a, b, c, etc. For example, to insert new pages after page 21, number the new pages as 21a, 21b, 21c, etc.
- **Deleted pages.** If you find it necessary to remove a page after your entire manuscript has been printed, you must place a blank but appropriately numbered page in its place.

**Margins:** For the manuscript material, including headers, footers, tables, illustrations, and photographs, all margins must be at least 1 inch from the edges of the paper. Page numbers must be  $\frac{3}{4}$  of an inch from the edge.

**Spacing:** Your manuscript should be **double-spaced** throughout, including the abstract (if included), dedication, acknowledgements, and introduction.

**Tables, charts, and graphs** may be presented horizontally or vertically and must fit within the required margins. Labels or symbols are preferred rather than colors for identifying lines on a graph.

You may choose to reduce the size of a page to fit within the required margins, but be sure that the resulting page is clear and legible.

**Guidelines for Mixed Media:** please see Appendix B for details.

# Organizing your manuscript

The proper organization and page order for your manuscript is as follows:

- Title Page
- Approval/signature page
- Copyright page or a blank page
- Optional preliminary pages such as:
  - Abstract
  - Dedication page
  - Table of contents
  - List of figures, list of tables, list of symbols
  - Preface or introduction
  - Acknowledgements
  - Curriculum Vitae
- Main text
- References
- Bibliography
- Appendices

## Sample Pages

The pages that follow include sample versions of the title page, approval page, and signature page. *The caption bubbles are for your information only; please do not include them in your thesis.*

# Integrating Digital Signs into Modern Building Designs

The full title of your thesis

**Your registered student name.** You must use your registered student name as it is currently recorded with the Office of the Registrar. If you are unsure of your current registered student name, check your record on Bear Facts. If you want to use a format different from the current name (e.g., full middle name instead of middle initial only), you will need to change it officially with the Registrar's Office.

By

Jennifer Jane Johnson

A thesis submitted in partial satisfaction of the requirements for the degree of

Master of Science

List the specific degree you are filing to receive, spelled out in full. Do not use abbreviations (e.g., list Doctor of Philosophy, not Ph.D.). **DO NOT LIST PREVIOUS DEGREES ON YOUR TITLE PAGE**

in

Architecture

in the

Graduate Division

of the

University of California, Berkeley

**Major.** List the major in which your degree will be awarded. Do not list your specialization or area of emphasis.

For professional degrees that have the same degree and major name, you do not need to list the major. This includes the following: Doctor of Education, Doctor of Public Health, Master of Architecture, Master of Landscape Architecture, and Master of Urban Design.

All majors in the College of Engineering, except Bioengineering and Computer Science, must put Engineering- or Engineering Science- before the name of the major.

**Committee members.** List the committee in charge of your manuscript, with the chair or co-chairs listed first. If you have co-chairs use a separate line for each name

Committee in charge:

Professor Jane D. Doe, Chair  
Professor John Smith  
Professor Herman Jones

Spring 2010

**Semester and year.** Degrees are conferred in Fall and in Spring. List the semester and year in which your degree will be conferred. Please note that if you file after the end of the spring semester, you will receive a Fall degree. **Do not write Summer.**

The thesis of Henrietta Jane Johnson, titled *The Way of the Lemontt*,  
is approved:

Chair \_\_\_\_\_

Date \_\_\_\_\_

\_\_\_\_\_

Date \_\_\_\_\_

\_\_\_\_\_

Date \_\_\_\_\_

University of California, Berkeley

## Abstract

### The Relationship of Newspaper Articles to Modern Culture

by

Jonathan Rhodes Doe

Master of Science in Architecture

University of California, Berkeley

Professor Henrietta Johnson, Chair

Your abstract text here. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Nullam sollicitudin ligula at sapien semper quis consectetur justo consequat. Mauris tristique vehicula tortor pellentesque auctor. Vivamus metus mauris, convallis sit amet mattis non, laoreet non lorem. Pellentesque a tempus lacus. Morbi suscipit porttitor tempor. Nulla facilisi. Morbi nunc erat, imperdiet eget dignissim ac, dictum quis nisl. Aenean viverra elit sit amet nulla ornare viverra. Vivamus fermentum, nunc in dignissim porta, nibh tellus viverra lacus, sed malesuada libero purus et velit. Praesent volutpat leo eu risus rutrum posuere. Etiam cursus ultrices enim. Suspendisse fringilla leo ut ligula dapibus ut consequat justo vehicula. Ut vulputate, justo in condimentum molestie, orci arcu posuere urna, vel laoreet augue magna vel tortor. Fusce ut ante lorem, quis dignissim purus. Nam eget ligula quis sapien scelerisque elementum. Quisque congue tempus ligula, id consectetur mi congue viverra.

## Procedure for filing your thesis

After you have written your thesis, [formatted it correctly](#), [assembled the pages into the correct organization](#), and obtained your signatures, you are ready to file it with UC Berkeley's Graduate Division.

- Step 1: Print 2 copies of your thesis on approved archival paper.
- Step 2: Print and sign the Library Permission Form (<http://www.grad.berkeley.edu/policies/pdf/LibrPermForm.pdf>)
- Step 3: Place each copy of your thesis into a separate manila envelope.
- Step 4: Make 3 additional copies of your title page. Tape a title page to the outside/front of each manila envelope and write "Original Copy" and "Second Copy" on each one, respectively. Also write the date.
- Step 4: Submit the following final documents to the Graduate Degrees Office at 318 Sproul Hall:
- Two copies of your thesis, in envelopes with labeled title pages on the front.
  - One additional copy of your title page
  - Your signed Library Permission Form

NOTE: Only correctly marked theses in correct envelopes will be accepted. Please do not attempt to file without following the steps above.

## **Permission to Include Previously Published or Co-Authored Material**

If you plan more than incidental use of your own previously published or co-authored material in your thesis—a practice common in the sciences and engineering and sometimes followed in other fields—you must request permission to do so from the Dean of the Graduate Division, at least two to three weeks prior to filing.

Ask your thesis chair to review the material and to determine whether your work is comparable to all or part of a thesis carried out under the supervision of a member of the Berkeley faculty. If your chair determines that is the case, the chair must write a letter of endorsement that is sent, with a copy of the previously published or co-authored material, to the Dean of the Graduate Division, Graduate Services: Degrees, 318 Sproul Hall. If the material was co-authored, you must also obtain statements from each co-author granting you permission to use and reproduce the material as part of your thesis. Emails giving permission will be accepted. If the Dean has doubts about the appropriateness or the amount of material to be used, the Dean will refer the request to the Administrative Committee of the Graduate Council for a decision. Requests to use work done prior to graduate enrollment at Berkeley will not be considered.

*Please see Appendix D for a template letter that may be used.*

If inclusion of previously published, co-authored material is approved, the published material must be incorporated into a larger argument that binds together the whole thesis. The common thread linking various parts of the research, represented by individual papers, must be made explicit, and you must join the papers into a coherent unit. You are required to prepare introductory, transitional, and concluding sections. As a matter of courtesy, give credit to the publisher.

## **Use of Copyrighted, Previously Published Material**

The shelving of your manuscript in the University Library constitutes a form of publication. Because of this, it is your responsibility to obtain permission to include copyrighted material in your manuscript. This includes most journal articles and books, unless you are the owner of the copyright.

Use of copyrighted works in your thesis without securing permission and without paying royalties is permissible only when the circumstances amount to what the law calls “fair use.” This doctrine of fair use has been codified in section 107 of the copyright act (title 17, U.S. Code). Section 107 contains a list of the various purposes for which the reproduction of a particular work may be considered “fair,” such as criticism, comment, news reporting, teaching, scholarship, and research.

The Library of Congress Web site (<http://www.copyright.gov/fls/fl102.html>) states that Section 107 also sets out four factors to be considered in determining whether or not a particular use is fair:

1. the purpose and character of the use, including whether such use is of commercial nature or is for nonprofit educational purposes;
2. the nature of the copyrighted work;
3. amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. the effect of the use upon the potential market for or value of the copyrighted work.

Instances of quotations that exceed fair use require permission of the copyright owner.

#### Inclusion of Publishable Papers or Article-Length Essays

Publishable papers and article-length essays arising from your research project are acceptable only if you incorporate that text into a larger argument that binds together the whole thesis. Include introductory, transitional, and concluding sections with the papers or essays.

## **Withholding Your Thesis**

Occasionally, there are unusual circumstances in which you prefer that your thesis not be published immediately. Such circumstances may include the disclosure of patentable rights in the work before a patent can be granted, similar disclosures detrimental to the rights of the author, or disclosures of facts about persons or institutions before professional ethics would permit.

The Dean of the Graduate Division may permit the thesis to be held without shelving for a specified and limited period of time beyond the default, under substantiated circumstances of the kind indicated and with the endorsement of and an explanatory letter from the chair of the thesis committee. If you need to request that your manuscript be withheld, please consult with the chair of your committee, and have him or her submit a letter requesting this well before you file for your degree. The memo should be addressed to Associate Dean Joseph J. Duggan and sent to Graduate Services: Degrees, 318 Sproul Hall.

## **Changes to a Thesis After Filing**

Changes are normally not allowed after a manuscript has been filed. In exceptional circumstances, changes may be requested by having the chair of your thesis committee submit a memo to Associate Dean Joseph J. Duggan, and sent to Graduate Services: Degrees, 318 Sproul Hall. The memo must describe in detail the specific changes requested and must justify the reason for the request. If the request is approved, the changes must be made prior to the official awarding of the degree. Once your degree has been awarded, you may not make changes to the manuscript.

After your thesis is accepted by Graduate Services: Degrees, it is held here until the official awarding of the degree by the Academic Senate has occurred. This occurs approximately two months after the end of the term. After the degree has officially been awarded, the manuscripts are shipped to the University Library.

## **Diploma, Transcript, and Certificate of Completion**

### *Posting the Degree to Your Transcript*

Your degree will be posted to your transcript approximately 10 weeks after the conferral date of your degree. You can order a transcript from the Office of the Registrar (<http://registrar.berkeley.edu/Records/transcripts.html>).

### *Diploma*

Your diploma will be available from the Office of the Registrar approximately 4 months after the conferral date of your degree. For more information on

obtaining your diploma, visit the Registrar's Web site (<http://registrar.berkeley.edu/Records/diplomas.html>). You can obtain your diploma in person at the Office of the Registrar, 120 Sproul Hall, or submit a form and pay the current mailing fees to have it mailed to you.

Unclaimed diplomas are retained for a period of five (5) years only, after which they are destroyed.

### **Certificate of Completion**

If you require evidence that you have completed your degree requirements prior to the degree being posted to your transcript, complete a "Request a Certificate of Completion" form ([http://www.grad.berkeley.edu/policies/pdf/certificate\\_completion.pdf](http://www.grad.berkeley.edu/policies/pdf/certificate_completion.pdf)) and submit it to Graduate Services: Degrees, 318 Sproul Hall #5900, Graduate Division, UC Berkeley, Berkeley, CA 94720-5900.

Please note that we will not issue a Certificate of Completion after the degree has been posted to your transcript.

## Appendix A: Common Mistakes

- Using a different name than that which is officially recognized on by UC Berkeley (i.e. the name on your transcript, and Bearfacts). For example, using only a middle initial when your record shows a full middle name.
- Page numbers – Read [the section on pagination](#) carefully. Many students do not paginate their document correctly.
- Failure to file your thesis in the correctly marked envelopes. Also, do not tape the title page from your thesis on the front of the envelope, make a copy! You should have 2 *complete* copies of your thesis, with 3 additional title pages. Read “[Organizing your Manuscript](#)” and “[Procedure for Filing](#)” carefully.
- Using incorrect paper. You must use of of the approved archival papers.

## Appendix B: Mixed Media Guidelines

In May, 2005, the Graduate Council established new guidelines for the inclusion of mixed media content in theses. It was considered crucial that the guidelines allow theses to remain as accessible as possible and for the longest period possible while balancing the extraordinary academic potential of these new technologies.

### Definitions and Standards

The thesis has three components: a core thesis, essential supporting material, and non-essential supplementary material.

**Core Thesis.** The core thesis must be a self-contained, narrative description of the argument, methods, and evidence used in the thesis project. Despite the ability to present evidence more directly and with greater sophistication using mixed media, the core thesis must provide an accessible textual description of the whole project.

The core thesis must stand alone and be printable on paper, meeting the formatting requirements described in this document. The electronic version of the thesis must be provided in the most stable and universal format available—currently Portable Document Format (PDF) for textual materials. These files may also include embedded visual images in TIFF (.tif) or JPEG (.jpg) format.

**Essential Supporting Material.** Essential supporting material is defined as mixed media content that cannot be integrated into the core thesis, i.e., material that cannot be adequately expressed as text. Your faculty committee is responsible for deciding whether this material is essential to the thesis. Essential supporting material does **not** include the actual project data. Supporting material is essential if it is necessary for the actual argument of the thesis, and cannot be integrated into a traditional textual narrative.

Essential supporting material **must** be submitted in the most stable and least risky format consistent with its representation (see below), so as to allow the widest accessibility and greatest chance of preservation into the future.

**Non-essential Supplementary Material.** Supplementary material includes any supporting content that is useful for understanding the thesis, but is not essential to the argument. This might include, for example, electronic files of the works analyzed in the thesis (films, musical works, etc.) or additional support for the argument (simulations, samples of experimental situations, etc.).

Supplementary material is to be submitted in the most stable and most



## Appendix C: Title Page Variations

### Required title page format Joint Master's Degree Programs

The Relationship of Home Schooling for High School to Success in College

by

Jennifer Rhonda Johnson

A thesis submitted in partial satisfaction of the

requirements for the degree of

Joint Master's of Science  
with San Francisco State University

in

Special Education

in the

Graduate Division

of the

University of California, Berkeley

Committee in charge:

Professor John P. Doe, Co-chair  
Professor Thomas R. Smith, Co-chair  
Professor Josephine B. Jones  
Professor Howard C. Stag  
Professor F. Robert Deer

Fall 2010

## **Appendix D: Template for Obtaining Permission to Include Previously Published or Co-authored Material**

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Date: \_\_\_\_\_

Dear Associate Dean Joseph Duggan,

Please allow \_\_\_\_\_ to use (co-authored / previously published)  
(Student's name) (Circle one or both)

article titled \_\_\_\_\_ in his or her dissertation / thesis.  
(Name of work)

Signed,

\_\_\_\_\_  
Chair of dissertation / thesis committee

Signatures of co-authors (if applicable):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_  
Date: \_\_\_\_\_  
Date: \_\_\_\_\_  
Date: \_\_\_\_\_  
Date: \_\_\_\_\_  
Date: \_\_\_\_\_

- **Attach a copy of the article**
- Submit to Graduate Degrees Office, 318 Sproul Hall **at least 3 weeks** before anticipated filing date.