**Thesis Filing Guidelines (for Master’s Students)**

*Updated: July 9th, 2013*

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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> 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.

You must be advanced to candidacy, and in good standing (not lapsed), in order to file.

**Formatting your manuscript**

All manuscripts must be submitted electronically in a traditional PDF format.

* **Page Size**: The standard for a document’s page size is 8.5 x 11 inches. If compelling reasons exist to use a larger page size, you must contact the Graduate Division for prior approval.
* **Appearance & Typeface:**
  + Basic manuscript text must  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 ¾ of an inch from the edges. The placement of the page numbers in your document must be consistent throughout.

***Be 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 (as if it were printed and bound).**

* Do not count or number the title page or the copyright page. All other pages must have numbers. DO NOT SKIP PAGE ” 1 “.
* 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.).
* An abstract is optional, but if you chose to include one, 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’**

* **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 ¾ of an inch from the edge.
* **Spacing:** Your manuscript must be single-spaced throughout, including the abstract, dedication, acknowledgments, 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.

**Special Page Formats**

Certain pages need to be formatted in a very specific way. Links are included here for examples of these pages.

* **Abstract [OPTIONAL]**([Click here for sample](http://grad.berkeley.edu/policies/guides/wp-content/uploads/MA-Abstract.pdf))
  + As noted in the above section on pagination, the abstract is optional but if included must be numbered *separately*with arabic numerals starting with ’1′
* **Signature page** ([Click here for sample](http://grad.berkeley.edu/policies/guides/wp-content/uploads/2010/07/MA-signature-page.pdf))
  + The signature page must not contain any page numbers or extra notations beyond what is shown in the sample.
  + The name and title listed in the sample is for illustrative purposes only, you must include *your* name and *your*title*.*
* **Title page** ([Click here for sample)](http://grad.berkeley.edu/policies/guides/wp-content/uploads/2010/07/MA-title-page.pdf)
  + The title page does not contain page numbers.
  + The yellow bubbles in the sample are included for explanatory purposes only. Do not include them in your submission.
  + If you are receiving a joint degree, it must be listed on your title page ([Click here for sample with joint degree](http://grad.berkeley.edu/policies/guides/wp-content/uploads/2010/07/MA-Joint-titlepage.pdf))

**Organizing your Manuscript**

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

* Title 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 or Bibliography
* Appendices

**Procedure for Filing your Thesis**

After you have written your thesis, [formatted it correctly](http://grad.berkeley.edu/policies/guides/thesis-filing/#Format), [assembled the pages into the correct organization](http://grad.berkeley.edu/policies/guides/thesis-filing/#Organization), and obtained your signatures, you are ready to file it with UC Berkeley’s Graduate Division.

1. **Step 1:** Convert your thesis to a standard PDF file.
2. **Step 2:** Print and sign the Thesis Release Form (<http://grad.berkeley.edu/policies/pdf/masters_release.pdf>)
3. **Step 3:** Email your thesis as an attachment to [edegrees@berkeley.edu](mailto:edegrees@berkeley.edu).  Put your full name in the subject line. **NOTE: DO NOT SUBMIT A DRAFT.** Once your thesis has been submitted, you will not be allowed to make changes. Be sure that it is in its final form!
4. **Step 4:**The Degrees Office staff will review your submission and if everything is in order, you will receive an email stating that it has been approved. If you need to make changes, you will be given the opportunity and will need to re-send a  revised PDF.
5. **Step 5:**Submit the following final documents to the Graduate Degrees Office at 318 Sproul Hall:
   * Your signed approval page.
   * Your signed Thesis Release Form (<http://grad.berkeley.edu/policies/pdf/masters_release.pdf>)

**Please note that all documents should be submitted together (e.g we will not accept lone signature pages!)**

***A Note on Deadlines***

**You must upload your electronic thesis AND bring your final documents to 318 Sproul Hall before 4pmon the last day of the term. We can not provide a receipt of filing until your thesis has been reviewed and accepted (which can take up to 3 normal business days), but you will get credit for the date of first submission.**

**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, in care of the Graduate Services Degrees Office, 318 Sproul Hall, at least 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 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 concerns 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.

[Click here](http://grad.berkeley.edu/policies/guides/wp-content/uploads/permission-template1.pdf) for a template letter that should 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 the cognizant Associate Dean, in care of 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 the cognizant Associate Dean, in care of 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 3 months 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 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>) 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**

* The most common mistake is following a fellow (or previous) student’s example. Read the current guidelines carefully!
* An incorrect committee — the committee listed on your title page (and the signatures you submit to the Graduate Division) must match your currently approved committee. If you have made any changes to your committee since Advancement to Candidacy, you must request an official change from the Graduate Division. Consult your departmental adviser for details.
* Do not use a different name than that which is officially recognized by UC Berkeley (i.e. the name on your transcript and Bearfacts). For example, do note use only a middle initial when your record shows a full middle name. To correct this, petition to change your name with the Registrar’s Office before the last day of the semester.
* Page numbers — Read the section on pagination carefully. Many students do not paginate their document correctly.
* Page rotation — some pages may be rotated to a landscape orientation. However, page numbers must appear in the same place throughout the document (as if it were bound like a book).
* Do not include the signature/approval page in your electronic thesis.
* Do not include previous degrees on your title page.

**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 s 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 accessible format, depending on the relative importance of the material (see below). Clearly label the CD, DVD, audiotape, or videotape with your name, major, thesis title, and information on the contents. Only one copy is required to be filed with your thesis.  A second copy should be left with your department.

**Note**. ProQuest and the Library will require any necessary 3rd party software licenses and reprint permission letters for any copyrighted materials included in these electronic files.

**Electronic Formats and Risk Categories**

The following is a list of file formats in descending order of stability and accessibility. This list is provisional, and will be updated as technologies change. Faculty and students should refer to the Graduate Division website for current information on formats and risk categories.

***Category A:***

* PDF (.pdf)
* TIFF (.tif) image files
* WAV (.wav) audio files

***Category B:***

* JPEG, JPEG 2000 (.jpg) image files
* GIF (.gif) image files

***Category C:***

* device independent audio files (e.g., AIFF, MIDI, SND, MP3, WMA, QTA)
* note-based digital music composition files (e.g., XMA, SMF, RMID)
* MPEG video

***Category D:***

* other device independent video formats (e.g., QuickTime, AVI, WMV)
* encoded animations (e.g., FLA or SWF Macromedia Flash, SVG)

For detailed guidelines on the use of these media, please refer to the Library of Congress website for digital formats at <http://www.digitalpreservation.gov/formats/index.shtml>.

* **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.

**Appendix C: Frequently Asked Questions**

**Eligibility**

Q1: Can I file my thesis during the summer?

A1: Yes. There are 2 ways to file during the summer:

1)     Register for at least 3.0 through Berkeley Summer Sessions. With this option, you can file any time before the summer deadline (<http://grad.berkeley.edu/policies/degree_filing_deadlines.shtml>)

2)     Apply for Filing Fee. If you are eligible, you will be placed on Filing Fee status for the Fall semester. While on this status, you will be allowed to file during the summer.

Q2: If I chose that option, does it matter which session I register in during the summer session?

A2: No. You can register for any of the sessions (at least 3.0 units). The deadline will always be the last day of the last session.

Q3: If I file during the summer, will I receive a summer degree?

A3: No. Any student that files after the spring deadline in May, will receive a fall degree. If you file during the summer, remember to write “Fall” on your title page!

**Formatting**

Q1: I’ve seen other theses from former students that were / that had  \_\_\_\_\_\_\_\_\_\_, should I follow that format?

A1: No. The formatting guidelines can be changed from time to time, so you should always consult the most current guidelines available on our website. ([http://grad.berkeley.edu/policies/guides/thesis-filing/](http://grad.berkeley.edu/policies/guides/dissertation-filing/))

Q2: I want to make sure that my thesis follows the formatting rules. What’s the best way to do this?

A2: If you’ve read and followed the current guidelines available on our website, there shouldn’t be any problems. You are also always welcome to bring sample pages into the Graduate Degrees Office at 318 Sproul Hall to have a staff member look over your manuscript.

Q3:  Does my signature page need to be printed on some special paper?

A3: The signature page can be on regular paper.

**Process**

Q1: I’m away from Berkeley. Is there any way to file my thesis remotely?

A1: Your thesis will be emailed to the Graduate Division, which can obviously be done from anywhere there is an internet connection. You will also need to submit the remaining documents (signature page and release form). Most students who are unable to bring these to our office in person will have a friend or colleague drop them off instead. Barring that, it is acceptable to mail your documents to our office. However, it would be prudent to use a trackable courier service (like FedEx, DHL, etc) as regular mail may be unreliable. Furthermore, the documents must be *received* in our office by the stated deadline (not postmarked). Extensions will not be granted for transit delays.

Q2: Can I have a friend file my thesis for me?

A2: Yes. Please see the answer above regarding filing remotely.

Q3: What’s a Receipt of Filing? Do I need one?

A3: The Receipt of Filing is an official document that we produce that certifies that you have successfully filed your thesis on the specified day and that, if all other requirements are met, the date of the degree conferral.

Some students may need the receipt in order to prove to an outside agency that they have officially filed their thesis. Many students simply keep the receipt as a memento. Picking up your receipt is not required.

Q4: What’s the difference between a Receipt of Filing and a Certificate of Completion?

A4: A Receipt of Filing is automatically produced for all students upon successful filing of their thesis. However, it only certifies that the thesis has been accepted. The Certificate of Completion must be requested (<http://grad.berkeley.edu/policies/forms.shtml>). It will state that all requirements*have*been met and notes the date that the degree will be conferred. This is a useful document for students who file early in the semester and need some verification of their degree in advance of its conferral (note: degrees are only conferred twice each year).

Q5: How to I know if I’m eligible for a Certificate of Completion?

A5: In order to be eligible to receive a Certificate of Completion, you must:

1) Successfully file your thesis

2) Have a Final Report on file. Departments sign off on a document called the Final Report which certifies that you have completed all departmental requirements.

3) Pay all of your registration fees. If you have a balance on your CARS account, we will be unable to provide a Certificate of Completion.

Q6: I’m supposed to bring in my approval letter for research with human subjects or vertebrate animals, but it turns out my research didn’t use this after all. What should I do?

A6: If you’re research protocol has changed since you advanced to candidacy for your degree, you’ll need to ask you thesis chair to write a letter to the Graduate Division explaining the change. It would be best to submit this in advance of filing.

Q7: My thesis uses copyrighted or previously published material. How to I get approval?

A7:: Read the relevant section in the thesis filing guide carefully. There is a template letter for permission from co-authors available. You must submit this documentation to the Graduate Degrees Office in advance of when you intend to file. Do not wait until the last minute!

Q8: Can my co-author email his or her permission for inclusion of this material?

A8: Yes. It is better to use the provided form/template, but if they are unable to sign, an email is acceptable.

Q9: I found a typo in my thesis that has already been accepted! What do I do?

A9: Once a thesis has been submitted and accepted, no further changes will be permitted. Proofread your document carefully. Do not submit a draft. In extreme circumstances, your thesis chair may write a letter to the Graduate Division requesting additional changes to be made.

Q10: Oh no! A serious emergency has caused me to miss the filing deadline! What do I do? Are extensions ever granted?

A10: In general, no. In exceptional circumstances, the Head Graduate Advisor for your program may write to the Graduate Division requesting an extension. Requests of this type are considered on a case by case basis and, if granted, may allow you to file after the deadline. However, even if such an exception is granted you will receive the degree for the subsequent term. Your first step is to consult with your department if an emergency arises.

See All Topics in the Category: [Procedures for Master's Students](http://grad.berkeley.edu/policies/guides/category/degrees-guide/procedures-for-masters-students/), [Thesis Filing Guide](http://grad.berkeley.edu/policies/guides/category/thesis-guide/)

Top of Form

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Bottom of Form

* **GRADUATE POLICY**
  + [**Guide to Graduate Policy**](http://grad.berkeley.edu/policies/guides/category/ggp/)
    - [**A. Introduction**](http://grad.berkeley.edu/policies/guides/category/ggp/introduction/)
    - [**B. Admission**](http://grad.berkeley.edu/policies/guides/category/ggp/admission/)
    - [**C. Diversity**](http://grad.berkeley.edu/policies/guides/category/ggp/diversity-ggp/)
    - [**D. Registration and Exchange Programs**](http://grad.berkeley.edu/policies/guides/category/ggp/registration/)
    - [**E. Course Work, Grading, Probation, and Dismissal**](http://grad.berkeley.edu/policies/guides/category/ggp/academic-admin/)
    - [**F. Degrees**](http://grad.berkeley.edu/policies/guides/category/ggp/degrees/)
    - [**G. Financial Assistance**](http://grad.berkeley.edu/policies/guides/category/ggp/finaid/)
    - [**H. Academic Appointments**](http://grad.berkeley.edu/policies/guides/category/ggp/academic-appointments/)
    - [**I. Glossary of Terms**](http://grad.berkeley.edu/policies/guides/category/ggp/glossary/)
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