

Instructions for Formatting & Filing Your Dissertation

Graduate Division
University of California, Berkeley
Revised February 2010



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Background

Filing your doctoral dissertation 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 and ProQuest's UMI Dissertation Publishing Service. Dissertations are withheld from the UC Berkeley Library and ProQuest/UMI by default for 2 years. However, you may request that your dissertation be forwarded as soon as the degrees have been awarded.

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 and based on the publication standards of ProQuest. 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 dissertation 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 dissertation 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

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 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 dissertation, 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 in your document must be consistent throughout.
 - 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.

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.

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 $\frac{3}{4}$ of an inch from the edge.
- **Spacing:** Your manuscript should be single-spaced throughout, including the abstract, 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.
- **Guidelines for Mixed Media:** please see Appendix B for details.

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.

Organizing your manuscript

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

- Title Page
- Copyright page or a blank page
- Abstract
- Optional preliminary pages such as:
 - 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

Please do not include you're an approval/signature page in your electronic document

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 dissertation.*

Variations

- If you are in a Joint Doctoral Degree Program, please consult Appendix C for the proper format.
- If you have a Designated Emphasis, it must be listed on your dissertation. Please consult Appendix C for the proper format.

Compiling Real-Time Digital Signal Processing Applications
on Multiprocessor Systems

The full title of
your dissertation

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 dissertation submitted in partial satisfaction of the
requirements for the degree of

Doctor of Philosophy

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

Engineering – Electrical Engineering and Computer Sciences

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 dissertation 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

Doctor of Philosophy in Sociology

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.

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Phasellus sit amet leo felis. Aliquam scelerisque turpis et felis accumsan congue. Vestibulum varius luctus ante, eleifend fermentum est tempor vitae. Suspendisse vitae lorem id leo porta lacinia. Mauris dignissim magna quis elit pulvinar sodales. Vestibulum sit amet enim in quam pretium congue. Nam vestibulum sollicitudin enim, condimentum congue leo commodo in. Donec id mauris eget metus suscipit accumsan a at sapien. Suspendisse pellentesque sagittis velit vitae ullamcorper. Nulla vitae risus in risus tincidunt ornare. Cum sociis natoque penatibus et magnis dis parturient montes, nascetur ridiculus mus. Etiam leo mi, pretium lobortis volutpat eu, vestibulum nec risus.

Procedure for filing your dissertation

After you have written your dissertation, [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: Convert your dissertation in to a standard PDF file.
- Step 2: Upload your PDF to ProQuest/UMI (<http://www.etsdadmin.com>)
Follow the instructions on the site.
- Step 3: When you have successfully submitted the document, a message will be sent to the Graduate Degrees Office to review it on-line. After Degrees staff has reviewed it you will either receive a message that the manuscript has been accepted or that you need to make further changes.
- If you need to make more changes, you will need to edit your manuscript, create a new PDF, and resubmit it to ProQuest. Degrees staff will then need to review it again.
 - An email approval will be sent to you once the manuscript is accepted.
- Step 4: Submit the following final documents to the Graduate Degrees Office at 318 Sproul Hall.
- Your signed approval page
 - A copy of the approval letter for your study protocol from the Committee for Protection of Human Subjects, or the Animal Care and Use Committee if your research involved human or animal subjects.
 - Completed Survey of Doctoral Students' Opinions
http://www.grad.berkeley.edu/policies/pdf/doctoral_survey.pdf
 - Completed Survey of Earned Doctorates
<http://www.norc.uchicago.edu/issues/docdata.htm>
 - Dissertation Release Form
http://www.grad.berkeley.edu/policies/pdf/dissertation_release.pdf

A Note on Deadlines

The Graduate Degrees Office needs at least 3 working days to review your electronic submission. You can bring your final documents to 318 Sproul Hall at any time. However, we can not provide a receipt of filing until your dissertation has been reviewed and accepted.

Copyright Permissions

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 dissertation or 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 dissertation chair to review the material and to determine whether your work is comparable to all or part of a dissertation or 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 dissertation. 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 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 dissertation or 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, and, for dissertations, the availability of the manuscript from UMI (ProQuest) Dissertation Publishing, 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. The agreement form you sign with ProQuest specifically absolves it of any such responsibility.

Use of copyrighted works in your dissertation 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.

A statement from the copyright owner giving you permission to use the material must be submitted with the dissertation. This permission letter must state that the copyright owner is aware that ProQuest may supply single copies upon request and may proceed under the contract on the agreement form. This statement should be attached to the ProQuest form. Once your dissertation reaches ProQuest offices, staff members prepare it for publication and identify substantial uses of copyrighted materials that may need permission. You may contact ProQuest to inquire about any aspect of the review and the possible need for copyright permissions at (800) 521-0600, ext. 7020.

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 dissertation or thesis. Include introductory, transitional, and concluding sections with the papers or essays.

Withholding Your Dissertation

Occasionally, there are circumstances in which you prefer that your dissertation 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 dissertation 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 dissertation 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 Dissertation 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 dissertation 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 dissertation 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 transmitted to the University Library and to ProQuest Dissertations Publishing.

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) and submit it to Graduate Services: Degrees, 318 Sproul Hall #5900, Graduate Division, UC Berkeley, Berkeley, CA 94720-5900.

FAX:

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.

Appendix B: Mixed Media Guidelines

In May, 2005, the Graduate Council established new guidelines for the inclusion of mixed media content in dissertations. It was considered crucial that the guidelines allow dissertations 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 dissertation 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 dissertation 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 dissertation (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, dissertation title, and information on the contents. Only one copy is required to be filed with your dissertation. 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>.

Appendix C: Title Page Variations

Required title page format Joint Doctoral Degree Programs

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

by

Jennifer Rhonda Johnson

A dissertation submitted in partial satisfaction of the

requirements for the degree of

Joint Doctor of Philosophy
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

Required title page format for student's with a Designated Emphasis

Compiling Real-Time Digital Signal Processing Applications
on Multiprocessor Systems

by

Jennifer Jane Johnson

A dissertation submitted in partial satisfaction of the
requirements for the degree of
Doctor of Philosophy
in
Engineering-Electrical Engineering and Computer Sciences
and the Designated Emphasis

in

Communication, Computation, and Statistics

in the

Graduate Division

of the

University of California, Berkeley

Committee in charge:

Professor Jane D. Doe, Chair

Professor John Smith

Professor Herman Jones

Spring 2010

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

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.