Dear CGU Student:

Congratulations on arriving at this pivotal moment in your progress toward your degree!

As you prepare for graduation, please consult the Degree Completion Checklist on the Registrar’s website (www.cgu.edu/registrar). This page provides complete instructions, forms, procedures, and all-important deadlines that apply to ensuring your eligibility for graduation and inclusion on the official CGU degree list.

For candidates whose programs require the preparation, presentation, and defense of a dissertation or thesis, this package provides pertinent guidelines for the preparation of your manuscript. The contents of this handout are as follows.

- **General Guidelines** – providing an alphabetical index of subjects and instructions for formal document preparation
- **Organizing Your Manuscript** – listing the proper order of components in your manuscript and the protocol for numbering pages
- **Samples and Guidelines** – illustrating title pages, committee listings, and the abstract

The Dissertation/Thesis Procedures, provided on the Registrar’s website, details guidelines for committees, review, and final approval. At the end of the process, you will submit your complete and approved manuscript, including any revisions requested by your review committee, to the Registrar’s Office through the ProQuest/UMI gateway. You will need to create an account for this purpose and provide ProQuest with your publication instructions. While creation of your account is not required until actual submission of the final version of your manuscript, you should create your account early—especially if you need access to a portable document format (pdf) creator. The gateway accepts document revisions through the final submission.

**IMPORTANT:** Your eligibility for graduation and inclusion in the University’s degree list for a specific semester is determined by the date of receipt by the Registrar’s Office of your final submission and of all required documentation. Failure of you or your department to meet the degree requirements deadline, published in the Academic Calendar, may delay conferral of your degree to a later semester.
GENERAL GUIDELINES

Unless you impose embargos through ProQuest—that is, formally withhold public access to your dissertation or thesis for a specified period of time—your publication is available to the world through the Honnold Library as well as through other open access systems.

- You must comply with all publication standards and protocols to avoid copyright infringement of other intellectual property.
- Your final submission must be print-ready and should reflect your personal organization, expertise, and professionalism.

The generally accepted manual for preparation of dissertations and theses is referenced below. This manual provides formatting guidelines and suggestions for footnotes, bibliographies, and other composition standards.

**General Reference**


In general, follow the recommendations of your review committee, especially if there are specific requirements for your discipline. Note that to comply with applicable laws and regulations, some disciplines or degrees may impose additional requirements and specifications for academic publications.

**Abstract**

Details and sample format are provided in the Samples section at the end of this document.

**Acknowledgements**

Optional. An Acknowledgements page is not necessary, but may be used to recognize individuals and other entities who significantly contributed to the development and composition of your manuscript. Examples of such entities may include committee members, outside readers, an individual who helped formulate your proposal, or a contributor of research, computer work, statistical analysis, or graphics. Funding resources for research support are appropriately recognized in an Acknowledgements page.

Note that the Acknowledgements page is your manuscript’s first formal page. It should be numbered using a lower case Roman numeral—for example, vi.

**Appearance**

Your document must be professional and print-ready for publication. The organization and appearance of your electronic copy should be clean, clear, and consistent in quality. Print copies are generally produced as two-sided
pages. Remember that documents may be reduced in size for microfilm reproductions.

Chapter 1
If no Introduction is included, the first page of Chapter 1 begins the Arabic numbering sequence of your manuscript. All subsequent pages should be numbered through the end of your reference sections, including pages with illustrations, graphs, figures, charts, or plates.

Committee Page
Details and sample format are provided in the Samples section at the end of this document. Approval signatures are not included in the official submission of your manuscript. Approval of your manuscript, documented by the Certification of Committee/Department Approval cited in the Registrar’s Dissertation/Thesis Procedures, is permanently retained with the University’s grade rosters.

Copyright Permissions
Your manuscript must adhere to professional publications standards. As the responsible author, you should be careful using or incorporating into your manuscript extensive texts, images, or other intellectual property. Wherever required, you must obtain and retain for your records the appropriate copyright permissions.

As a rule, obtain all permissions in writing, specifically citing the content which you may reproduce and identifying the purpose for the reproduction. Whenever extensive materials from a single source are used or incorporated into your document, you should express gratitude and note the permission obtained in your Acknowledgements. For single items such as images, photographs, or other graphics, you may include the disclaimed “Used by permission” directly below the insert.

Claremont Graduate University is neither responsible nor liable for any copyright infringement on the part of dissertation or thesis authors. Questions about author liabilities and copyright law should be referred to an attorney.

Dedication
A dedication or Dedication page is not required; however, an author may choose to honor individuals such as parents, spouses, significant others, or mentors.

No page number is printed on the Dedication page.

Fold-outs
In a paper or hard copy print environment, fold-outs are used for tables and illustrations that would require space that exceeds the breadth or dimensions of a single page. In an electronic environment, output for print is generally to 8-1/2 x 11” pages. Copy that requires non-traditional printing or presentation should be submitted as a supplemental document to your manuscript. The ETD provides guidelines for uploading
supplemental files, including information on size specifications, and placement instructions. Contact ProQuest through the ETD with any concerns regarding non-standard pages.

It is good practice to verify acceptance of supplemental files and non-standard format documents with your review committee.

Footnotes
Use a consistent format that best meets your presentation needs. Footnotes may be presented at the bottom of a page, at the end of a chapter, or at the end of your manuscript.

Font
Use 10 point or larger. Any standard font is acceptable; however, use the same font throughout the document. Do not use fonts that resemble scripts or other novelty or customized fonts. These fonts may not convert in the publication of your manuscript and may negatively impact the appearance and organization of your manuscript.

Images and Photographs
Images and photographs—black & white or color—are acceptable. To avoid copyright infringement or unauthorized use, be sure to obtain permissions or any approvals for re-publication or reproduction of these images and photographs.

Indentations
Indent paragraphs in a consistent manner and style that best meets the needs of your manuscript or discipline.

Introduction
Optional. If included, the first page of your Introduction begins the Arabic numbering of your manuscript. All subsequent pages should be numbered through the end of your reference sections, including pages with illustrations, graphs, figures, charts, or plates.

Italics and Bold Face
Restrict usage of highlighted fonts such as italics and bold face to instances in your text that require special emphasis. Non-English words and phrases should always be italicized.

Landscape Pages
Landscape formats are acceptable for tables and illustrations that require space that exceeds the breadth of a portrait orientation. If possible, number the page at the bottom center of the portrait orientation view.

Margins
Margin requirements apply to all pages of the manuscript, including appendices, indices, etc.

- Left and right margins: 1-1/2”
- Top and bottom margins: at least one inch

Note that print copies of your manuscript are produced double-sided. Be sure to take this point into consideration when positioning tables, graphics, or other images that extend into the margin fields.
Order/ Sequence

For organizational, numbering, and publication purposes, manuscripts are typically divided into three main parts.

- Preliminary Sections
- Text
- References

For more information, see the section on Organizing Your Manuscript.

Pagination

Count ALL pages of your document—including pages with illustrations, graphs, figures, charts, or plates—through the end of all appendices. Your numbering should allow for blank pages that, although a number is not printed on the page, the page is nevertheless counted as part of your volume.

- Preliminary Sections: Use lower case Roman numerals—v, vi, vii, etc.
- Text: Start using Arabic numbers—1, 2, 3, etc—with the first page of the Introduction or with the first page Chapter One if your manuscript does not include an Introduction. All pages should be numbered without breaks in the numbering sequencing.
- For consistency and to accommodate binding needs of printed copies, locate page numbers at the bottom center of each page.

See also the Manuscript Ordering and Numbering Protocol table in the Organizing Your Manuscript section of this document.

Paper Specifications

Not applicable. Manuscripts are submitted electronically through the ETD.

Paper Submissions

Manuscripts are submitted electronically through the ETD. Contact the Registrar’s Office if, for some reason, you are unable to submit your manuscript electronically.

NOTE: Authors who are unable to use the electronic process are responsible for all expenses in the production and distribution of their manuscripts for review as well as for the final submission of two clean copies. Additional publication costs, which are waived for authors using the electronic process, are required at the time of submission of the two, clean paper copies.

Permissions

See Copyright Permissions, above.

Preface

If you include a Preface, it follows the Acknowledgements page and continues numbering using lower case Roman numerals.

Print Copies

Printed copies are generally produced using double-sided pages. Please
keep this mind when organizing pages with tables, illustrations, images, or other graphics, as well as when numbering your pages (bottom center).

Questions
Manuscript preparation: your review committee.
Electronic manuscripts: use the help links in the ETD.

Signatures
CGU Dissertation/Thesis Procedures require submission of a Certification of Committee/Department Approval form as verification of acceptance of your manuscript. This document is permanently maintained in the University’s records with other grade rosters.

To comply with best practices in the prevention of identity theft, the approving signatures of your review committee are not included in the published version of your manuscript. Committee chair and members should be listed by name, institution or organization, and title as illustrated in the samples at the end of this document.

Spacing
Manuscripts should be double-spaced, although exceptions may be made for the following items.

- Footnotes
- Long quotations
- Tables, where double spacing may be detrimental to the presentation of data or information
- Table of Contents, where chapters may have numerous sections listed

Standards
Unless established by a particular department or discipline, there are no universal standards regarding caps, boldface, or italics where title pages are concerned. Writers are urged to adopt a consistent and professional protocol for use throughout the manuscript.

Submissions
Manuscripts are submitted electronically through the ETD. Instructions are provided in the Registrar’s Dissertation/Thesis Procedures on the web. See also the note for Paper Submissions.

Table of Contents
Use the Table of Contents to list the significant headings and subheadings of your manuscript. The Table of Contents may be followed by additional lists, such as of tables, diagrams, figures, illustrations, plates, or the like.

Pages of your Table of Contents continue numbering using lower case Roman numerals.

Title Page
Details and sample format are provided in the Samples section at the end of this document.
ORGANIZING YOUR MANUSCRIPT

Follow the protocol below to organize your manuscript and to determine the numbering scheme that applies to each section of the manuscript.

MANUSCRIPT ORDER AND NUMBERING PROTOCOL

<table>
<thead>
<tr>
<th>PAGE</th>
<th>INSTRUCTIONS FOR NUMBERING</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Count</td>
</tr>
<tr>
<td>1 Title Page</td>
<td>Yes</td>
</tr>
<tr>
<td>2 Copyright Page (optional)</td>
<td>Yes</td>
</tr>
<tr>
<td>3 Committee Listing Page</td>
<td>Yes</td>
</tr>
<tr>
<td>4 Abstract (for Dissertations)</td>
<td>Yes</td>
</tr>
<tr>
<td>5 Acknowledgements (optional)</td>
<td>Yes</td>
</tr>
<tr>
<td>6 Preface (optional)</td>
<td>Yes</td>
</tr>
<tr>
<td>7 Table of Contents</td>
<td>Yes</td>
</tr>
<tr>
<td>8 Table of Figures or Plates (optional)</td>
<td>Yes</td>
</tr>
<tr>
<td>9 Introduction (optional)</td>
<td>Yes</td>
</tr>
<tr>
<td>10 Chapter One</td>
<td>Yes</td>
</tr>
</tbody>
</table>

While the title page and other preliminary pages do not have numbers printed on them, these pages are, nevertheless, counted. The first page on which a number is actually printed must take into account the number of pages that precede it. For example, in the table, the suggestion for the Acknowledgements page is given with an indication of a page numbering of v or vi or whatever may be applicable.

Note that some of the items listed in this table are optional. Consult with your department or review committee for individual standards appropriate to your discipline.

ALL pages of the manuscript are counted whether or not a page number is displayed at the bottom of the page. (Samples and additional guidelines are provided in the last section of this document.)

SAMPLES AND GUIDELINES REGARDING SPECIFIC PAGES

This section presents samples of wording and format structure for specific pages of your dissertation. Illustrations are designed to illustrate format and are not according to scale.

CGU Registrar’s Office, January 2011
Title Page

(Title of Manuscript)
(See text below for alternate wording option)

by
(Your Name)

Claremont Graduate University
(Calendar Year of Your Degree)

© Copyright (Your Name), (Year)
All rights reserved.

Title. Your title should reflect the subject or focus of your manuscript and will be the basis for keywords for internet and library searches. While not recommended, you may use an alternate title format that provides a generic or simple statement identifying your manuscript as the final degree requirement of your program. Two examples of such general wording are provided below.

For CGU Programs. A final project submitted to the Faculty of Claremont Graduate University in partial fulfillment of the requirements for the degree of (name)

For CGU Joint Programs. A (dissertation/thesis) submitted to the Faculty of Claremont Graduate University and (the Joint Institution Name) in partial fulfillment of the requirements for the degree of (Name)

When degrees are conferred by two institutions. When the degree is awarded jointly by two institutions, both are listed on your title page. For example, the line might read “Claremont Graduate University and California State University Long Beach.”
**APPROVAL OF THE REVIEW COMMITTEE**

This (dissertation/thesis) has been duly read, reviewed, and critiqued by the Committee listed below, which hereby approves the manuscript of (student name) as fulfilling the scope and quality requirements for meriting the degree of (degree name).

<table>
<thead>
<tr>
<th>Typed name, Chair</th>
</tr>
</thead>
<tbody>
<tr>
<td>Institution</td>
</tr>
<tr>
<td>Title</td>
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</tbody>
</table>

<table>
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<tr>
<th>Typed name of Committee Member</th>
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<tbody>
<tr>
<td>Institution</td>
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<td>Title</td>
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<th>Typed name of Committee Member</th>
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<tbody>
<tr>
<td>Visiting Examiner (if appropriate)</td>
</tr>
<tr>
<td>Institution or Organization</td>
</tr>
<tr>
<td>Title</td>
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</tbody>
</table>

The Committee Page replaces the page formerly used to collect and document the written approval of the members of the review committee. In compliance with best practices intended to curb the potential for identity theft, signatures are not included in the published version of the manuscript. However, a declaration of the Committee’s approval and a listing of all review committee members are required.

**When there are multiple chairs.** Multiple chairs may be listed in one of two ways. (1) The chairs may be listed on the same line as illustrated below. (2) If a single column listing is used,
verify with your committee chairs whether the chairs should be listed alphabetically or if a primary chair should be listed first. In either case, the individuals would be listed as Co-Chairs.

<table>
<thead>
<tr>
<th>Typed name, Co-Chair</th>
<th>Typed name, Co-Chair</th>
</tr>
</thead>
<tbody>
<tr>
<td>Institution</td>
<td>Institution</td>
</tr>
<tr>
<td>Title</td>
<td>Title</td>
</tr>
</tbody>
</table>

No page number is printed at the bottom of the Committee page.

**Abstract – For Dissertations**

The abstract of your dissertation is published in *Dissertation Abstracts* by University Microfilms International.

```
Abstract

(Dissertation Title)

by

(Your Name)

Claremont Graduate University: (Calendar Year of Your Degree)
```

The following requirements apply to the composition of your abstract.

- List the following items on the first page of your abstract.
  - Title of the dissertation
  - Your name
  - Claremont Graduate University
  - Year your degree will be awarded
- The abstract must be double-spaced.
- The abstract is limited to 350 words of text. No exceptions. The 350 word limit is absolute for publication purposes. To avoid being cut off mid-sentence, do not exceed this limit.
• The abstract should provide a narrative explanation of the nature and scope of the problem or topic of your dissertation, the method employed in developing your dissertation, and a summary of your conclusions.

No page number is printed at the bottom of the Abstract page.

This document has been prepared by the Registrar’s Office at Claremont Graduate University.
January 2011