



## Doctoral Dissertation and Manuscript Formatting and Filing Requirements

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## Elements and Organization of the Manuscript

Consult with your committee chair regarding an acceptable manuscript style before preparing the final PDF of the thesis or dissertation. This CGU Doctoral Dissertation and Manuscript Formatting and Filing Requirements guide supersedes manuals of style if there is a conflict in the instructions regarding format.

The general arrangement of the manuscript should include the following elements in order: preliminary pages, main content/body, appendices, notes (if using endnotes), and bibliography/references.

### Preliminary Pages

The information on the preliminary pages and the format of these pages are standardized. Follow the samples and instructions presented in this manual. There must be consistency between official university records and all preliminary pages with respect to your name, degree and concentration, committee names, title of manuscript, and year the degree is granted.

Preliminary pages are numbered with small Roman numerals. All preliminary pages are included in the page count but the first visible page number is on the Acknowledgements page (if applicable) or the first Table of Contents page.

### Title Page (required)

#### [SAMPLE TITLE PAGE – Appendix A](#)

The title page should include the following and should be horizontally centered:

1. **Title of the manuscript.** Acronyms and abbreviated forms should be spelled out. The title should appear approximately half-way down the page (i.e. centered vertically and horizontally). The title should reflect the subject or focus of your manuscript and will be the basis for keywords for internet and library searches.
2. **Author name.** The NAME used on the title page must be the official (i.e. primary) name listed in your CGU student record. If you wish to change your official/primary name in your CGU record, you must follow the instructions on the [Registrar’s webpages](#) prior to submitting your manuscript. If you are unsure about how your name appears in official CGU records, this information can be obtained through your MyCGU portal.
3. **Name of institution(s) conferring degree.** Claremont Graduate University appears toward the bottom of the page. If you are in a joint doctoral program, you should list both institutions on the same line. For example “Claremont Graduate University and San Diego State University.”
4. **The DATE** should appear directly below the university’s name and should be the calendar year in which your degree will be conferred. No other date information such as month or day should appear here.

In general, images and running headers or footers should not appear on the title page. *No page number should appear on the title page.*

Copyright Page (recommended)

[SAMPLE COPYRIGHT PAGE – Appendix B](#)

Student authors may include a separate page for the statement of copyright. Such a statement is not required by CGU and no longer required under U.S. law, but can be beneficial because it informs those accessing the work that it is protected by copyright. If including a copyright page, students should use the same form of their name as it appears on the title page. The copyright symbol, name, and year should all appear horizontally centered at the bottom of the page.

*No page number should appear on the copyright page.*

Committee Approval Page (required)

[SAMPLE COMMITTEE APPROVAL PAGE – Appendix C](#)

The Committee Page replaces the page formerly used to collect and document the written approval of the members of the dissertation committee. In compliance with best practices intended to mitigate the potential for identity theft, signatures are no longer included with the manuscript. However, a declaration of the Committee's approval and a listing of all dissertation committee members is required within the manuscript.

The page should include the title and approval text as shown in the sample committee page located in the appendices, and the committee members should be listed in a column centered horizontally. Co-chairs may be listed in one of two ways. (1) The chairs may be listed on the same line. Or, (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. Students in joint doctoral programs may have Co-Chairs from each institution.

The student name inserted in the approval text should match the name listed on the title page. The degree which you are earning should be written as it appears in the [CGU Bulletin](#). Unofficial degree names should not be included. For example, CGU awards a Doctor of Philosophy in Psychology, not in Positive Organizational Psychology. You may include an official concentration of your degree program but it must be written as such. For example, a Doctor of Philosophy in Education with a concentration in Urban Leadership.

*No page number should appear on the Committee page.*

Abstract Page (required)

[SAMPLE ABSTRACT PAGE – Appendix D](#)

List the following items at the top of your abstract page: title of the dissertation, your name, Claremont Graduate University, and year your degree will be awarded.

The abstract must be double-spaced and the recommended length is 750 words. 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 should appear on the Abstract page(s).*

#### Dedication (optional)

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

*No page number should appear on the Dedication page.*

#### 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.

*If you choose to include an Acknowledgements page, it should include the first visible small Roman numeral page number.*

#### Table of Contents (required)

##### [SAMPLE TABLE OF CONTENTS – Appendix E](#)

Use the Table of Contents to list the significant headings and subheadings of your manuscript. The Table of Contents should be double-spaced unless there are numerous subsections within chapters. In this case the last subsection of a chapter and the next chapter title should be double-spaced.

The Table of Contents may be followed by additional lists, such as of tables, diagrams, figures, illustrations, plates, or the like. These lists should also be double-spaced. Pages of your Table of Contents continue numbering using lower case Roman numerals.

#### Main Content (Body Text)

The manuscript must be formatted consistently throughout. Any article that is submitted to a professional journal and is included in the manuscript must conform to the format described in this Guide. Except where specified otherwise in these requirements, the organization, presentation, and documentation of the manuscript should meet the standards for publishing journal articles or monographs in the field of inquiry.

*The first page of the main body of text must be numbered with the Arabic numeral "1."*

## Formatting and Specifications

### Appearance

The organization and appearance of your digital manuscript should be clean, clear, and consistent in quality. Print copies ordered through ProQuest are generally produced as double-sided pages, so it's recommended to place all visible page numbers in the bottom, center of the page.

### Citations

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.

### File Type

PDF (portable document format) file is required in order to upload to the ProQuest ETD Administrator. A PDF conversion tool is available through the ETD Administrator a student does not have access to software for PDF conversion. PDF files should not be compressed, password protected, or contain a digital signature. Students are responsible for the appearance of their manuscript as a PDF file. It will appear and may be downloaded exactly as submitted through the ETD Administrator.

### Font

Embedded fonts are REQUIRED. For more information about embedding fonts, please visit this ProQuest ETD support page: <https://support.proquest.com/articleDetail?id=kA14000000GwUdCAK>.

Any legible font except script, italic, or ornamental fonts equivalent or larger in scale to 10pt is acceptable. Italicized font may be used for non-English words and quotations.

### Margins

One-inch margins are required:

Left: 1"; Right: 1"; Top and Bottom: 1"

Applies to all material except page numbers, including figures, headers/footers, footnotes/endnotes, and full-page images. Page numbers should be at least  $\frac{3}{4}$ " from the edge of the page.

### Multimedia

Digital preservation best practices typically recommend including multimedia content as supplemental files, rather than embedding multimedia in PDFs. The ETD Administrator will accept multimedia content of all file types. File types listed below will be migrated by ProQuest. File types other than those listed below are not guaranteed to be migrated.

### Images

GIF (.gif), JPEG (.jpeg), TIFF (.tif)

## Video

Apple Quick Time (.mov); Microsoft Audio Video Interleaved (.avi); MPEG (.mpeg)

## Audio

AIF (.aif); CD-DA; CD-ROM/XA; MIDI (.midi); MPEG-2; SND (.snd); WAV (.wav)

## Pages and Pagination

Page numbers should appear in the bottom center of the portrait orientation view. Follow the protocol below to organize your manuscript and determine the numbering scheme that applies to each section. If your document is in Microsoft Word format, you will need to utilize the section break functions to properly format your page numbers. Useful online tutorials can be found here:

<https://support.office.com/en-us/word>.

Section/Page	Required?	Counted?	Visible page number?	Type of number
Title Page (see <a href="#">sample</a> )	Required	Yes	No	n/a
Copyright Page (see <a href="#">sample</a> )	Optional	Yes	No	n/a
Committee Approval Page (see <a href="#">sample</a> )	Required	Yes	No	n/a
Abstract (see <a href="#">sample</a> )	Required	Yes	No	n/a
Dedication	Optional	Yes	No	n/a
Acknowledgements (see <a href="#">sample</a> )	Optional	Yes	Yes	Small Roman numeral, page v or vi
Preface	Optional	Yes	Yes	Small Roman numeral
Table of Contents (see <a href="#">sample</a> )	Required	Yes	Yes	Small Roman numeral
Table of Figures (or other tables and lists)	Optional	Yes	Yes	Small Roman numeral
Introduction	Optional	Yes	Yes	First Arabic page number, start with page 1
Chapter One	Required	Yes	Yes	Arabic numeral

## Spacing

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

- Footnotes/endnotes
- Long quotations
- Captions
- Items in tables, lists, graphs, charts where double-spacing may be detrimental to the presentation of data or information
- Bibliographic entries

- Table of Contents – only where chapters may have numerous sections listed

## Copyright and Publication

### Publication

All doctoral theses and dissertations of Claremont Graduate University students are published and made available to the public through the ProQuest Theses and Dissertations database and in the institutional repository. During the ETD Administrator submission process, student authors are given a number of options regarding the accessibility of their work to the public. The CGU Registrar's Office delivers approved manuscripts to ProQuest and to Scholarship@Claremont at the end of each term after degrees are posted. Once delivered, it may take several weeks for your manuscript to be published and accessible in the ProQuest database and in Scholarship@Claremont.

### Using copyrighted material in your manuscript

Your manuscript must adhere to professional publication 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 phrase "Used by permission" directly below the insert.

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For additional information about using copyrighted materials in your published dissertation or thesis, see ProQuest's FAQs webpage:

[https://support.proquest.com/articleDetail?id=kA0400000004JGnCAM&key=copyright&pcat=All\\_c&icat=](https://support.proquest.com/articleDetail?id=kA0400000004JGnCAM&key=copyright&pcat=All_c&icat=)

### U.S. Copyright Registration

During the ETD Administrator submission process, student authors are given the opportunity to request that ProQuest file for copyright on their behalf. Copyright registration is not required and is at the discretion of the student author. Additional information and articles about copyright registration are available in the Resources & Guidelines section of the ETD Administrator.



## Creative Commons Licensing

During the ETD Administrator submission process, student authors are given the opportunity to choose a Creative Commons (CC) license. Choosing a CC license is not required and, however if chosen, will be applied to your publication in Scholarship@Claremont and not in ProQuest's use of your dissertation or thesis. For more information about Creative Commons licenses, visit: <http://creativecommons.org/>

## Access Restrictions

An **embargo or delayed release** is a period of time during which a manuscript is not accessible to the public in the ProQuest database as well as Scholarship@Claremont; the embargo length options available in the ETD Administrator are 6 months, 1 year, or 2 years. The author may lift an embargo earlier than originally requested or extend an embargo if the original time limit has been reached. Embargo extension requests may be subject to academic department and institutional approvals. Regardless of whether you elect to embargo your document, your title and abstract will be publicly available.

**ProQuest** allows authors to have their publication **restricted from internet search engines**. More information about this option is available in the ETD Administrator's [Resources & Guidelines → Delayed release and other publishing options document](#).

In the institutional repository, **Scholarship@Claremont**, the author may choose to make the publication Openly Accessible (Open Access searchable via Google Scholar) or they may choose to allow access only to those who are part of the Claremont Colleges community and using an on-campus internet connection. The author may select this choice through the ETD Administrator submission process.

# Appendices

## Appendix A – Sample Title Page

An Analysis of Graduate Education in the United States

Title with acronyms and abbreviations spelled out

By

Catherine Claremont

Official name in CGU student record

1" margins on all sides

Claremont Graduate University

2022

Year of degree conferral

Appendix B – Sample Copyright Page

© Copyright Catherine Claremont, 2022.  
All rights reserved

Official name in CGU  
student record

Year of degree conferral

## Approval of the Dissertation Committee

This dissertation has been duly read, reviewed, and critiqued by the Committee listed below, which hereby approves the manuscript of Catherine Claremont as fulfilling the scope and quality requirements for meriting the degree of Doctor of Philosophy in Education. *[Note: the yellow highlighting is to demonstrate where your individual information should be inserted]*

Official name in CGU  
student record

Paula Professor, Chair  
Claremont Graduate University  
Associate Professor of English

Official degree name; an  
official concentration may be  
included after the degree  
name if appropriate

Peter Professor  
Claremont Graduate University  
Assistant Professor of Religion

Petra Professor  
Claremont Graduate University  
Professor of Economics

1" margins on all sides

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pages but contains no  
visible page number

Appendix D – Sample Abstract Page

**Abstract**

An Analysis of Graduate Education in the United States

By  
Catherine Claremont

Institution name (if in a joint doctoral program, include the name of both institutions) followed by “:” and the year of degree conferral

Claremont Graduate University: 2022

Title of manuscript and student name as they appear on the title page

← 1” margins on all sides

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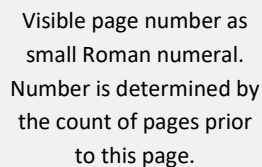
## Acknowledgements

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