



California Institute of Integral Studies

**CIIS-APA HANDBOOK FOR
TECHNICAL REVIEW AND
PUBLICATION**

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OVERVIEW

This handbook is designed to aid students as they advance through technical review and upload their theses or dissertations to the ProQuest/UMI database.

The handbook contains general information about the technical review process, including information about pricing, deadlines, and contracting a technical reviewer; a detailed style guide for your format (APA, Chicago, or MLA); and considerations for publishing your work on the ProQuest/UMI database.

For questions about writing and technical review, please contact the Center for Writing and Scholarship (CWS) at cws@ciis.edu. For information about forming your committee, choosing your topic, and conducting your research, please refer to the document [Policies, Procedures, and Documents: Dissertation and Thesis](#) or the [CIIS Academic Catalog](#). For questions about graduation requirements and procedures, please refer to the [Graduation Guidebook](#).

THE TECHNICAL REVIEW PROCESS

The dissertation writing process mirrors closely the steps included in academic publishing of all kinds. The manuscript is peer-reviewed (by your committee), is held to a specific publication standard (by your technical reviewer), and is published in an official capacity (through ProQuest/UMI).

Technical review emphasizes the style requirements issued in the major academic style guides. At CIIS, these include the APA, MLA, and Chicago styles. While the rules of each style vary, the focus of each review emphasizes the same details. These include the following:

- Layout (front matter, pagination, margins, main text, line spacing, paragraphs, chapter titles, heads and subheads, references, and appendices)
- Style mechanics (spelling, punctuation, capitalization, abbreviations, italics, quotation marks, numbers, and lists)
- Reference List
- In-text citations
- Correspondence of in-text citations and the Reference List
- Footnotes and endnotes
- Quotes and paraphrases
- Copyrights and permissions
- Tables and figures
- Table of Contents

Every CIIS thesis or dissertation must pass technical review. Each review must be completed by one of the CIIS-approved technical reviewers (see the CIIS Technical Review Contact List in this document), and then must be approved by the Director of the Center for Writing and Scholarship prior to graduation.

How Does Technical Review Work?

Like everything in the thesis or dissertation process, the review may take more time than you expect. Taking the following steps will ensure a successful and timely review. Save yourself (and your reviewer) the stress of needing last-minute rush service. Make note of these requirements and plan ahead!

Secure a reviewer several months in advance. CWS has a list of approved reviewers and their contact information. (See the CIIS Technical Review Contact List in this document.) Contact a technical reviewer with a description of your dissertation and your expected timeline.

Arrange a schedule. Decide together when you will share the file and when you will receive the reviewer's feedback.

Planning for deadlines. Plan on the reviewer needing two weeks to work on your dissertation, and plan to leave the file alone during that time (reconciling two different versions is time-consuming).

Engage the details. Budget at least one week for you to make the necessary changes (more if you have work, family, or other obligations).

Submit your dissertation. Refer to the [deadlines](#) to determine the date your final, technically-edited dissertation is due to CWS. Instructions for submitting a digital and hard copy are provided below

How is the Work Divided?

The reviewer may fix text and paragraph formatting, tables and figures, page numbers, Table of Contents, and so on. You will be responsible for adding missing citations, updating style-specific punctuation issues, addressing discrepancies between in-text citations or notes and the Reference List, making changes that are content-related, finding page numbers for direct quotes, and more.

If you wish, you can ask your reviewer to help you with the more detailed work, including with tracking down missing information in the Reference List; correcting style mechanics (spelling, capitalization, abbreviations, italics, quotation marks, numbers, date typos, and lists); correcting the expression or placement of citations and notes; and so on. The division of labor should be discussed with your reviewer at the time of the review.

How Much Will It Cost?

The technical review fee is \$40/hour, well below market rates for professional editing. This fee is paid by the student. Payment is guaranteed by CIIS, meaning that you cannot graduate until your technical reviewer is paid.

The total cost will depend on the following:

- How well you have attended to the details of your academic style and the CIIS publication requirements
- The number of in-text citations, quotes, and footnotes or endnotes in your manuscript
- The number of tables and figures
- The final page length of the dissertation
- The size of the final Reference List
- The level of assistance you solicit from your technical reviewer

The total cost may come to as little as \$500 for a dissertation in great shape, or as much as \$2,000 for one that needs a lot of assistance. The average dissertation will fall somewhere in the \$600 to \$1,500 range.

How Can I Save Money?

The best way to save money on the technical review is to consult the CIIS style guide for your academic style and follow it precisely. Here are some other tips:

- Check your academic style guide's reference requirements for each type of source you use (book chapter, journal article viewed online, web page, etc.) as you begin working on your proposal. If you don't understand what is required, ask the library or CWS for help, or ask your technical reviewer for guidance. In this way, you can build your Reference List properly from the beginning.
- Schedule a preliminary technical review of your dissertation proposal or thesis draft. Finding out where you're going wrong early on saves time and money later.
- Ask your reviewer for a list of common technical errors so that you can make corrections before submitting your dissertation for review.
- Avoid using a non-CIIS-approved editor to "fix" your academic style before technical review. Even if the outside editor does a perfect job, you'll end up paying twice: your CIIS reviewer will still have to check every single citation against the Reference List and vice versa. There are also CIIS-specific requirements in each style guide. The CIIS technical reviewers are well-versed in these requirements but an outside editor likely will not be.

THESIS & DISSERTATION DEADLINES

CWS works with students during the thesis or dissertation technical review and publication process. Questions about any of these steps should be directed to the CWS Director (email: cws@ciis.edu, phone: 415.575.3495, room: 224, address: 1453 Mission Street, San Francisco, CA 94103).

All theses and dissertations must be reviewed by a CIIS-approved technical editor to ensure that formatting and citation styles follow both the CIIS and the ProQuest/UMI publication guidelines. (See the CIIS Technical Review Contact List and the Style Guide in this document.)

The following steps are designed to ensure that your dissertation will be ready for publication before the deadlines listed in the [Academic Calendar](#). Refer specifically to the section titled Deadlines for Students Finishing a Dissertation or Thesis. Dates will vary slightly each semester.

1. Book your technical editor months in advance of the final review. Contract the editor by sending an e-mail with a brief summary of your thesis or dissertation, your style, your defense date, your anticipated date of graduation, and any other relevant information.
2. The editor writes back to confirm availability.
3. Arrange with the editor a timeline that includes (a) the date by which you'll send the editor the manuscript electronically, (b) the date that the editor will return feedback, and (c) a payment plan to ensure that the editor is paid in full *before* the thesis or dissertation is published. (Again, this timeline must fall within the CIIS deadlines listed in the [Academic Calendar](#).) To save time and money, technical editing should occur when the thesis or dissertation has either already been approved by all committee members or will likely not require extensive content revisions.
4. The editor then goes through the thesis or dissertation and compiles a detailed feedback form of all style and formatting changes needed to prepare it for publication. The editor provides this form to you so that you have the opportunity to gain knowledge of the technical requirements of academic publishing. However, the editor may complete for you basic formatting edits (e.g., changing document margins; reformatting page numbers; rotating pages from portrait to landscape; or inserting tables, figures, and letters of permission to reprint).
5. The editor sends the feedback form to you by an agreed-upon deadline, one that will give you enough time to implement the changes before you submit an edited copy to CWS and to your program chair for final review. At this point, the editor sends an invoice for the cost of the technical review, with clear documentation detailing the number of hours the editor spent on the review.

6. Implement all changes that the technical editor recommended, as well as all content revisions that your committee members requested.
7. Send a final draft of the dissertation to CWS (hard copy to 1453 Mission Street, San Francisco, CA 94103 and digital copy to cws@ciis.edu) along with a copy of the technical reviewer's feedback form. Send another copy to your program chair. Contact your program chair to determine preference for a digital or hard copy.
8. CWS looks over the manuscript, page by page, to ensure that all of the technical reviewer's recommended edits were incorporated, and sends you a list of all remaining edits needed, as well as directions for uploading your thesis or dissertation to ProQuest/UMI ETD for publication.
9. Your program chair sends you any final edits that should be made and approves your dissertation via the [Thesis/Dissertation Approval Form](#), available on the Registrar's and CWS's MyCIIS pages.
10. Make all final edits recommended by CWS and your program chair. You may contact the technical reviewer for additional assistance if you encounter unanticipated challenges in the final stages of editing and formatting.
11. Send the signed Thesis/Dissertation Approval Form to the CWS director (Room 224) and the Registrar's Office. These offices and the student's program must all archive this form. You can submit the Thesis/Dissertation Approval Form as soon as you have obtained all of the required signatures, which may happen as early as your defense.
12. Upload the thesis or dissertation to ProQuest/UMI ETD by the deadline listed in the [Academic Calendar](#) for the semester in which you plan to graduate. Directions for this process will be included in an email to you detailing CWS's feedback on your thesis or dissertation.
13. The CWS director does one final review of the uploaded pdf, verifies that the technical editor has been paid in full, verifies the receipt of your Thesis/Dissertation Approval Form, and approves the thesis or dissertation for publication.
14. CWS notifies the Registrar's Office of this approval. The Registrar's Office confers the degree only after receiving notification from CWS that all requirements have been met.
15. After ProQuest mails CIIS the hard copies of the thesis or dissertation, the CIIS Library files one copy in its stacks, and one copy is mailed to the author. Authors may also purchase additional copies directly from ProQuest/UMI.

CIIS TECHNICAL REVIEW CONTACT LIST

Technical Reviewer	Formats	Contact
Ruth Temple	Chicago, APA, MLA	rutemple@gmail.com (415) 902-6393
Anna Doherty (Together Editing & Design)	Chicago, APA, MLA (also ESL)	anna@togetherediting.com
Laura Neil (Together Editing & Design)	Chicago, APA, MLA	laura@togetherediting.com
Leslie Peters (Together Editing & Design)	APA, MLA	leslie@togetherediting.com
Adam Robbert (Pacific Editing)	Chicago, APA, MLA	info@pacificediting.com
Corinne Donly	APA	corinnedonly@gmail.com
Stephen Julich	Chicago, APA	sjulich15@gmail.com

CIIS–APA STYLE SHEET

This section describes the general rules for formatting your dissertation or thesis according to CIIS's and the American Psychological Association's (APA) guidelines for academic writing. The APA currently uses the *Publication Manual of the American Psychological Association's (6th ed.)* author-date citation system. Students are advised to consult this work frequently.

All section references listed below refer to this edition of the manual. In a few cases, CIIS requirements vary from the APA rules, all of which are noted in this document. In those instances, *students should follow the CIIS requirements.*

Any variation from these formatting guidelines needs to be explained in the dissertation proposal, approved by the committee chair, and listed in detail in a style sheet that is signed by the committee chair and submitted to the technical reviewer along with the manuscript.

1. Formatting the Entire Document

a. Top margins and bottom margins. The top and bottom margins should be set to one inch (1"). These margins must be used consistently throughout the document.

b. Side margins. The right and left margins should be one and a half inches (1.5") to allow for binding. These margins must be used consistently throughout the document, including with tables and figures.

c. Document titles. Do not use a running header on your document (i.e., don't include the title on each page).

d. Page numbers. The page numbers should be centered on the bottom of the document and placed inside the margins. They should appear at the same place consistently throughout the document. In the page footer, page numbers should be placed three-quarters of an inch (0.75") from the bottom of the page. See the Sample Standard Pages section of this document to see which pages do not have numbers, which use lower-case Roman numerals, and which use Arabic numerals.

e. Font and font size. The entire text, including the page numbers, must be produced with the same font or typeface. You must use one of the following commonly available fonts for the main body of your text. All fonts should be set at 12 point size.

Arial
Bookman
Helvetica

Cambria
Palatino
Times New Roman

Exceptions are made only for tables and figures produced by different technologies, for images produced by graphic artists, or for passages of non-Roman script. Keep all font sizes between 11 points and 14 points (including text in graph labels and internal text within figures). ProQuest/UMI shrinks the page size of dissertations by 27% when publishing. Therefore, all superscripts—such as callout numbers for footnotes or endnotes—should be at least 14-point font to be legible in the final, printed version of your dissertation.

f. Diacritical characters, symbols, and non-Roman scripts. Whenever possible, print your diacritics (accent marks) using symbols or special fonts instead of writing them in by hand. Do likewise if you use scientific symbols (e.g., ∞) or currency symbols (e.g., ¥, £). Look for these under Symbols in your word processing software.

If you have extensive quotations from languages other than English, consider using the original characters (e.g., Chinese characters, Japanese kanji, Sanskrit script) rather than a Romanized transliteration. Add-on fonts for Chinese, Japanese, Korean, Greek, Hebrew, and Arabic are available for standard word processing applications.

If you only occasionally use terms (e.g., abhidhamma, mudra) or names (e.g., Shōbōgenzō, Hemmawihio) in a language other than English, use the transliterated term, in Roman characters.

All special characters, subscripts, and superscripts must be large enough to be read once UMI processes your document. To check, photocopy a test page using a 27% text reduction. If the symbols, characters, sub- or superscripts are still legible, then they are probably large enough.

g. Spelling, punctuation, abbreviations, italics, capitals, quotation marks, and numbers. Use American English spelling as found in *Merriam-Webster's Collegiate Dictionary*. Follow APA guidelines on spelling (4.12–4.13), punctuation (4.01–4.11), abbreviations (4.22–4.30), italics (4.21), capitals (4.14–4.20), quotation marks (4.07–4.08), and expression of numbers (4.31–4.49).

h. Line spacing. The dissertation must be double-spaced throughout the body of the text—except for block quotes (see section 3c of this document for more details). Items in the Reference List or in notes are single-spaced within each entry, but must be double-spaced between each entry. The Table of Contents, List of Tables, List of Figures, and lengthy table or figure titles may also be single-spaced within each entry, but double-spaced between each entry.

i. Justification. Do not right-justify any of your text. All text should be left-aligned (i.e., flush with the left margin, except for indentations, headings, and graphic images). Do not use columns or sidebars and do not wrap text around images or figures; place figures as large on a page as possible.

j. Indentations. Begin each paragraph with a half-inch (0.5") indentation. Block quotes are indented one half-inch (0.5"). See section 3c of this document for more

details. Don't manually enter spaces. Instead, use tabs to indent (or better yet, format a style sheet in your word processor). Tables, figures, and graphic images can be either centered on the page or flush with the left margin, but be consistent with their placement.

k. Continuing from one page to the next. Make sure that you don't have only the first line of a paragraph as the last line on a page (often called a "widow"), the last line of a paragraph as the first line at the top of a page (often called an "orphan"), or a heading title all by itself, with its corresponding text on the next page. If this happens, you may manually break to a new page so the next page begins with the top of the paragraph or the heading and the text associated with it. Microsoft Word automates some of this process with the Widow/Orphan feature found in the Pagination section of the Format Paragraph menu.

l. Page breaks. Chapters begin on new pages. However, there should not be a page break between sections or before tables or figures, unless they occur naturally. Tables may continue onto multiple pages, or you may choose to format a table turned 90° (to landscape orientation).

m. Naming conventions, translations and transliterations, chronological conventions. When referring to people who are not named according to European conventions, it is preferable (but not required) to use the indigenous form of their names (e.g., Wu Yi). Whatever form of the name you use, be consistent throughout the dissertation.

When citing authors' works commonly known by honorific titles, you may refer to these writers and cite them according to their honorific title in the body of your text. Footnotes may be used to explain the evolution of an individual's name in more detail if the author used a number of names over the years. In your reference section, list the author by her or his honorific title, and include the author's birth name in parentheses following the title. For example, a reference to a text by Maharishi Mahesh Yogi (whose birth name is Mahesh Pasad Varma) would read:

Mahirish Mahesh Yogi (Mahesh Pasad Varma). [year]. [Title of Publication].
[City, ST: Publisher].

When using transliterated words or terms, explicitly state the transliteration schema you are using (e.g., Wade-Giles or Pinyin, for Chinese) and be consistent. This information should be stated in a substantive footnote given upon the first usage of the transliteration scheme.

n. Footnote or endnote formatting. The APA uses an author-date format for in-text citations. Footnotes for references are not used. Content footnotes may be used sparingly. (See section 2.12 for more information.)

All footnotes must be numbered in one consecutive list for the entire document. Use a line at the bottom of the text on that page to mark where the text ends and the footnote begins. The entire text of the footnote must fit on the same page as

the reference appears, so adjust the bottom margin of pages accordingly. Microsoft Word can render the line at the bottom of the text automatically, and you can set the style of footnote text to keep the text together as well. Footnotes must be no smaller than 11-point text.

Both endnotes and footnotes are single-spaced within the individual note and double-spaced between notes.

Callout numbers (superscript numbers) for footnotes or endnotes should be at least 14-point font so that numbers will be legible in the final, printed version of your dissertation.

o. Placement of tables and figures. Each table, figure, photograph, or image should appear as soon as possible after its mention in the text. If fitting the table or figure all on one page means putting the table or figure on the top of the next page, fill up the rest of the page where you mention the table or figure with text. Do not leave blank lines.

p. Appendices. The order of appendices in the back matter of the dissertation is determined by the order in which they are mentioned in your text. Therefore, the first appendix mentioned in your text should be named Appendix A and appears immediately after your reference list; the second appendix mentioned in the text should be labeled Appendix B; the third appendix mentioned in the text should be labeled Appendix C, and so on.

2. Graphic Images

a. Non-original images. If you are using an image that is not your individual, personal creation, you need permission from the original artist or copyright holder to use it, even if you found that image on a website or other “free” source. See section 3k in this document for more details.

b. Text legibility. If you include a map or a graph, make sure that any text, including labels and captions, will be legible when UMI reduces the font size during publishing. The font used must be 11-point type or larger. Text of captions must be size 11-point or larger.

c. Captions. All graphic images—tables, figures, graphs, photographs, and so on—must have a caption that includes the title of the image and its source (even if it is your own work). See section 5.23 for figure captions, section 5.12 for table titles, and section 5.16 for table notes. If the graphic image is from a printed source or an Internet source, you must obtain the copyright holder’s written permission to reprint the image (see section 3k for details). The caption title is then included in the List of Tables or List of Figures in the front matter.

d. Tables. Follow the guidelines in sections 5.07–5.19 (see especially the table checklist in section 5.19). Tables should be numbered consecutively throughout the main text.

e. Figures. Follow the guidelines in sections 5.20–5.30 (see especially the figure checklist in section 5.30). Figures should be numbered in one consecutive list throughout the main text.

f. Color in images. ProQuest/UMI's methods for processing dissertations that are electronically submitted (using their ETD system) will preserve color and shading in your images. If for some reason you cannot submit your dissertation electronically and it must be sent in paper format, color and shading will be lost to black and white reproduction, possibly making those images illegible.

g. Numbered sections, lists, and bullet points. In general, your text should be written as a narrative. However, numbered lists or bulleted points are sometimes appropriate, if formatted correctly and consistently. Follow the guidelines given in section 3.04 for help on formatting and including lists.

h. Maps. Except for certain US Government publications, maps are considered creative works. You must obtain a letter of permission from the copyright holder to include a map in your dissertation. However, it is permissible to create your own map, as a derivative work. In those circumstances state "Based upon . . ." and give a full citation to the original work in the caption.

i. Tables and graphs contained in the final document. In the final version of your dissertation, include all graphic images as part of the unified doc or pdf file. While you may have created a figure in a separate document, it must be incorporated into the final document before submission.

j. Listing images. The titles of all images (tables, figures, photographs, maps, etc.) are listed immediately after the Table of Contents, on a separate page entitled List of Tables and Figures (or just List of Tables or List of Figures, as appropriate). See the Sample Standard Pages in this document for examples. If there are both tables and figures, but only a few of each, these can be combined on one page entitled List of Tables and Figures. If, however, there are more than five of each type, include an individual List of Tables and List of Figures on separate pages.

k. Figures and tables in appendices. All figures and tables in the appendices must be numbered. If you have multiple tables within an appendix, please label each table with a number (sequentially) preceded by the letter of the appendix in which the table appears (Table A1, Table A2, Table A3, etc.). All tables and figures in the appendices must appear in the List of Tables and Figures in the front matter.

3. Quotations and Citations

a. Format. The APA uses an author-date format for in-text citations. Review carefully the material given in sections 6.01–6.21 of the APA's style manual for general instructions. All citation rules must be followed to the letter.

b. Citing quotations. All quotes—even an epigraph or framing quote—must have a complete citation that includes a page or, in the case of unpaginated work such as web pages, a paragraph number or section title.

c. Block quotes. All quotations of 40 or more words do not use quotation marks; instead, these are set apart from the body of your text (see sections 4.08 and 6.03 for more details). Note the following CIIS-specific requirements for formatting block quotes. (These rules also apply to epigraphs and framing quotes.)

Indent the quote one-half inch (0.5") from the left margin. Text within the quote is single-spaced, but there is a single empty line of space between it and your words above and below the quote. If the block quote is longer than one paragraph, indent the first line of the second and subsequent paragraphs an additional one-half inch (0.5"). When quotes appear within the block quote, they are formatted with double quotes instead of single quotes.

d. Secondary quotations. A secondary quotation occurs when author A quotes author B. Here's an example:

Jones proves that at least one scholar disagrees with the premise of this argument: "Blah blah blah; however, 'blah blah blah'" (Smith as cited in Jones, 2001, 35).

In the text, use double quotes (" ") to mark what author A writes. Within that, use single quotes (' ') when author A uses quotes to show what author B wrote. Follow directions in section 6.17. In the example above, Jones (2001), the secondary source, appears in the Reference List, whereas Smith does not: Jones (2001) is the source you actually consulted. Please note that secondary sources should be used sparingly at this level of scholarship.

e. Shortened quotations. If you delete any words from within the quotation, use ellipses to indicate you have removed words. (See section 6.08.) Do not use ellipses (. . .) at the beginning or the end of quoted material. If you added any content to the quote, include it in square brackets [] to indicate that they are your words. When formatting quotations, be sure that the quote does not have "widow" or "orphan" text (i.e., one line by itself at the top or bottom of the page). If you discover this problem in your final reviews, you may need to move the quote to the following page.

f. Internet resources. Review section 7.11 for documentation requirements for sources retrieved online, including websites and blogs. CIIS requires a one-to-one match between sources cited in the text and the Reference List, so you must add Internet resources to your Reference List. All sources, whether digital or hard copy, must appear in the references.

Your Reference List entries should contain the following:

- Publication date or year,
- Content author,
- Title of the web page you reference (the exact web page you reference, not the homepage of the site),
- Site name or sponsor of site, and
- A URL that leads directly to the *actual page you used*.

Your author-date citations should be based on the preceding information as it appears in your reference list. Do not use URLs in place of citations, those are placed in the Reference List entry.

g. Dissertations. Follow the APA format for dissertation references but also include DAI accession numbers (see section 7.05 for correct documentation elements). The necessary details can be found by searching Dissertation Abstracts or Digital Dissertations from the CIIS Library website.

h. Media. Citations to audio-visual materials (including audiocassettes) should be formatted according APA guidelines for film and video (see section 7.07).

i. Lectures. If you are citing notes you took from an unrecorded talk or lecture, treat this as an unpublished interview. See section 6.20. If the lecture was recorded, cite the recording using the appropriate media format.

j. Email messages. Citations to personal email messages are treated like personal communications. See section 7.10, but any quotations from these sources require a written letter of permission to reprint from the author.

Citations to messages posted on a discussion list or newsgroup must be cited according to the format in section 7.11; however, quotes from these sources do not need a written letter of permission to reprint.

k. Reprint permissions for published work. Extensive quoting of an individual work requires written reprint permission from the copyright holder of the work (warning: the copyright holder is not necessarily the author, but may be the publisher). An *individual work* is defined as a work that deserves individual citation. For example, a chapter in an anthology would be counted as an individual work, as would a journal article or blog post.

You should acquire reprint permissions in order to republish content in your dissertation in the following circumstances: (a) you quote more than 1.5 pages (or roughly 1,000 words) of *consecutive* text from an individual work, or (b) you include approximately 10% of an individual work's volume in your dissertation, in the form of many quotes. Note that for a very short work, 1,000 words/1.5 pages could be more than 10%, in which case the smaller limit applies.

These requirements apply even for your own work, if it has been published. There are some exemptions for works that are truly in the common domain, but recent changes in US copyright laws make it complex to determine if a work falls into common domain. When in doubt, request permission to reprint.

[UMI copyright guidelines](#) should be thoroughly read and applied to your dissertation.

l. Reprint permission for creative works. When you include any graphic image created by someone other than yourself (including photographs, icons, or line art), or more than 1/3 of any unpublished poem or song or creative writing, you must have a written, signed letter of permission to reprint.

The only exception to this rule is when the creative work(s) were created as part of the research for the dissertation study and if the release from each participant specifies that creative works resulting from this study may be printed in the dissertation and published by UMI. If the creative works produced as part of the research study need to be kept confidential and if permission to reprint or publish was not included in the participants' signed releases, then the dissertation also needs signed letters of permission from the authors or artists, including their full names. However, in these circumstances the letters of permission are not reprinted with the dissertation but are kept separately by UMI, to maintain confidentiality.

m. Translations. All translations must be fully cited, even if you are the translator of the passage. Follow the guidelines given in section 6.18 for citing translated works.

If the translation includes more than 1.5 pages (or roughly 1,000 words) of consecutive text in a verbatim quote, then a reprint permission is required. When making many verbatim quotes from a whole work, students are advised to keep to less than 10% of the total volume of the individual work (see Section 3k).

n. Quotations in footnotes or endnotes. Quotations appearing in a substantive footnote or endnote must also be accompanied with a full author-date citation, and that source must be included in the Reference List.

o. Reprint editions. Follow APA instructions on formatting citations for reprinted material in-text (4.11) and in the Reference List. (7.02, ex. 21)

p. Statistics and numeric data. Statistics and numeric data are considered analogous to direct quotations and must be cited as such, with the author(s), date, and page number(s) on which the statistic was found. If you find statistics from a website or document that has no page numbers, please include the paragraph number. If you retrieve a statistic from a table that has no page number or paragraph number, write the table number in which the statistic is located.

4. Reference List

a. One list. Use what the APA calls a Reference List, which is not the same as a Bibliography. *This is a critically important detail.* A Reference List has a 1:1 correspondence with all sources cited in the text (except for personal communications). In this system, there is only one alphabetical list of all citations that have appeared in your text, and it is not divided into sections or categories. If a Bibliography of related works is important to your research, include it as an appendix. All works in such a Bibliography must also appear in the (one, full) Reference List.

b. Format. Reference entries should follow the guidelines given in Chapter 7 of the APA manual.

c. Correspondence with text. All sources cited in the text must appear in the Reference List, and all entries in the Reference List must be cited in the text. The citations must match exactly. Do not, however, include works that were not directly cited. (See Section 3d regarding secondary quotations.)

d. Arrangement. Follow sections 6.22–6.32 for guidance on alphabetizing entries.

5. Table of Contents and Headings

a. Headings. The APA has specific formatting requirements for the expression of headings (see section 3.03). These requirements must be followed consistently throughout the dissertation. CIIS rules for the expression of chapter titles must also be followed. The CIIS–APA heading schema appears as follows.

CHAPTER TITLE

Level 1

Level 2

Level 3.

Level 4.

Level 5.

Note that the chapter title also serves as the heading for the first section of text within a chapter. A chapter title followed by a section heading is considered redundant. Additionally, headings at levels 3, 4, and 5 can be placed either in-line with the first line of that paragraph, as described in the APA manual, or on their own lines, indented .5" but separated from the rest of the paragraph by one line of space.

Figure out how many levels of headings, subheadings, and sub-subheadings your document uses or will need; generally three, four, or five levels of headings will be sufficient for a dissertation. Remember that there must be at least two headings at a sub-level to break to that next outline header level; if there is just one sub-section keep it at the same outline/header level in your titling scheme. Use your most detailed chapter to create a template for your dissertation.

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c. List of Figures and Tables. If the dissertation includes any graphics, there should be a separate List of Tables and Figures that follows the Table of Contents. If there are five or fewer tables and figures in your dissertation, you may create one combined list. If there are more than five tables or figures, then make two separate lists (a List of Figures and a List of Tables). If there are only figures or only tables, then title the list appropriately (e.g., List of Figures or List of Tables).

d. Table of Contents. The Table of Contents must include the following:

- Abstract
- Acknowledgements (if any)
- Dedication (if any)
- Not the Table of Contents itself but the List of Tables, List of Figures, or List of Tables and Figures (if any)
- All headings and subheadings used in the body of your dissertation
- Reference List
- Appendices listed individually (if any)

e. Page numbers in the Table of Contents. These page numbers must be accurate. CIIS recommends the use of heading styles, which allow your word processing software to generate the Table of Contents automatically. If you are entering these manually, then wait until the entire dissertation is complete before adding the page numbers.

f. Dissertation pagination. The first elements of the dissertation—the Title page, Certificate of Approval page, Copyright page, and reprint permission letters (if necessary)—have no page numbers at all. They are counted, however, and the Abstract uses a lower-case Roman numeral (romanette) that reflects its placement as counted from the title page. The rest of the front matter (everything leading up to the first page of Chapter 1) continues with romanette numerals. The first page of Chapter 1 begins on Arabic numeral 1, and all the remaining text continues this numbering scheme. See the Sample Standard Pages in this document for examples.

6. Standard Pages

a. Required pages. Each CIIS dissertation should include the following, in this order:

- Title page
- Certificate of Approval page
- Copyright page
- Abstract
- Table of Contents
- List of Figures or Tables (if graphic images are used)
- Dissertation text
- References

Other sections are optional, depending on your work. The correct order of these sections and their page numbers are indicated on the Sample Standard Pages below.

b. Title page. This page should contain the following information, and only this information:

- DISSERTATION TITLE IN ALL CAPITAL LETTERS
- Your legal name
- The phrase: A Dissertation Submitted to the Faculty of the California Institute of Integral Studies in Partial Fulfillment of the Requirements for the Degree of
- Your degree name and program (see section c below)
- California Institute of Integral Studies
- San Francisco, CA
- Year

This text should be centered on the page and evenly distributed across the top and bottom. Use the standard margins. This page is number i; the page number does not show.

c. Degree and program names. Currently CIIS gives the following doctoral degrees. Check with your advisor about which one to use for your work.

- Doctor of Psychology in Clinical Psychology
- Doctor of Philosophy in Anthropology and Social Change
- Doctor of Philosophy in East-West Psychology
- Doctor of Philosophy in Human Sexuality
- Doctor of Philosophy in Human Sexuality with a concentration in Clinical Practice

- Doctor of Philosophy in Human Sexuality with a concentration in Sexuality Policy Leadership
- Doctor of Philosophy in Integral and Transpersonal Psychology
- Doctor of Philosophy in Philosophy and Religion with a concentration in Asian and Comparative Studies
- Doctor of Philosophy in Philosophy and Religion with a concentration in Asian Philosophies and Cultures (begins Spring 2016)
- Doctor of Philosophy in Philosophy and Religion with a concentration in Ecology, Spirituality, and Religion
- Doctor of Philosophy in Philosophy and Religion with a concentration in Philosophy, Cosmology, and Consciousness
- Doctor of Philosophy in Philosophy and Religion with a concentration in Women's Spirituality
- Doctor of Philosophy in Transformative Studies
- Doctor of Philosophy in Transformative Studies with a focus in Integral Studies
- Doctor of Philosophy in Transformative Studies with a focus in Consciousness Studies

d. Certificate of Approval. This page lists each of your committee members, their degrees, and their affiliations. There are no signatures on this page. This is page ii, no page number shows. Print a signature line for each member of your committee, including your external reader (if you have one). List the committee chair first, then other CIIS faculty, and then non-CIIS committee members.

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e. Copyright assertion page. This page includes the copyright symbol (©), the year you completed the dissertation, by your legal name. Should you include in your dissertation any portions of your work that have a separate copyright, then underneath state: Except [describe portion], copyright [year]. If you include works by others that require reprint permission, there is no need to include those details on this page. Instead, place the letters of permission to reprint immediately after the title page. This is page iii, no number shows.

f. Abstract. Follow the sample page format and content as shown below. Do not include any graphic images, charts, tables, or bulleted lists in this narrative. Dissertation abstracts are cut off abruptly at 350 words, so please keep yours to less than this amount. This is the first page where a number shows, and will be page iv unless there are letters of permission to reprint, in which case it will be moved down accordingly. Permissions letters are counted but no page number shows.

7. Submitting Dissertations Electronically

Dissertations are submitted to the Director of the Center for Writing and Scholarship.

Once you have incorporated all corrections that surfaced in your technical editor's review and have successfully defended your dissertation, then:

1. Print a copy of your complete dissertation (including front matter, appendices, images—everything). You may print double-sided on recycled content paper. This hard copy (along with a digital copy emailed to cws@ciis.edu) goes to the Director of the Center for Writing and Scholarship by the deadline listed in the [Academic Calendar](#) for the term in which you are graduating. See “Thesis and Dissertations Deadlines” section above for a full review of submission steps.
2. The Director of the Center for Writing and Scholarship checks your print dissertation against your technical reviewer's feedback (for items missed and also to review the editor's work). If any corrections are identified in that review, the Director will let you know and you will make those changes to your dissertation file.
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9. Sample Standard Pages

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Note that all font, spacing, and heading requirements should be reproduced as shown in the samples below. The sections inside the square brackets [] indicate where to place your particular information. Do not use the brackets themselves in your finished document.

[DISSERTATION TITLE, IN ALL CAPITAL LETTERS, double-spaced]

by

[Your legal name]

A Dissertation Submitted to the Faculty of
the California Institute of Integral Studies
in Partial Fulfillment of the Requirements for the Degree of
[Your Degree And Program Here]

California Institute of Integral Studies

San Francisco, CA

[year]

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[chair's name, chair's academic degree], Chair
[Professor / Program Director / Faculty] [CIIS program name]

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APPEARS ON THE TITLE PAGE AND THE SIGNATURE PAGE

ABSTRACT

The text of your abstract starts two lines below the heading. Each paragraph should be indented, and the text should be double-spaced. It should be no more than 350 words. Within that limit, it can extend onto a second page.

Good abstracts start with a succinct statement of the problem, issue, or question you studied. Follow this statement with a brief description of your methodology and an explanation of how you collected your data. If your work involves collecting information from a group of people, include a short description of how you defined and selected the respondents. Finish with a summary of your findings, but leave out discussions of the importance or relevance of your results. Do not include any graphic images, charts, tables, or bullet points list in this narrative.

This is the first page in the front matter where a page number shows, and if there are no letters of permission immediately preceding, will be page iv.

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2. ProQuest's [link to UMI's viewpoint page](#) on why to publish with them
3. The University of Iowa Press on [Revising Humanities Dissertations for Publication](#) with suggestions for how dissertations should be changed before submission for publication in book format
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