



# **California Institute of Integral Studies**

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

## TABLE OF CONTENTS

Overview .....	1
The Technical Review Process .....	1
How Does Technical Review Work? .....	2
How is the Work Divided? .....	2
How Much Will It Cost? .....	3
How Can I Save Money? .....	3
Thesis & Dissertation Deadlines .....	4
CIIS Technical Review Contact List .....	6
CIIS–Chicago Style Sheet .....	7
1. Formatting the Entire Document .....	7
2. Graphic Images .....	10
3. Quotations and Citations .....	12
4. Reference List .....	15
5. Table of Contents and Headings .....	16
6. Standard Pages .....	17
7. Submitting Dissertations Electronically .....	19
8. Supplemental Files .....	20
9. Sample Standard Pages .....	20
FAQs for Publishing With ProQuest/UMI .....	27
Is My Dissertation Published or Unpublished? .....	27
Is Publishing With ProQuest Required? .....	27
Should I Choose Open Access or Traditional Publication? .....	27
When Did I Choose Between Open Access and Traditional Publishing? ..	28
What Does “Third-Party Sales” Refer to in the ProQuest Agreement? .....	28
How Should I Cite My Completed Dissertation? .....	28
Can I Publish My Dissertation as a Book or an Article? .....	29
How Do I Place an Embargo on Publication of My Dissertation? .....	29
When Will My Dissertation Be Published and Mailed to Me? .....	30

## 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](mailto: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](mailto: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](mailto: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–CHICAGO STYLE SHEET

This section describes the general rules for formatting your dissertation or thesis according to CIIS's and *The Chicago Manual of Style's* (16th ed.) notes and author-date citation systems. While you are free to use either the notes or the author-date system, students working in the humanities (e.g., philosophy, religious studies) are advised to use the notes system, while students working in psychology or anthropology are advised to use the author-date system.

All section references listed below refer to *Chicago's* 16th edition. In a few cases, the CIIS requirements vary from these 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.,  $\infty$ ) 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. Follow *Chicago's* guidelines on italicizing non-English words; for more details, see section 7.49.

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, quotation marks, numbers, and lists.** Use American English spelling as found in *Merriam-Webster's Collegiate Dictionary*. Follow guidelines on punctuation (Chapter 6), abbreviations (Chapter 10), italics, capitals, and quotation marks (6.111–6.12, 7.47–7.76), expression of numbers (Chapter 9), and lists and seriation (6.121–6.126).

**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 (sometimes referred to as 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. See sections 11.91 and 11.94–11.95 for more details and instructions.

**n. Footnote or endnote formatting.** You may use footnotes or endnotes for content notes, but not both. For detailed instructions on use of footnotes and endnotes, please refer to Chapter 14.

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 appear 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 sections 3.21–3.36 for details. 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 3.46–3.85. Tables should be numbered consecutively throughout the main text.

**e. Figures.** Follow the guidelines in sections 3.8–3.9 (for illustrations) and 3.40–3.45 (for charts). 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 & 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 sections 6.121–6.126 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.** Chicago offers three options for citing references in your text: footnotes, endnotes, or in-text citations using the author-date format. Any one of these is acceptable but you must use the same format consistently throughout your dissertation. For the author-date system see sections 15.6–15.55; for footnotes and endnotes see sections 14.14–14.37 and 14.38–14.43.

*If you use the notes system, please be aware that CIIS requires that you use the short form of notes.* Please refer to sections 14.24–14.31 for information about using shortened citations. Remember that callout numbers for footnotes and endnotes should be at least 14-point font so that numbers will be legible in the final, printed version of your dissertation.

Also note that CIIS does not use the bibliography format. CIIS requires all students to use a Reference List (see Section 4a–4d of these guidelines).

**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 50 or more words do not use quotation marks; instead, these are set apart from the body of your text (see section 13.10). Note also the below CIIS-specific requirements for formatting block 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 quoted 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 sections 14.273 and 15.52 for how to cite and include these secondary sources in the Reference List. In the example above, Jones (2001), the secondary source, appears in the Reference List, whereas Smith (1991) 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 sections 13.48–13.56. 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 (see sections 13.57–13.58). 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 sections 14.243–14.246 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 (see section 15.51 for using access dates with undated websites),
- 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 *Chicago* format for dissertation references but also include DAI accession numbers (see section 14.224 for correct documentation elements, but follow the formatting rules for the Reference List system). 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 to *Chicago* guidelines for film and video (see section 15.53 for author-date citations or sections 14.274–14.280 for note citations).

**i. Lectures.** If you are citing notes you took from an unrecorded talk or lecture, treat this as an unpublished interview. See sections 14.226 and 15.48 except label it “lecture” instead of “interview,” and include the place as well as the date of the talk. 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 14.222, 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 given in section 14.223; 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 U.S. 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 sections 13.71–13.79 in the *Chicago* for further instructions.

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 *Chicago* instructions on formatting citations for reprinted material (see section 15.38 for the author-date system and 14.119 for the notes system).

**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 Chicago 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 general guidelines given in Chapter 15. Note that the Reference List is different from a Bibliography, which is addressed in a separate section of the 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 15.11–15.13 for guidance on alphabetizing entries.

## 5. Table of Contents and Headings

**a. Headings.** 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. Use a visually different form for each level of heading and subheading, following guidelines in sections 1.53–1.56. 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.

**b. Correspondence between the Table of Contents and headings.** Headings must be worded identically in the text and in the Table of Contents. The Table of Contents needs to include all headings and subheadings used in the text.

**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.

For each CIIS committee member, list the type of faculty appointment and include the program name and faculty rank (e.g., Program Director, Professor, or Faculty. For committee members outside CIIS, list only their highest academic degree and their school or other relevant information, such as an institution name (no program or department is necessary for these committee members).

**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:

- a. 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](mailto: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.
- b. 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.
- c. If you haven't already done so, put all the components of your dissertation into one continuous doc file (instead of in separate files). If you have any difficulties with this process, your technical reviewer should be able to help you.
- d. Convert that unified doc file into pdf format. Recent versions of Microsoft Word allow you to "save as" a pdf file in the print dialog box, but if you're working with an earlier version of this software or other word processing program and don't have that capability, you can also do this at a later stage using ProQuest/UMI's document conversion app.
- e. The Director of the Center for Writing and Scholarship will confirm via e-mail after checking your dissertation that you are ready to move forward. The e-mail will contain information for creating your UMI ETD account. Click on the link labeled "Submit My Dissertation," set up your account, and work through the steps outlined by the system. This process automates ProQuest/UMI's forms and paperwork, and also creates the framework for you to upload your dissertation file. You don't have to do this all in one sitting; you can come back to continue the submission process if you are interrupted or if you have questions.
- f. When you have completed the ETD process, the CIIS administrators will be notified. Once they have confirmed that you have paid your technical editor in full and that your department chair has signed off on your dissertation

tracking forms, they will sign off on your work, deliver it for publication, notify the Registrar's Office, and confirm with you.

## **8. Supplemental Files**

If you have a multimedia dissertation and need to include supplemental files with your dissertation, please visit [the ProQuest website for directions for submitting supplemental files](#) (go to the Submission and Technical Support Questions section).

## **9. Sample Standard Pages**

The following pages illustrate the required format for all front matter, including the Title Page, the Certificate of Approval page, the Copyright page, the Abstract, the Table of Contents, and the List of Tables and figures.

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]

## CERTIFICATE OF APPROVAL

I certify that I have read [YOUR TITLE, exactly as it appears on the title page] by [your legal name], and that in my opinion this work meets the criteria for approving a dissertation submitted in partial fulfillment of the requirements for the [your degree and your program] at the California Institute of Integral Studies.

---

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

---

[CIIS committee member's name, committee member's academic degree]  
[Professor / Program Director / Faculty] [CIIS program name]

---

[External Reader committee member's name, academic degree]  
[School name or other professional affiliation]



© [year] by [your legal name]

[Your legal name, flush with the left margin, at the first line of the page]  
California Institute of Integral Studies, [year of graduation]  
[Chair's name], [Chair's academic degree], Committee Chair

TITLE OF YOUR DISSERTATION / THESIS, IN ALL CAPITAL LETTERS  
AND CENTERED, SINGLE-SPACED, WORDED EXACTLY AS IT  
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.

## TABLE OF CONTENTS

Abstract.....	iv
Acknowledgments [optional] .....	vi
List of Tables.....	xi
List of Figures .....	x
Chapter 1: Introduction [section heading 1] .....	1
Context of This Inquiry [subheading 1]. .....	2
Evolution of the Research Question [sub-subheading 1].....	5
Research Question [sub-subheading 2] .....	7
Significance [subheading 2].....	8
Chapter 2: Historical Background [section heading 2].....	9
First Era [subheading 1] .....	10
Transition between eras [sub-subheading 1] .....	14
Implications [sub-subheading 2]. .....	16
Second Era [subheading 2] .....	18
References .....	189
Appendix A: [Title in Title Case] .....	201
Appendix B: [Title in Title Case] .....	203

## LIST OF TABLES AND FIGURES

Table 1: Study participants and their demographic characteristics .....	36
Table 2: Table of relevant factors, based on the work of so-and-so .....	59
Figure 1: Diagram of our process .....	42
Figure 2: Drawing made by first two study participants with a much longer title that runs into a second line .....	51

## FAQS FOR PUBLISHING WITH PROQUEST/UMI

For ProQuest technical assistance: 1.877.408.5027

For queries regarding payments and ordering copies: 1.800.521.0600 x77020 or email [disspub@proquest.com](mailto:disspub@proquest.com)

### Is My Dissertation Published or Unpublished?

When you submit your dissertation to ProQuest, you (as the copyright holder for your work) decide on a number of access-related questions. ProQuest asks whether you want to allow them to provide full text access to your dissertation through their database, ProQuest Dissertations & Theses. This is what they consider “publishing.”

### Is Publishing With ProQuest Required?

Yes, you must upload and publish your complete and final dissertation copy in order to have your degree conferred by the California Institute of Integral Studies. Please contact the Center for Writing and Scholarship ([cws@ciis.edu](mailto:cws@ciis.edu)) or view the [Academic Calendar](#) for a list of deadlines pertaining to graduation requirements.

### Should I Choose Open Access or Traditional Publication?

For more information on your publication options, please visit [the Publishing Options Guide](#). For information related to open access publishing, please visit [the Open Access Overview](#).

In the traditional publishing option, ProQuest/UMI holds the copyright and can sell copies of the dissertation within academic databases you may have consulted in your research; it is commercial publishing, pure and simple. In open access, the student may choose to make the dissertation freely available on their own. At present, CIIS allows students to select the ProQuest/UMI publishing option that best meets their needs as long as they submit their document to ProQuest/UMI in one of these two forms to satisfy the graduation requirement.

ProQuest/UMI charges a fee for both options; however, with the open access option, ProQuest/UMI has the potential to lose some revenue, so they charge more for this option up front. CIIS covers the cost of the traditional publishing option. If students want their work available through the open access option, those students pay the difference in fees.

For CIIS, without any federally-funded research to be concerned about, open access isn't all that important—unless you plan to put large chunks of your dissertation (that are verbatim and in *exactly* the same format) up on a website. Your text is yours either way. (Note: If you choose traditional publishing, you can always re-write or reformat your dissertation to reuse it as you see fit—provided that it's not identical to what appears in ProQuest/UMI's product.)

## **When Do I Choose Between Open Access and Traditional Publishing?**

When a student applies for graduation and pays related fees (generally within one year of the actual graduation date) open or traditional publishing is selected and the fee is adjusted accordingly. Remember that ProQuest charges more for the open access option (\$95) because they waive the right to sell the document through a third-party vendor. (Note: These fees are nonrefundable, so we suggest that you do your best to research your publication options before applying to graduate.)

## **What Does “Third-Party Sales” Refer to in the ProQuest Agreement?**

It’s worthwhile to think about how you will use your dissertation down the road so that you are not boxed in by contractual obligations in the future. You might decide that it’s more important to be discoverable via an Amazon search than it is to put your dissertation up online as a free e-text, where it may be discoverable and free through search engines. Note that ProQuest/UMI will sell traditionally published dissertations through Amazon and other electronic vendors commonly used in academic research, but it doesn’t do that for open-access publications.

If you chose the traditional publication option, then upon uploading your final draft to ProQuest/UMI, you will also answer questions concerning your agreement (or not) to allow third-party sales of your dissertation (by a vendor like Barnes & Noble or Amazon, for instance). For this option, if sales exceed \$100 in one year, you will receive royalties if you selected to allow for this possibility. If you chose this option, make sure you keep your contact information up to date with ProQuest so they can mail you a check when the need arises. Your agreement with ProQuest/UMI is a *non-exclusive publishing agreement*. In other words, you maintain the copyright to your work, but you agreed to have ProQuest publish and sell your dissertation.

If you need more information, see [Submitting Your Dissertation or Thesis to ProQuest](#) or see the [Dissertations and Master’s Theses Traditional Publishing Agreement](#).

Should you have further questions about the details of your arrangement with ProQuest, you might consider contacting their author relations team. These are also the people with whom you should update your contact information if you are eligible for royalty payments.

## **How Should I Cite My Completed Dissertation?**

The format for citing a dissertation will vary by style. As an example, here is how you would cite your dissertation in APA (6th ed.) style:

Chapman, J. E. (2014). *Teaching into the heart of knowing in online education: Aesthetics & pragmatics* (Doctoral dissertation). Available from ProQuest Dissertations and Theses. (No. 3551347)

### **Can I Publish My Dissertation as a Book or an Article?**

There are a variety of different viewpoints on this question. After reviewing the resources below, we suggest you consult with your program chair and dissertation committee for their feedback. Generally, it is expected and desirable that information be shared with the academic community through the publication of a dissertation.

1. Kenneth Crews's [Copyright and Your Dissertation or Thesis: Ownership, Fair Use, and Your Rights and Responsibilities](#)
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
4. The article, [From Dissertation to Book](#), printed in *The Chronicle of Higher Education* includes the following statement: "Don't make your dissertation available online. Book editors seem unanimous on that point for obvious reasons. Many university libraries routinely add dissertations to their electronic holdings. If yours does, then opt out. If your thesis is already online, then have it taken down. Information may want to be free, as the earliest hacker generation first avowed, but if it's free, then you can't expect a publisher to pay for it, even in a later version."

### **How Do I Place an Embargo on Publication of My Dissertation?**

Placing a ProQuest embargo on your dissertation will not affect your degree conferral status with CIIS. As long as your dissertation is uploaded and the abstract appears in the ProQuest database, it satisfies our requirement for publication. ProQuest recommends timeframes ranging from 6 months to 1 or 2 years for the restriction, but because the student is the copyright holder, longer time periods are the choice of the student. For extensions beyond the original request or to confirm release, students should follow up directly with the ProQuest customer service team by calling 1.800.521.0600 (x77020).

Steps for placing a publishing restriction on your dissertation:

1. Send an email to [dispub@proquest.com](mailto:dispub@proquest.com) and cc the Director of the Center for Writing and Scholarship ([cws@ciis.edu](mailto:cws@ciis.edu)).
2. Specify clearly in the subject line that you are requesting an embargo.

3. Provide the ProQuest representative with the timeframe for the restriction along with the specifics of your request. You may also mention here that you have received these instructions from the CIIS Administrator. With this option, your dissertation abstract will appear in their database, but there will be no pdf or pdf preview accompanying it.
4. Make sure your abstract appears in [the ProQuest database](#) the way you have requested. Then, continue to follow-up periodically to make sure that all release and publishing updates stay on your timeline and that your release instructions are followed accurately.
5. When you are ready for publication via ProQuest, please follow up directly using the procedure above and notify the CWS director and the CIIS library director (ProQuest contact: 1.800.521.0600 x77020).
6. For the delayed CIIS library copy release, please make arrangements directly with the CIIS library staff or director.

### **When Will My Dissertation Be Published and Mailed to Me?**

From the date ProQuest receives the submission (usually at the end of the semester), it takes approximately 6 to 8 weeks for publication completion and to upload to the [ProQuest Dissertations and Theses Online Repository](#). Manuscript copies are shipped approximately 12 to 14 weeks after we receive the manuscript for publication. If you do not receive the author's copies within 12 weeks of the delivery date, please feel free to contact ProQuest at 1.800.521.0600 (x77020) or email [dispub@proquest.com](mailto:dispub@proquest.com) for a status update.