# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>3</td>
</tr>
<tr>
<td>Writing Your Dissertation</td>
<td>3</td>
</tr>
<tr>
<td>Style</td>
<td>3</td>
</tr>
<tr>
<td>The Writing Center</td>
<td>4</td>
</tr>
<tr>
<td>CUA Academic and Research Computing Resources</td>
<td>5</td>
</tr>
<tr>
<td>Using an Independent Typist or Service</td>
<td>5</td>
</tr>
<tr>
<td>The Copyright</td>
<td>6</td>
</tr>
<tr>
<td>Ecclesiastical Imprimatur</td>
<td>6</td>
</tr>
<tr>
<td>The Elements of Your Dissertation</td>
<td>6</td>
</tr>
<tr>
<td>Preliminary Pages</td>
<td>6</td>
</tr>
<tr>
<td>Title Page</td>
<td>6</td>
</tr>
<tr>
<td>Abstract</td>
<td>6</td>
</tr>
<tr>
<td>Signature (Approval) Page</td>
<td>7</td>
</tr>
<tr>
<td>Optional Preliminary Pages</td>
<td>8</td>
</tr>
<tr>
<td>Body of Text</td>
<td>8</td>
</tr>
<tr>
<td>Introduction</td>
<td>8</td>
</tr>
<tr>
<td>Text</td>
<td>8</td>
</tr>
<tr>
<td>Notes/Footnotes</td>
<td>8</td>
</tr>
<tr>
<td>Illustrative Materials</td>
<td>8</td>
</tr>
<tr>
<td>End Matter</td>
<td>9</td>
</tr>
<tr>
<td>Optional End Matter</td>
<td>9</td>
</tr>
<tr>
<td>Letters of Permission</td>
<td>9</td>
</tr>
<tr>
<td>Packaging Addenda</td>
<td>9</td>
</tr>
<tr>
<td>Bibliography</td>
<td>9</td>
</tr>
<tr>
<td>Preparing Your Manuscript</td>
<td>9</td>
</tr>
<tr>
<td>Typeface</td>
<td>9</td>
</tr>
<tr>
<td>Paper Alignment</td>
<td>10</td>
</tr>
<tr>
<td>Margins</td>
<td>10</td>
</tr>
<tr>
<td>Line Spacing</td>
<td>10</td>
</tr>
<tr>
<td>Pagination</td>
<td>10</td>
</tr>
<tr>
<td>Page Number Placement</td>
<td>10</td>
</tr>
<tr>
<td>Deposit of the Final Manuscript</td>
<td>11</td>
</tr>
<tr>
<td>Topic</td>
<td>Page</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>Submitting Your Manuscript to the Office of Graduate Studies</td>
<td>12</td>
</tr>
<tr>
<td>Personal Bound Copies of the Manuscript</td>
<td>12</td>
</tr>
<tr>
<td>Deposit Receipt</td>
<td>12</td>
</tr>
<tr>
<td>What Happens to Your Dissertation after Deposit?</td>
<td>12</td>
</tr>
<tr>
<td>CUA’S Open Access Policy</td>
<td>12</td>
</tr>
<tr>
<td>Graduation</td>
<td>13</td>
</tr>
<tr>
<td>Sample Dissertation Title Page (without Copyright)</td>
<td>14</td>
</tr>
<tr>
<td>Sample Dissertation Title Page (with Copyright)</td>
<td>15</td>
</tr>
<tr>
<td>Sample Dissertation Abstract</td>
<td>16</td>
</tr>
<tr>
<td>Sample Dissertation Signature Page</td>
<td>17</td>
</tr>
<tr>
<td>Page Number Placement Illustration</td>
<td>18</td>
</tr>
<tr>
<td>Placement of Illustrative Materials within the Manuscript</td>
<td>19</td>
</tr>
<tr>
<td>Final Doctoral Dissertation Deposit Process</td>
<td>20</td>
</tr>
<tr>
<td>Preparing to Deposit</td>
<td>20</td>
</tr>
<tr>
<td>Dissertation Defense and Deposit Checklist</td>
<td>20</td>
</tr>
<tr>
<td>Dissertation Documentation</td>
<td>20</td>
</tr>
<tr>
<td>Important Addresses</td>
<td>21</td>
</tr>
</tbody>
</table>
Introduction

This handbook is written for you, a student in the process of writing a doctoral dissertation, treatise, or evidence-based project in partial fulfillment of the requirements for a doctoral degree from The Catholic University of America. It is the official guide to University requirements governing the submission of your work.¹

All doctoral degree candidates who are required to submit a formal, written paper (i.e., a dissertation or treatise), or any other form of written presentation (i.e., a musical composition or evidence-based project), are required to submit the final, approved manuscript to the administrator of the Office of the Vice Provost and Dean of Graduate Studies for formatting review.

Your manuscript is an important University document, both academically and for you personally. For this reason, we expect you to exercise utmost care in the preparation of the final manuscript for submission and we commit ourselves to processing the manuscript for final deposit resulting in the required publication of your work.

In order to ensure that manuscripts from The Catholic University of America reflect the importance we place on them, we require that you follow strict formatting and submission guidelines. By following them, you can be assured compliance with the CUA contracted publishing company, ProQuest.

Since you are ultimately and personally responsible for following the guidelines and instructions in this handbook, you are required to read it completely and carefully. University faculty and staff, especially major professors and directors, have been encouraged to familiarize themselves with the contents of the handbook as well, since they are often asked to advise students in the preparation of the manuscripts.

Certain departments and schools follow procedures and formatting described in style manuals or sheets specific to their individual disciplines. Your department or school may expect you to follow these guidelines as well.

However, instructions or formatting guidelines published in this handbook, or in any published addenda to the handbook, take precedence over discipline-specific guidelines. In the absence of any specific requirements in the handbook, you should use your discipline’s style manuals or sheets wherever applicable.

With the development of new binding and publishing technologies and revised University policies, the guidelines for the preparation and submission of manuscripts may change from year to year. We therefore advise against referring to previous editions of the handbook, or using a previously submitted and published manuscript as a guide for format or layout.

If your research extends over several years, we also ask that you review the most current version of the handbook available on the website of the Office of the Vice Provost and Dean of Graduate Studies prior to preparing your final manuscript for deposit.

Writing Your Dissertation

Style

Please note: The guidelines regarding format and style outlined in this handbook are requirements of the University and supersede any instructions that may be given in the various style manuals listed below or in any other publications. For any items not specifically addressed in this handbook, you should refer to the appropriate style manual and consult your department or school.

¹ In this handbook, please note that “dissertation”, when appearing alone, is considered the catch-all term for dissertations, treatises, and evidence-based projects.
As stated in the University’s Graduate Announcements, “the dissertation must follow the approved format, which conforms to the norms of The Chicago Manual of Style [Chicago: The University of Chicago Press, current edition] (hereafter The Chicago Manual) ... with whatever adaptations are appropriate for the candidate’s discipline.” You may have some difficulty in consulting The Chicago Manual alone, however. This publication is primarily a guide for editors and typographers preparing typescripts for printing. For easier reference, we recommend Kate L. Turabian, A Manual for Writers of Term Papers, Theses, and Dissertations (Chicago: The University of Chicago Press, current edition), which is an interpretation of The Chicago Manual specifically addressing the preparation of academic papers that will remain in typescript form.

In addition to using The Chicago Manual, several academic disciplines have adapted a specific style for use in the professional field for writing journal articles, submitting proposals, etc. You should check with your individual department or school to ascertain if there is a standardized style format for your discipline, or if they have adopted a style format that is standard in another, related discipline.

The following is an abbreviated list of other style manuals also in use at CUA:

- **Biology**: Scientific Style and Format: The CBE Manual for Authors, Editors, and Publishers (Council of Biology Editors)
- **Psychology and Nursing**: Publication Manual of the American Psychological Association (American Psychological Association)
- **Chemistry**: The ACS Style Guide: A Manual for Authors and Editors (American Chemical Society)
- **Modern Languages**: MLA Style Manual and Guide to Scholarly Publishing (Modern Language Association)

These manuals, like The Chicago Manual, are primarily guides to the preparation of typescripts that will appear in some other printed form. However, these manuals do contain directions for the preparation of academic manuscripts, and you should be sure to note such references when available.

Generally, you should use your own good judgment when interpreting the appropriateness of certain guidelines. For example, a running header (as prescribed by APA) is not appropriate for a dissertation, since the header is generally used for typescripts that may be reprinted in a journal with other manuscripts. Likewise, the double-spacing of all text, including quotations (as prescribed by MLA) is not appropriate for a dissertation, since the manuscript submitted to the University is considered to be in final form, and will not be transcribed into another form for further processing. Generally, these various manuals are helpful for citations of references and forms of notation.

Your major professor and others in your school or department will assist you in the appropriate interpretation of discipline-specific guidelines within the context of University requirements. When in doubt, contact the administrator of the Office of the Vice Provost and Dean of Graduate Studies for assistance.

Since these guides are periodically revised and updated, please be sure to consult the most current edition of any manual used. The manuals listed above are standard publications, available at the CUA Bookstore or any other academic or larger bookstore.

**The Writing Center**
The CUA Writing Center provides support services to students at all stages of the writing process. The Writing Center strongly recommends that you contact them to make an appointment and speak with one of their trained consultants. They can also be reached at 202-319-4286. Walk-ins are welcome on a space-available basis.
CUA Academic and Research Computing Resources
The Office of Technology Services offers a wide range of services for graduate students. Technology Services issues a computer account to all faculty, staff, and students. Technology Services also provides students, faculty, and staff with an extensive computer education and training program. The CUA Computing website provides details about computing at CUA, including information about training, computing resources available, a knowledge bank, a computing guide, and activities under way.

In addition, Technology Services provides service and support for all technology classrooms and computing areas on campus. A general computing area in Leahy Hall, with both Windows and Macintosh machines, is open twenty-four hours a day during the semesters. Other computer-equipped classrooms and computing areas are open and available for use by any member of the CUA community. The formatting guidelines prescribed in this handbook can be handled by word processing software (Microsoft Word) in any lab on campus.

Using an Independent Typist or Service
Typists and word processing agencies frequently post advertisements on bulletin boards throughout the University. Please consider the following when dealing with typists or word processing agencies.

You should have an extra copy of the draft of your manuscript in the event of loss of or damage to the original draft. On the draft copy, it is often a time/error saver to the author and typist if the footnotes are submitted on pages separate from the text.

Discuss with the typist the following questions:

- May the draft manuscript be handwritten, or must it be typed?
- Is the typist familiar with foreign expressions, equations, formatting tables and charts, etc., that you use in the manuscript?
- Will you already have properly formatted the final draft, or is the typist responsible for following CUA and discipline-specific formatting guidelines?
- May the typist correct minor grammatical and spelling errors?
- What kind of word processor or computer will the typist be using? What style and size typeface will be used?
- Will the typist proofread the finished work? (Of course, it is your responsibility to do the final proofreading, but the typist should proofread for obvious typographical errors.)
- If you have made a mistake, will the typist charge extra to correct the mistake?
- Will the typist edit the manuscript? If so, what will the editing cost?
- After agreeing with the typist on a deadline for completion of the manuscript, what will be the penalty for not meeting the deadline?

Always be aware that prices quoted per page will likely be affected by the use of foreign words, equations, or complicated tables and charts. You should attempt to cover with the typist all aspects of the preparation of the final manuscript before you present the draft for final typing.

You should be sure to secure a typist well in advance of deposit deadlines. Typists are in great demand at peak periods prior to graduation dates.

Whether or not you have already formatted the draft, give the typist a copy of the CUA formatting guidelines as well as any discipline-specific formatting guidelines you may be using. Emphasize the importance of following these guidelines. Encourage the typist to contact the administrator of the Office of the Vice Provost and Dean of Graduate Studies if s/he has any questions concerning formatting.
The Copyright
The Office of General Counsel of The Catholic University of America has prepared an information sheet on the issues involved in the copyright of your dissertation and registering your copyright with the Library of Congress. It is important that you read this document prior to making the decision whether or not to register your copyright with the Copyright Office of the Library of Congress.

You can also access extensive information on your copyright at the websites of the Office of General Counsel and ProQuest.

Ecclesiastical Imprimatur
For ecclesiastical manuscripts in canon law, theology, or philosophy, an ecclesiastical imprimatur is generally not necessary. However, if you are a candidate in an ecclesiastical degree program, you should consult with your major professor or the dean of your school regarding the ecclesiastical imprimatur.

The Elements of Your Dissertation

Preliminary Pages

Title Page
The Title of the Dissertation
Your title must be exactly the same one as submitted on your dissertation proposal. If you have made any changes to the title, you must submit a Request for Change in Doctoral Dissertation Title prior to your deposit date.

Please note that the title is usually not the place for any creative efforts — special fonts, spacing, sizing, boldface or italic type, etc. Do not place the title in all caps.

Your Name
You must use your “name of record” on the title page. This is your official name as recorded by the Office of Enrollment Services. You may not include job titles or organizational affiliations (your diocese, your military unit, your employer, etc.). For clergy and religious, the titles “Rev.”, “Sr.”, or “Br.” are acceptable, while “Fr.” is not acceptable. Although you may have been sponsored and supported in your studies, your dissertation is your own work, for which you are solely responsible. You may recognize sponsors in an acknowledgement or dedication.

The Copyright Symbol ©
Copyright privileges vest with you as author immediately upon creation of your dissertation, whether or not you include the © symbol on your title page, and whether or not you register your copyright with the U.S. Copyright Office in the Library of Congress. You must decide whether to place the © symbol on your title page.

The Date
The date on the title page of your dissertation is the year (no day or month) in which your dissertation will be published. This is also the year in which you graduate and your copyright takes effect.

Music Compositions for the Degree Doctor of Musical Arts
A dissertation submitted as a requirement for the D.M.A. degree comprising musical compositions will have a summary title page and separate title pages for each of the compositions. Please contact the administrator of the Office of the Vice Provost and Dean of Graduate Studies for instructions on formatting these pages.

Abstract
You are required to write an abstract of your dissertation. The abstract must be written in English, even if your dissertation is written in a foreign language. It should contain no special characters or any text written in a non-Roman alphabet.
The text of the abstract should be double-spaced, and should provide a concise summary of the following information:

- A statement of the problem,
- A description of the research procedure or method,
- An explanation of the results of the research,
- A summary of your conclusions.

Since the abstract is an important summary of your work and is the basis upon which scholars may decide to read the entire dissertation, you should exercise great care in preparing the text. Remember, when placing your name of record at the top of the abstract, include the abbreviation of the degree you will receive upon graduating immediately after your name.

ProQuest does not place a word limit on the abstract, as that constrains the student’s ability to describe their research in a section that is accessible to search engines, and therefore would constrain potential exposure of the work. However, ProQuest does publish print indexes that include citations and abstracts of the dissertations it publishes. These print indexes require limits of 350 words for doctoral dissertations. Additionally, ProQuest print indexes allow only text to be included in the abstract. In the editorial process for printing doctoral dissertations, ProQuest will truncate the abstract if it exceeds the 350-word limit and will remove any non-text content. Therefore, you may wish to limit the length of the abstract to 350 words if this concerns you.

The abstract as you submit it, no matter the word count, will NOT be altered in your published manuscript.

Students often use the same text for both their abstract and for publication in the dissertation brochure published by their school prior to the oral defense. Please consult with your school concerning this possibility.

Place the abstract directly behind the title page, but do not number it. For further reference, please see Pagination on page 10 of this handbook.

For further information on the abstract, see the ProQuest publication Publishing Your Dissertation, available from the administrator of the Office of the Vice Provost and Dean of Graduate Studies.

**Signature (Approval) Page**

Your dissertation must have an approval page signed by your major professor and readers. You are responsible for typing this page and obtaining the necessary signatures. Manuscripts that do not include an approval page, signed by all dissertation committee members, cannot be accepted for deposit. Signature substitutions are generally unacceptable (i.e., a dean or department chair may not sign for a committee member). You should therefore arrange to obtain all signatures well in advance of your anticipated deposit date. The administrator of the Office of the Vice Provost and Dean of Graduate Studies cannot assume responsibility for obtaining signatures.

You should prepare the signature page, following the formatting guidelines in the Appendix below, print it out on acid-free cotton paper, and take it with you to your oral defense when all of your committee members will be present. Although the committee may ask you to make minor corrections to your dissertation following your defense, this usually does not prevent committee members from signing the dissertation approval page. If this is not possible, please make arrangements to get the signature page to all members of your committee for completion.

Number the signature page at the bottom center of the page with the lower-case Roman numeral “ii”. For further reference, please see Pagination on page 10 of this handbook.
Optional Preliminary Pages
You may include a dedication, an epigraph, a list of illustrations, a list of tables, a list of abbreviations (may alternately appear in the end matter), a foreword, a preface, or acknowledgements in the front matter of your dissertation. For further reference, please see Pagination on page 10 of this handbook on the order of appearance and pagination of these optional preliminaries.

Body of Text
Introduction
An introduction is optional. If you choose to include it, please follow your discipline-specific guidelines in deciding whether to make the introduction an independent section or to consider it formally as your first chapter. In either case, the introduction is the equivalent of a first chapter of your text and will be numbered accordingly. It is not a part of your preliminary materials.

Text
Following the general overview of the elements of your dissertation, this handbook will describe the required formatting and give guidelines for including graphs, photographs, other illustrative materials, and addenda (non-text items) in your dissertation. Please refer to the appropriate sections below.

Notes/Footnotes
Footnotes are strongly preferred over chapter endnotes. A reader of a microfilm copy of your dissertation will have considerably greater access to information by including footnotes on each page.

Generally, you should number footnotes consecutively throughout the entire paper. However, if there are more than 100 footnotes, number them consecutively by chapter.

Endnotes, when used, should appear at the end of each chapter — never at the end of the entire paper.

Refer to the appropriate style manual of your discipline for proper notation and reference format. For further reference, please see Typeface on page 9 of this handbook.

Illustrative Materials
Illustrative materials include photographs, charts, graphs, tables, prints, maps, reproductions, renderings, hand-drawn items, etc.

Placement of Illustrative Materials within the Manuscript
You may include illustrative materials either in the body of the text or in an appendix. If included in the text, the materials should be inserted as close as possible to their first reference in the text. The explanation should precede the item. If you include the materials in an appendix, the explanation should also precede the item.

Placement of Illustrative Materials on a Page
Smaller items such as photographs or other reproductions that are included in the dissertation should be staggered in alternating locations on the pages throughout the text: one at the top of a page, the other at the bottom of another page; one to the left, one to the right, etc. The items must be placed within the specified margins for the manuscript. See the examples of placement options on page 19 of this handbook.

Alignment of Page Numbers
Whether or not the illustrative material is placed in the manuscript in portrait or landscape format, the pagination should follow the alignment rules established for the rest of the manuscript. For further reference, please see Pagination on page 10 of this handbook.
Charts and Graphs
When designing your charts and graphs, keep in mind that when they are reproduced from the microfilm, they will be reduced in size. The charts and graphs may be in color.

Photographs
If you include photographs, they must be of excellent quality. If in color, they should have been produced using a color process producing sharp images and brilliant, long-lasting color.

Over-Sized Items
If possible, reduce over-sized items to 8.5 x 11 inch page size, making the images and items as clear and precise as possible.

Reproductions
Use only excellent quality reproductions, if possible in black and white. Remember, the item will lose definition in the filming and reducing process, easily becoming illegible.

Hand-Drawn Items
If you must include special symbols or other hand-drawn elements in the text or as illustrative materials, render these elements as carefully, clearly, and neatly as possible.

End Matter
Optional End Matter
Optional end matter may include an appendix or appendices, a glossary, a list of abbreviations (which may also appear with the preliminary pages) and addenda (non-text items such as CDs, DVDs, musical performances, etc).

Letters of Permission
In the event you are including in your manuscript material that does not fall in the “fair use” category, you must request permission from the holder of the copyright to include the materials. For information on “fair use” and an example of a letter requesting permission to use the material, please visit the website of the Office of General Counsel.

If you have requested permission from other authors or publishers to use material in your dissertation, you should include the letters of permission in your manuscript. Place such letters, separately labeled in an Appendix, at the rear of the manuscript.

Packaging Addenda
Where appropriate, addenda should be placed in pockets designed for that type of material. Label the pockets clearly with the title of the dissertation, your name, a description of the contents of the pocket, and instructions for the use of the contents. List the addenda, in the order of inclusion but unnumbered, in the Table of Contents.

Bibliography
Consult your department or school and the appropriate style manual for instructions on the discipline-specific formatting of the different types of references in your bibliography.

Preparing Your Manuscript

Typeface
The following standard printing fonts are acceptable: Times New Roman, Garamond, Palatino Linotype, or Century Schoolbook. The text of the manuscript must be printed with a 12-point font size.

Avoid font sizes smaller than 12 point, or special typefaces that print in script or in any other nonstandard
mode. It is permissible to mix typefaces and fonts to give the finished product a professional appearance, for example using bold typeface or a larger font in titles. It is important, however, that your style elements be consistent throughout the manuscript.

Use either underlining or italics to emphasize text. Do not use bold typeface for emphasis, since such typeface may not be clearly discernible on microfilm or reprints from microfilm. Do not mix underlining and italics for emphasis — one system should be used consistently throughout the paper.

You may use proportional spacing, as well as right-margin justification, as long as you use hyphenation appropriately.

Control carefully for orphan and widow lines. An orphan line is the first line of a paragraph that is the last line on a page. A widow line is the last line of a paragraph that is the first line on the next page. These look awkward because the bulk of the paragraph is on another page.

As a general practice, endnotes should be the same size and font type as the body of text. However, you may use a slightly smaller font size in footnotes. In no case should the font size be less than 10 point. Since reprinting the dissertation from microfilm reduces the size of the print, smaller font sizes can easily become illegible.

**Paper Alignment**
The text should appear on the paper so that the left-hand margin of the text runs along the 11-inch length of the paper and 8.5 inches represents the width of the top and bottom of the paper. The long left-hand edge is the binding edge. Exceptions may be made for charts, graphs, drawings, etc. However, pages must always be paginated with 11 inches representing the length and 8.5 inches representing the width, regardless of the placement of charts, graphs, or drawings.

**Margins**
All margins must be one inch wide. Page numbers should not fall within the one-inch margins. This requirement applies also to music compositions printed on larger-size paper to make sure the score is legible.

A common error made in creating bottom and top margins is not adjusting the header and footer of the page. To do so, change the header and footer from the default of 0.5 inch to 1 inch to be sure you have the required one-inch margins both at the top and bottom of the page.

**Line Spacing**
Double-space the text uniformly throughout the manuscript, with the exception of footnotes, quotations, etc. Refer to Turabian, *A Manual for Writers of Term Papers, Theses, and Dissertations* or to your discipline’s style manual for proper spacing instructions.

**Pagination**
Every page of the manuscript following the title page, with the exception of the abstract, must carry a number. Preliminary pages should be numbered in lower case Roman numerals. The text should be numbered in Arabic numerals, which continue consecutively throughout the remainder of the paper, including end matter.

Do not accompany page numbers with any other symbols. For example, the following methods are not acceptable: “Page 1,” “Page One,” “p. 1,” “-1-,” etc. Also, pages may not be supplemented, for example, 7a, 7b, 7c.

**Page Number Placement**
All preliminary page numbers should be centered at the bottom of the page. Additionally, all end matter, that is
every page after the main text, including appendices and bibliography, should be paginated at center bottom throughout.

All text page numbers can either be centered at the top of the page, or appear in the upper right-hand corner, with the exception of those pages carrying a major heading, such as the first page of a chapter, in which case the number should be centered at the bottom of the page. In order for chapter/major heading pages to be paginated at center bottom (while the remainder of the chapter is paginated at right or center top) remember to create these pages as their own documents. Even if charts, illustrative materials, etc., are inserted in the manuscript in landscape format, the page numbers must appear on the page and be consistent with all other pages of text in portrait format.

On rare occasions, it will not be possible to place a page number on an illustration, photograph, or other special insert. Consider that page to have the next consecutive number, continuing the sequence on the following page. For further reference, please see the page number placement table on page 18.

Deposit of the Final Manuscript

After you have successfully passed your dissertation defense, you must submit your final dissertation manuscript online through ProQuest. The deadlines for deposit published in the Academic Calendar specify the latest date upon which a dissertation may be deposited in order for you to be able to graduate on the next graduation date.

In order to ensure that the deposit of your dissertation goes smoothly, you must set up a formatting review of your manuscript prior to the oral exam. The formatting review is done through email using an electronic PDF of your complete dissertation. The administrator of the Office of the Vice Provost and Dean of Graduate Studies will give you directions on any necessary formatting changes to your manuscript. The formatting review also allows time for you to make those changes. Past experience has shown that this works very well in relieving anxiety over the final deposit.

Prior to your final deposit appointment, it will be your responsibility to make any changes to your manuscript required from the formatting review or from your dissertation committee, and to obtain the signatures of all of the members of the dissertation committee on the signature page. Your major professor and dean must also sign the Permission to Publish form, available from the administrator. Many candidates find it helpful to bring this form, along with the signature page, to their dissertation defense, where all committee members are present.

You are required to submit the final version of your dissertation online through ProQuest at http://www.etdadmin.com/cua. You are responsible for setting up an account with ProQuest, paying your ProQuest fees, and submitting your dissertation.

You must bring all the required documents at the time of your deposit appointment with the administrator, who will conduct a final review of your online submission if necessary, determine if the submission is ready for the final deposit, and if the submission has been accepted, will issue a deposit receipt indicating completion of the dissertation deposit process. A copy of your deposit receipt will be submitted to the dean of your school. If you have met all other requirements for the doctoral degree, your dean will place your name on the graduation list submitted to the Academic Senate for final approval.

Your deposit may be denied by the administrator if it does not meet all the requirements. It is therefore to your advantage to make your deposit appointment as far in advance of the deadline as possible to allow time for the administrator to review your online submission and accept your manuscript. The deadlines for final online submission and deposit of the dissertation materials cannot be extended.

Please note that individual schools may require you to submit your final dissertation manuscript to your dissertation
committee by a deadline earlier than the final University deposit date listed in the Academic Calendar. Please consult with your school dean's office concerning your school's requirements for submission.

**Submitting Your Manuscript to the Office of Graduate Studies**

On page 20 of this handbook you will find a doctoral dissertation deposit checklist outlining the steps to follow in preparing to submit the manuscript online to ProQuest, as well as listing the documentation and fees you must submit before the administrator of the Office of the Vice Provost and Dean of Graduate Studies can accept your submission.

Please note that the administrator cannot accept for submission any manuscript if the necessary fees and documentation have not been turned in to the Office of the Vice Provost and Dean of Graduate Studies. Also, the administrator is unable to obtain any necessary signatures or complete any required documentation on your behalf.

**Personal Bound Copies of the Manuscript**

The University does not provide personal binding services for students. You may opt to purchase hard- or soft-cover copies from ProQuest, or you may order bound copies from a commercial bindery.

**Deposit Receipt**

Once the administrator of the Office of the Vice Provost and Dean of Graduate Studies has completed the dissertation deposit process, a receipt will be issued. A copy of this receipt will be sent to the dean of your school as proof of deposit, a prerequisite to graduation from your program.

**What Happens to Your Dissertation after Deposit?**

The administrator of the Office of the Vice Provost and Dean of Graduate Studies will approve and submit your dissertation to ProQuest/UMI. It usually takes ProQuest/UMI two to three months to microfilm the dissertation and post the dissertation information on their website.

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