California Institute of Integral Studies

Policies, Procedures and Documents:

Dissertation and Thesis

(Revised 9/30/2014)

Committee Composition

Prior to advancing from the proposal stage to the thesis or dissertation stage, a student is responsible for forming a thesis or dissertation committee. Once the committee is formed, the student is to submit the committee composition approval forms, which can be found under the "Registrar" tab of MyCIIS, on the Registrar's Office forms page.

Your dissertation committee (which determines the acceptability of your dissertation) must be proposed via your department when you are ready to enroll in ____6900, Dissertation Proposal Completion. This committee should include a committee chair, an internal committee member, and an external member. For details concerning faculty eligibility, please refer to the Dissertation Committee Policy below.

It is the responsibility of the student to

- identify an appropriate topic;
- receive approval from the student's department;
- ensure that faculty members with expertise in the topic are available and willing to serve as chair and as committee members;
- submit the required Student PhD forms packet in a timely manner;
- maintain regular contact with the chair each semester;
- keep the chair informed of progress being made on the proposal or dissertation; and
- keep the chair informed of any difficulties encountered.

The dissertation committee shall consist of at least three faculty members, two internal to CIIS and one from outside CIIS. All committee members are expected to be present at the dissertation defense.

Committee Chair

- One core or associated faculty member (assistant professor or higher) from the department awarding the degree or a core faculty member from another CIIS program. Associated faculty members are recommended (subject to the approval of the Chief Academic Officer) by the core faculty in the department awarding the degree to chair dissertation committees; associated faculty members are oriented to CIIS dissertation expectations by the department.
- Holds a PhD or its equivalent.
- Has expertise in the topic.

The chair's purpose is to do the following:

- Guide the candidate at all stages of the project, including formulating the proposal, carrying out the research, and writing the dissertation.
- Supervise student progress.
- Ensure that all committee members have reviewed the dissertation and that substantive objections are resolved prior to the defense.
- Ensure that the dissertation meets academic standards.

The chair is expected to be in contact with the student at least once each semester, even if the student has not initiated contact.

Internal Committee Member

- A core, associated, or adjunct faculty member (assistant professor or higher) from the department awarding the degree or a core faculty member from another CIIS program.
- Holds a PhD or its equivalent.
- Has expertise in the topic.

The purpose of the internal committee member is to ensure the quality of the research and to do the following:

- Provide special expertise in areas needed to give a comprehensive appraisal of the project.
- Provide broader representation from the faculty in the candidate's field.
- Provide critical reading of the drafts of the proposal and dissertation.

External Committee Member

- A faculty member with a regular academic appointment (assistant professor or higher) in another institution of higher education or a non-faculty member who is a recognized authority in the appropriate field(s).
- Holds a PhD or other relevant degree or has demonstrable qualifications that establish expertise.

The purpose of the external member is to do the following:

- Play a role in terms of maintenance of standards of quality.
- Verify that the level of research is appropriate to the student's degree objective.
- Provide the "outside" point of view.
- Share expertise that might not otherwise be available.

The student is responsible for giving the outside member the external member forms found in the Student PhD Packet. A copy of the proposed external member's vita must be submitted with the approval forms.

Content and Subject

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The thesis or dissertation is to be an independent scholarly contribution to knowledge and present research/analysis conducted by the student under the supervision of the thesis/dissertation committee chair. The student must be the sole author of the manuscript; a coauthored thesis or dissertation is not permitted. In addition, the dissertation should exhibit originality in the sense that it does not duplicate someone else's work.

The role and nature of theses and dissertations vary in the different academic disciplines. Each academic program at CIIS provides information on its expectations and requirements in its program handbook. Handbooks are on MyCIIS on each program's page under the "Academics" tab. Thesis and dissertation forms for students in the School of Consciousness and Transformation can be found under the "Registrar" tab of MyCIIS, in the Registrar's Office forms page; for students in the Clinical Psychology program, they can be found in that department's program page.

Use of Previously Published Material

The thesis or dissertation should not have been published previously in its entirety. A student may include previously published material in the thesis or dissertation with the approval of the program and the committee chair. When the inclusion of such material is permitted, several conditions apply:

- The published material must be the product of research conducted by the student while enrolled in the program, and must not have been used to obtain another degree.
- The published material must be logically and coherently integrated into the thesis or dissertation.
- Publication references for the published material must be included. In the case of coauthored material, written permission from all copyright owners must be obtained.

Alternative Multi-paper Dissertation Format

In addition to the standard format for doctoral dissertations, the School of Consciousness and Transformation (SCT), at the option of each department/program, allows for the use of an alternative format that consists of three peer-reviewed papers (two of which have been published; the other can be published or under review) as the main basis for the dissertation. This option is currently offered by the Department of East-West Psychology.

Format and Language

Format

The thesis is typically a written manuscript. The dissertation is typically a written manuscript in book form. It may include other media (e.g., visual images, sound files) as supplements. Subject to advance written approval by the program and the Academic Vice President, alternative formats may be permitted. CIIS requires that the final product be a document that is professional in appearance and suitable for publication.

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Language

Theses and dissertations must be written in English, although they may include references in other languages.

Style Policy

The margin settings, title page, signature page of the thesis or dissertation, and citation formatting must meet CIIS requirements. Students who submit pages that do not meet these requirements will be asked to reformat the pages.

It is at the discretion of the programs to require or suggest their own professionally acceptable style: APA, Chicago, MLA, or AAA. Students are advised to consult with their committee chair regarding the acceptable style and familiarize themselves thoroughly with it before they begin to prepare their manuscript.

There are a number of formatting points for which CIIS's citation requirements deviate from the APA, Chicago, MLA, and AAA manuals. Please read the CIIS formatting guidelines for your particular citation style and use these guidelines to format your dissertation correctly. Formatting guidelines can be found as follows: log in to MyCIIS > "Academics" tab > Center for Writing & Scholarship (left column) > scroll down to bottom of page > CWS Documents (lower right corner) > click on REVISED CIIS-APA Guidelines for Dissertation.pdf OR REVISED CIIS-Chicago Guidelines for Dissertation.pdf OR REVISED CIIS-AAA Guidelines for Dissertation.pdf (choose the PDF that corresponds to the citation style you are using).

Margin Settings

To ensure that no part of the manuscript is cut off when it is bound by the Laurence S. Rockefeller Library, CIIS requires standardized margins on every page of the manuscript. The side margins must be 1.5 inches from the edge. The top and bottom margins must be between 1 inch and 1.5 inches from the edge; the margins are to be the same for top and bottom.

The entire content on the page, including page numbers, must fall within the margins specified. The page number can be centered on the top or bottom of the page.

Title Page

Please pay special attention to the following features on the title page:

- Indicate your degree and program. Use only the official degree name. If in doubt, refer to the catalog or check with the Registrar's Office.
- Indicate the year of graduation.

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Certificate of Approval Page

The Certificate of Approval with original signatures must be submitted to the Registrar's Office, where it resides in the student's file. An unsigned copy of the Certificate of Approval page should be submitted with the original manuscript.

Format the Certificate of Approval according to the sample Certificate of Approval, provided within each Format Style file (APA, Chicago, MLA, or AAA).

Please pay special attention to the following elements on the Certificate of Approval:

- Do not include title or heading on the signature page.
- Position the page number consistently with the page numbers in the rest of the manuscript.
- Include the following statement: "I certify that I have read [YOUR TITLE, exactly as it appears on the title page] by [your 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 program] at California Institute of Integral Studies."
- Include only as many lines as there are committee members signing.
- Include committee members' names. For each committee member, include his or her legal name, academic degree, and program or school (if not CIIS).
- Customarily, the name of the chair is given first (and designated as chair), and the outside committee member is given last.
- Increase the right margin on this page to 2 inches.

Submission of Completed Draft

Students expecting to graduate in a given semester should submit, after consultation with their chair, a completed final draft of the thesis/dissertation to all committee members no later than the first week of class in that semester. Students should expect a reading time of four weeks by faculty, including the external committee member. While individual chapters may have been separately reviewed, the entire document may undergo a more comprehensive review. It is often necessary to have more than one cycle of feedback and corrections/additions. Early submission of the final draft to the committee is important in order to assure adequate time for the manuscript to be reviewed by a technical editor prior to the final approval of the committee and the scheduling of the defense.

Technical Review

Before the final defense, the student must submit the manuscript to one of the approved technical editors for technical review (to see the names of technical editors, log in to MyCIIS >

"Academics" tab > Center for Writing & Scholarship (left column) > scroll down to bottom of page > CWS Documents (lower right corner) > click on CIIS Technical Review Editors Contact List.pdf). Technical review is not the same as copy editing; the former focuses on the chosen style format and on formatting issues relevant to publication. It is expected that all technical corrections (e.g., formatting, references) and copyright permissions will be completed prior to the defense. The editor and student should arrange for the technical editing to occur after the student has received initial approval from the committee regarding the scholarly content of the manuscript.

Technical review editors are not employees of CIIS; they work collaboratively with the Center for Writing and Scholarship as independent contractors. Students are responsible for ascertaining in advance the extent of editing to be provided, how long the review is expected to take, what costs will be incurred (CIIS does not pay for technical review), and other contractual arrangements for the technical review services. Note that editing time and costs vary widely, depending on factors such as the length of the dissertation, the inclusion of tables and figures, and the degree to which the student has already incorporated style guidelines.

Dissertation Defense

After the technical review has been completed and necessary editorial changes have been incorporated, the dissertation manuscript is to be submitted to the student's committee. Once all committee members have read the dissertation and no major content changes are required, the chair, in consultation with the committee, will determine whether or not the student is ready to defend. It is the responsibility of the chair to make this determination. Determining the readiness for the defense is based primarily on the satisfactory completion of the work. Students need to be prepared to register for an additional semester if the committee determines that the document is not ready to defend.

The final defense is an oral examination open to the public, during which the author of a thesis or dissertation demonstrates to his or her committee satisfactory command of all aspects of the work presented and other related subjects, if applicable.

The defense is usually two hours in length. It may be scheduled on any workday, during both instructional and non-instructional periods.

The student must submit the completed manuscript to the committee by the deadline set by CIIS (see **Final Review and Approval** section below for instructions about how to retrieve these dates), or no later than three weeks prior to the scheduled defense.

Dissertation Rubric

Committee members are to use the specific rubric listed HERE.

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Defense Requirements

Doctoral students must defend their dissertations; master's students may or may not need to defend their theses, depending on their program's requirements.

When the committee chair has deemed the thesis/dissertation ready to defend, the student is to arrange the defense's date and time with all committee members. The defense must take place at CIIS (students in distance programs are exempt from this requirement), although committee members may participate remotely via teleconference or online. The student submits the *Request for Oral Defense Announcement and Room Reservation* form at least three weeks prior to the defense to the program coordinator, who will reserve the room, make the necessary accommodations, and publicize the defense to the CIIS community.

Committee Participation

Physical presence of the committee chair at the defense is expected under most circumstances. In the event that an out-of-town committee member cannot come to CIIS, the committee chair may allow that member to attend via conference telephone call. The committee chair of students in distance learning programs may also participate remotely. Any committee member participating from a distance is expected to participate fully and in the same capacity as any other committee member using video or phone conference technology. Arrangements will need to be made between the candidate and the committee member directly to be sure that full participation can be expected.

Approval of the Thesis or Dissertation

Committee members are required to indicate their approval or disapproval of the manuscript and the defense on the manuscript's signature page and the Thesis/Dissertation Approval Tracking Form.

Below are the procedures for approving the thesis or dissertation, depending on the amount of revision the committee requires after the defense:

No Revisions Required: If there are no changes required by the committee, all committee members and the committee chair sign the Certificate of Approval. The chair completes the Thesis/Dissertation Approval Tracking Form, and both the chair and the student sign the form. The chair submits the form to the program chair, who submits it to the Registrar's Office.

Minor Revisions Required: If minor changes are required, the committee members, but not the committee chair, sign the Certificate of Approval. The chair specifies the required changes on the Thesis/Dissertation Approval Form, and both the chair and the student sign the form. The student has 30 days from the date of the defense to complete and submit the changes. Only after the required revisions have been completed and accepted does the chair sign the

Certificate of Approval and forward it, the Thesis/Dissertation Approval Form, and the manuscript to the program chair. If these revisions extend into the subsequent semester, the student must register in that semester. Instead of registering for Thesis/Dissertation Seminar, the student is eligible, in this situation, to register for Registration Maintenance. See the "Registration Maintenance" part of the "Registration and Grading Policies" section for further information about this. If the student elects not to register for Registration Maintenance, he or she must register for "Thesis/Dissertation Seminar."

Major Revisions Required: If there are one or more areas of significant revision required of the student, no one on the committee signs the Certificate of Approval. The chair specifies the required changes on the Thesis/Dissertation Approval Form, and both the chair and the student sign the form. The form specifies whether the changes to the dissertation are remedial or nonremedial. If the revisions are remedial, the student may continue in the dissertation phase and may be asked to reapply for a second defense at a future time. If the changes required are nonremedial, the student may not apply to defend the same dissertation. Only after the required revisions have been completed and accepted do the chair and other committee members sign the Certificate of Approval and forward it, the Thesis/Dissertation Approval Tracking Form, and the manuscript to the program chair.

Final Review and Approval

After the defense, theses and dissertations must be submitted to the Center for Writing and Scholarship for final review and approval. Instructions about technical review and final review procedures may be found via MyCIIS: log in to MyCIIS > "Academics" tab > Center for Writing & Scholarship (left column) > scroll down to bottom of page > CWS Documents (lower right corner) > click on "Overview of CIIS thesis & dissertation technical review and publication process.pdf". Deadlines for each semester are specified in the Academic Calendar, located on the Class Schedule and at http://www.ciis.edu/Academics/Academic_Calendar.html .

Publication

Publication is optional for the thesis and required for the dissertation. Students may publish through either ProQuest/UMI or another, approved publisher. It is the student's responsibility to edit and prepare a final manuscript that meets CIIS format and publishing requirements.

ProQuest/UMI, as the publisher of record for U.S. dissertations and theses, archives these works. It also makes them available to academic institutions, scholars, and interested readers through publication of the citation and abstract in ProQuest Dissertations and Theses (online), Dissertation Abstracts International, and Master's Theses International, all of which are designed to provide maximum exposure for and accessibility to theses and dissertations.

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Submission instructions are available via MyCIIS: log in to MyCIIS > "Academics" tab > Center for Writing & Scholarship (left column) > scroll down to bottom of page > CWS Documents (lower right corner) > click on Overview of CIIS thesis & dissertation technical review and publication process.pdf.

Manuscript Copyright

ProQuest/UMI Copyright Registration Service

Students who publish their thesis or dissertation with ProQuest/UMI may choose to utilize that company's service to act as the students' agent to register their copyright to that work with the United States Copyright Office. If students wish to use some other means to secure copyright and publication rights to their work (e.g., Creative Commons), they will need to work directly with ProQuest/UMI to verify copyright and to ascertain the latter's right of first publication of the work.