

# Thesis and Dissertation Manual 2018-2020

**CLARK ATLANTA UNIVERSITY**

**Office of Graduate Education**

**A Guide for Preparing and  
Submitting  
Electronic Theses and Dissertations**



Graduate Education  
Kresge Hall, Room 101  
(404) 880-8667  
[graduateeducation@cau.edu](mailto:graduateeducation@cau.edu)  
Follow us @caugradprograms



Revised September 2020

## PREFACE

Although writing a thesis or dissertation may be a huge undertaking for a graduate student, it can be a very rewarding experience. Writing a thesis or dissertation demonstrates a graduate student's ability to carry out independent, scholarly research, to draw logical conclusions from data gathered, and to present results in a clear, intelligible, and consistent form, keeping the established conventions of the scholarly community.

The instructions and recommendations included in this guide serve to provide uniformity for all theses and dissertations submitted electronically to Graduate Education at Clark Atlanta University. While theses and dissertations from various disciplines may vary in their governing style manuals' requirements, the standards outlined in this guide apply to documents in all schools and departments at the University. This is the purpose of all Clark Atlanta University regulations governing theses and dissertations.

Ultimately, the graduate student is responsible for meeting all published deadlines and for ensuring that the thesis or dissertation reflects the required style and format. It is the responsibility of the committee chair, committee members, and department chair to determine that each thesis or dissertation conforms to all departmental and University standards. Each school dean verifies that these standards have been met prior to the document's final electronic submission to the Office of Graduate Education.

The Office of Graduate Education ensures that Clark Atlanta University accepts only theses and dissertations that comply with the regulations outlined in this guide. These regulations may be supplemented by additional specifications. All such supplementary guidelines must be filed with the dean of the appropriate school and with the Office of Graduate Education.

## TABLE OF CONTENTS

PREFACE.....	i
RESPONSIBILITIES AND PROCESSES FOR THESIS AND DISSERTATION COMPLETION.....	1
Committee Chair, Committee Members, Department Chair, School Dean, Office of Graduate Education, Office of the University Registrar, and Library Responsibilities.....	1
PREREQUISITES FOR DEGREE COMPLETION.....	3
Application for Graduation.....	3
Submission Deadlines.....	3
Submission Requirements.....	3
STANDARDS OF FORMAT AND STYLE.....	4
Paper.....	4
Appearance.....	4
Typeface.....	4
Margins.....	4
Line Spacing.....	4
Block Quotes.....	5
Pagination.....	5
Chapter Headings and Titles.....	5
Figures and Tables.....	6
Footnotes and Endnotes.....	7
Documentation Format.....	7
PARTS OF THE THESIS OR DISSERTATION.....	7
Thesis/Dissertation Transmittal Form.....	7
Abstract.....	8
Preliminary Pages and Document Content.....	8
Bibliography, References, or Works Cited.....	10

REQUIREMENTS FOR THE FINAL SUBMISSION .....10  
    Number of Printed Copies .....10  
    Print Quality.....10  
    Documentation.....10  
ETD SUBMISSION INSTRUCTIONS.....11  
PUBLICATION OF THESES AND DISSERTATIONS.....17  
AUTHORIZED STYLE MANUALS.....18  
FINAL DRAFT CHECKLIST.....20

## RESPONSIBILITIES AND PROCESSES FOR THESIS AND DISSERTATION COMPLETION

### Graduate Student Responsibilities

1. The student must adhere to **thesis and dissertation deadlines**, which may be found in the *Thesis and Dissertation Guide* and on the Graduate Education webpage. These deadlines are **firm**.
2. The student must consult the committee chair and committee members for guidance while completing the thesis or dissertation.
3. The student must make necessary corrections/revisions and resubmit the thesis or dissertation to the committee chair and committee members until final approval is granted and the THESIS TRANSMITTAL FORM or the DISSERTATION TRANSMITTAL FORM has been signed by each member.

**Note:** The student must submit the completed thesis or dissertation to the committee chair and committee members in enough time to ensure that the committee chair can submit the document to the department chair by the published **thesis and dissertation deadlines**.

### Committee Chair, Committee Members, Department Chair, School Dean, Office of Graduate Education, Office of the University Registrar, and Library Responsibilities

1. The **committee chair and committee members** will read, assess, recommend, and guide the student throughout the thesis or dissertation process. These persons must provide timely feedback to assist the student in adhering to thesis and dissertation deadlines.
2. After the thesis or dissertation has been approved and the committee members have signed the THESIS TRANSMITTAL FORM or the DISSERTATION TRANSMITTAL FORM, the committee chair will submit the thesis or dissertation to the **department chair** by the recommended published deadline.
3. The **department chair** will read and assess the thesis or dissertation and may recommend additional corrections/revisions, which must be completed and approved before the submission due date to the school dean. After approving the document, the department chair will sign the THESIS TRANSMITTAL FORM or the DISSERTATION TRANSMITTAL FORM before forwarding the thesis or dissertation to the school dean by the recommended published deadline.

4. The **school dean** will evaluate the thesis or dissertation and may recommend additional corrections/revisions, which must be completed before the due date for submission to the Office of Graduate Education. After approving the document, the school dean will sign the THESIS TRANSMITTAL FORM or the DISSERTATION TRANSMITTAL FORM before forwarding the thesis or dissertation's required preliminary pages (THESIS TRANSMITTAL FORM or the DISSERTATION TRANSMITTAL FORM, STATEMENT OF UNDERSTANDING, and NOTICE TO USERS) to the Office of Graduate Education.
5. Upon receipt in the Office of Graduate Education the required preliminary pages will be filed, and the student will be notified via the CAU student email address to upload the approved thesis or dissertation in Microsoft Word to Online Journal Systems (OJS) for review.
  - a. A Graduate Education reviewer will evaluate the thesis or dissertation for compliance with the *Thesis and Dissertation Guide*.
    - i. The reviewer may require additional corrections/revisions, which must be completed before the final approval from the Director of Graduate Education.
    - ii. The reviewer will submit the required corrections/revisions (if any) to the student via OJS, and the student will revise and resubmit accordingly.

**Note: The student will have two (2) opportunities to submit at the Graduate Education level. If student requires more than two reviews, the document will be returned and the student will be considered for the next semester's or term's graduation or completion date.**

- b. The student must address the reviewer's comments and make necessary updates/corrections no later than the Graduate Education internal review deadline and final clearance deadline to be considered for the semester's targeted commencement or completion date. These dates are indicated on the review comments sheets.
6. Once the final document has been approved, the reviewer accepts the document and the ETD Administrator will instruct the student to:
  - a. Print one (1) copy of the approved electronic thesis or dissertation (ETD) submission on 20 lb. weight, 100% cotton, white, watermarked paper.
  - b. Submit the final printed copy of the thesis or dissertation to the department for transport to the school dean. The school dean's office will facilitate the final submission to the Office of Graduate Education.
7. The **Office of Graduate Education** will send: (1) a memo of completion and (2) the final transmittal form reflecting all signatures to the **Registrar's Office** for further handling.

8. The **Registrar's Office** will post the degree on the graduate student's transcript.
9. The **Office of Graduate Education** will submit the final copy of the thesis or dissertation to the **Robert W. Woodruff Library** for archiving.

## PREREQUISITES FOR DEGREE COMPLETION

### **Application for Graduation**

Graduate students must apply for graduation at least one (1) semester prior to degree completion, before the thesis or dissertation is completed. Doing so allows the department, faculty advisor, and graduate student to conduct all the verifications and preparations for graduation. It is the responsibility of the faculty advisor and the department chair to apprise the candidate of these requirements as well as the procedures for completing a graduate degree.

An application for graduation is effective for one (1) semester only. If the graduate student does not complete degree requirements during the semester of application, a new graduation application form must be submitted for the subsequent semester in which the student expects to graduate. Some departments and schools also have a separate process for "admission to candidacy." Students should ensure that department and school candidacy requirements are met prior to the submission of an application for graduation. Regulations and deadlines are published in relevant handbooks for graduate students.

Each semester's deadline for submission of the "Application for Candidacy" and "Application for Graduation" is specified in the Academic Calendar, which is found on the Clark Atlanta University website.

### **Submission Deadlines**

Deadlines for the final submission of the thesis or dissertation to the graduate student's department chair, to the school dean, and to Graduate Education are published on the [Graduate Education webpage](#) and in the Academic Calendar. See [Thesis and Dissertation Deadlines](#).

### **Submission Requirements**

Where applicable, the thesis or dissertation (with its defense), is the final requirement for the degree. Before the thesis or dissertation can be submitted to Graduate Education, it must be approved by the dean of the school in which the student is registered. **A thesis or dissertation is submitted to the school dean only when the student's thesis or dissertation committee and the department chair officially verify that all regulations and requirements have been satisfied, and that the thesis or dissertation itself is completely satisfactory.** All theses and dissertations shall be submitted to Graduate Education electronically, via Robert W. Woodruff Library's ETD (electronic thesis and dissertation) repository, OJS. See [ETD Submission Instructions](#).

## STANDARDS OF FORMAT AND STYLE

### Important Guidelines to Follow for Thesis and Dissertation Submission

#### Paper

Upon final approval, one copy of the thesis or dissertation must be submitted to Graduate Education on white, 20 lb. weight, 100% cotton watermarked, 8 ½ x 11 inch paper.\* Heavier weight paper and lower cotton content are not acceptable.

#### Appearance

The final thesis or dissertation must be error-free and printed on one side of the page only.

#### Typeface

The thesis or dissertation must be typed in Times New Roman font, size 12. Type size may be smaller for footnotes, captions, and information in figures and tables. Print outside of the basic text (e.g., footnotes and endnotes) should be typed in Times New Roman, size 10. Italics may be used for headings, foreign words, long publication titles (e.g., books, newspapers, journals, etc.) or occasional emphasis. The use of underlining and bold face in the text, headings, and titles is dictated by governing style manuals.

#### Margins

The following are the required margins for each document.

Left:	1.5 inches
Right:	1 inch
Top and Header:	1 inch measured from top of page to top of page number*
Bottom and Footer:	1 inch measured from bottom of page to bottom of page number

**\*Note:** Specified preliminary pages and the first page of each chapter must have a top margin of two inches, which should be measured from the top of page to the top of words. See [Thesis Template or Dissertation Template](#).

#### Line Spacing

The text of the thesis or dissertation must be double-spaced throughout. Each paragraph must be indented 5 spaces (one tab) from the left margin. Refer to governing style manual for specific guidelines regarding the spacing of subheadings, footnotes, bibliographic entries, long quoted passages, figure and table captions. Refer to template for items in lists of figures and tables.



## **Block Quotes**

Lengthy quotations (prose of five or more typewritten lines) should be in block form: indented, and free of double quotation marks at the beginning and end of the quote.\* Care must also be taken to observe all rules for marking omissions in the quotation, including omission of the beginning of the first sentence of a new paragraph in the quoted source.

\*Turabian requires the preservation of original quotation marks in quoted material if the quotation marks appear in the original material being quoted.

## **Pagination**

Preliminary pages must be numbered using lower-case Roman numerals centered one inch from the bottom of the page. The title page is counted, but not numbered. Immediately following the title page are the copyright page, the “STATEMENT OF UNDERSTANDING,” and the “NOTICE TO USERS.” These pages are neither counted nor numbered.

The next page is numbered “ii.” (In most cases, the ACKNOWLEDGEMENTS page is the first numbered preliminary page). The remaining preliminary pages follow **in consecutive order**. “In consecutive order” means that no new chapter or section can repeat the numbering of an earlier chapter. All pages of the body of the thesis or dissertation (including illustrations, charts, tables, appendices, bibliographies, etc.) are numbered in consecutive order using Arabic numerals.

The first page of each chapter must have the page number located at the bottom center (page numbers must observe the 1-inch bottom margin). Page numbers thereafter must be placed in the top, right-hand corner (page numbers must observe 1-inch top and right margins).

## **Chapter Headings and Titles**

Each chapter must include a heading and a title. Both must be formatted in all capital letters, centered, and observe a 2-inch top margin. Do not bold chapter headings or chapter titles; that is, those with this guide’s all cap requirements). See [Thesis Template or Dissertation Template](#).

- A.** Chapter headings refer to the chapter number (e.g., CHAPTER 1 or CHAPTER I). Chapter headings may use either Arabic numerals or Roman numerals, depending on the dictate of the governing style manual. If a preference is not indicated in the style manual, use Arabic numerals to indicate the chapter number in the TABLE OF CONTENTS and in the text.
- B.** Chapter titles refer to brief descriptive titles that have been assigned to each chapter to indicate content (e.g., INTRODUCTION, METHODOLOGY, and LITERATURE REVIEW, etc.).

- C. The first page of each such chapter or major section has a top margin of two inches and must be formatted in ALL CAPS. Note that APPENDICES precede the BIBLIOGRAPHY, REFERENCES or WORKS CITED.

### **Figures and Tables**

Charts, graphs, photographs, diagrams, etc., are called figures and should be numbered consecutively using Arabic numerals.

- A. The “LIST OF FIGURES” will be an item included in the “TABLE OF CONTENTS.”
- B. The figure caption is placed two lines below the figure. Refer to governing style manual to determine whether or not the figure caption should be flushed with the left margin or centered. The caption must be typed and must include the identifying figure number, the figure title clarifying any label abbreviations used on photographs or diagrams, and the magnification, if any. This style may be followed for typing the figure caption, except that “Figure” may be abbreviated as “Fig.”
- C. **Any figure should follow the section/paragraph in which it is first mentioned.** If it is too long to fit within the required margins, or if it is one or more pages in length, it should be placed on the page immediately following its first mention and continued on the succeeding page(s) as necessary.
- D. Tables should be numbered consecutively in Arabic numerals, given titles (which must be typed), and listed with page numbers in a “LIST OF TABLES.” The “LIST OF TABLES” will be an item included in the “TABLE OF CONTENTS.”
- E. In the text, the number and title of the table are centered above the table. All tables should have a title. The title should describe in a clear, concise manner the nature of the data presented in the table. Superscripts, asterisks, etc., may be used to designate explanatory notes. These notes should be beneath the table.
- F. Each table directly pertinent to the presentation should be included as an integral part of the thesis or dissertation and must appear on a page where it is first mentioned in the text, or, if it is too long to fit in the appropriate position on that page, **it must immediately follow the page on which it is first mentioned.**
- G. Tables one page or less in length should never be divided. Tables must not exceed the usual margins of the page in the thesis or dissertation. Wide tables (broadsides) may be oriented in “landscape” position with the heading on the left-hand margin. This margin must remain 1.5 inches wide. These tables must appear within the required margins of one page.
- H. All figures and tables must be “called out” or mentioned by name prior to their appearances in the document. (E.g., “Figure 1 shows. . .” or “Table 1 shows. . .”)

### **Footnotes and Endnotes**

Unless guidelines of the school or department specify that footnotes must be placed at the bottom of the page within the margins specified above, footnotes may be placed there or collected at the end of each chapter as endnotes. In either case, they are numbered consecutively beginning afresh with each chapter.

Endnotes, which may have the same content as footnotes, should be collected and placed at the end of each chapter. Endnotes should be numbered consecutively beginning afresh with each chapter.

### **Documentation Format**

At Clark Atlanta University, each discipline registers its standard reference for all decisions of format with the school dean and with the Office of Graduate Education, other than the specifications included in this guide.

Kate L. Turabian, *A Manual for Writers of Research Papers, Theses and Dissertations*, latest edition [Chicago: University of Chicago], is the applicable manual for all issues not addressed in this guide or in the departments' designated manuals as they pertain to the preliminary pages.

### **PARTS OF THE THESIS OR DISSERTATION**

A thesis or dissertation submitted to school deans must be formatted using Microsoft Word and must include several items (see [Thesis Template or Dissertation Template](#)). The document must be organized in the order specified below:

1. THESIS TRANSMITTAL FORM or DISSERTATION TRANSMITTAL FORM
2. ABSTRACT
3. Preliminary Pages (STATEMENT OF UNDERSTANDING, NOTICE TO USERS)
4. Document Content
5. BIBLIOGRAPHY, REFERENCES, or WORKS CITED\*

\*See governing style manual for specifics.

### **Thesis/Dissertation Transmittal Form**

The transmittal form must be signed by all appropriate persons. Spell out all department and school names completely. The title of the thesis or dissertation must match verbatim the title provided on the ABSTRACT, on the title page, and within the electronic submission metadata fields. Only degrees that precede or follow names should be abbreviated. Names on the transmittal form should be typed on the line that precedes the signature line. Signatures must be original and placed adjacent to typed name. Photocopies will not be accepted. **(Before obtaining signatures, one copy\* of the transmittal form should be printed on white 20 lb, 100% cotton watermarked paper, 8 ½ x 11 inches. Heavier weight paper and lower cotton content papers are not acceptable.)**

\*Some departments require multiple copies of the preliminary pages for their records. Students should check with their departments for their preferences.

## **Abstract**

The ABSTRACT is no more 150 words for theses (one page, unnumbered) and no more than 350 words for dissertations (two pages, numbered i and ii\*). The ABSTRACT should present clearly and concisely the main objectives of the study, the results, and the significance. References are generally not included in the ABSTRACT. If references must appear, they must be self-contained (completely cited) within the ABSTRACT.

The ABSTRACT is independent of the thesis or dissertation itself and is not listed in the TABLE OF CONTENTS.

The student's name and the committee chair's name must appear on the ABSTRACT exactly as they do on the transmittal form (see template). List only degrees that have been conferred upon the student, not degrees that are in progress. Do not place a comma between the month and year when providing thesis or dissertation date. Two lines (double-space) should separate the thesis or dissertation title from the line containing the advisor's name, and two lines should separate the line containing the thesis or dissertation date from the body of the abstract.

Each page of the ABSTRACT has a top margin of one inch. If longer than one page, the ABSTRACT is numbered "i, ii," using lowercase Roman numerals at the bottom center of the page. Additional specifications may be found in the manual adopted by the student's school or department.

If the ABSTRACT runs two pages (dissertations only), the ACKNOWLEDGEMENTS page should be numbered "iii" and the remaining preliminary pages should resume consecutive lowercase Roman numeral order.

## **Preliminary Pages and Document Content**

The preliminary pages must be ordered as follows (see [Thesis Template or Dissertation Template](#)):

1. **TITLE PAGE.** See the example for the exact content and format required. Titles that are more than one line should be presented as an inverted pyramid. The top margin of this page is two inches. This page is not numbered, although it is page "i." The date listed at the bottom should be the month and year that the degree will be conferred, not the date the thesis or dissertation was completed. The student's name listed on this page must be consistent with the name on the transmittal form and the ABSTRACT (see template). The information on this page should be in all capital letters.
2. **COPYRIGHT PAGE.** See the example for format. The text appears immediately above the bottom margin of the page. This page is not numbered. Only the name of the student should be in all capital letters; the name should be listed consistently as it appears elsewhere. Use standard copyright symbol: ©

3. STATEMENT OF UNDERSTANDING. The top margin of this page is two inches. See the example for the format and exact text. This page is not numbered. The student should sign and date each copy; photocopies will not be accepted. It is permissible to replace “thesis/dissertation” with “thesis” or “dissertation,” depending on which is being submitted. Underline the name of the specific School.
4. NOTICE TO USERS. The top margin of this page is two inches. See appendices for the exact format and text. The “copyright,” “STATEMENT OF UNDERSTANDING” and “NOTICE TO USERS” are unnumbered insertions. This page is not numbered.
5. ACKNOWLEDGEMENTS. Acknowledgements are optional, must be on a separate page, cannot exceed one page, and should adopt a restrained and decorous tone. This section is reserved for recognizing committee, faculty, etc., who have been instrumental in the student’s thesis/dissertation completion. Dedications are inappropriate in theses and dissertations, but a dedicatory statement may be included within the ACKNOWLEDGEMENTS. A separate page for a dedication is not permissible. The top margin of this page is two inches. The ACKNOWLEDGEMENTS page should be numbered “ii” or “iii” (depending on the length of the ABSTRACT), one inch from the bottom margin.
6. TABLE OF CONTENTS. See template or Turabian’s *Manual* for an example of acceptable formats. Note that any subheadings within chapters must reflect formal subdivisions with headings in the text of those chapters. Do not list unnumbered preliminary pages in the TABLE OF CONTENTS. Do not include the ABSTRACT in the TABLE OF CONTENTS. The first listed item should be the ACKNOWLEDGEMENTS. The top margin of this page is one inch. The page number should be “iii” or “iv” (depending on the length of the ABSTRACT), one inch from the bottom margin.
7. LIST OF FIGURES. This page is required if any figures appear in the text. The top margin for this page is two inches. Departmental approved style manual determines formatting for figures. If the departmental style manual does not address figures, see Turabian’s *Manual* (latest edition) for an example of a correct format. The page number should be “iv” or “v” (depending on the length of the ABSTRACT), one inch from the bottom margin.
8. LIST OF TABLES. This page is required if any tables appear in the text. The top margin of this page is two inches. The departmental approved style manual determines formatting for tables. If the manual does not address tables, see Turabian’s *Manual* (latest edition) for an example of a correct format. The page number should be “v” or “vi” (depending on the length of the ABSTRACT), one inch from the bottom margin.

9. LIST OF ABBREVIATIONS. This page is required if the text holds any abbreviations which are peculiar to the text or to an extremely restricted scholarly audience. The top margin for this page is two inches. The departmental approved style manual determines formatting for abbreviations. If the manual does not address abbreviations, see Turabian's *Manual* (latest edition) for an example of a correct format. The page number should be "vi" or "vii" (depending on the length of the ABSTRACT), one inch from the bottom margin.

Typically, the document content consists of the thesis or dissertation chapters and appendices (if any).

### **Bibliography, References, or Works Cited**

The BIBLIOGRAPHY, REFERENCES or WORKS CITED is always the last section of the thesis or dissertation. Appendices should precede the BIBLIOGRAPHY. The BIBLIOGRAPHY, REFERENCES or WORKS CITED must list the sources alphabetically by the last names of the authors. The authors' names should be listed exactly as they appear in the publication. The first page has a top margin of two inches.

## REQUIREMENTS FOR THE FINAL SUBMISSION

### **Number of Printed Copies**

The University requires one (1) approved, official hard copy of the thesis or dissertation. An electronic copy will be deposited in the Robert W. Woodruff Library of the Atlanta University Center institutional repository RADAR (<https://radar.auctr.edu/>) for scholarly research access and preservation. The individual school or department may require additional copies. Graduate students are advised to keep a copy of the final draft for their own files. Theses or dissertations will be submitted to Graduate Education electronically and will require one approved, official hard copy for the library's archival purposes.

### **Print Quality**

The official copy of the thesis or dissertation must be perfectly legible and without discernible erasures. "Liquid paper" or "White Out" corrections will not be accepted. For best results, students should print from their approved Word file document on a computer printer, provided it is of "letter-quality" typeface and all other University specifications of form are met. Computer printouts must meet the same standards of paper, page size, and legibility, including upper and lower case, letter-quality typeface, etc. The thesis or dissertation must be typed in Times New Roman font, size 12 throughout the text, except under exceptional circumstances such as chemical symbols.

### **Documentation**

Each copy of the thesis or dissertation must be accompanied by the following documents:

1. THESIS TRANSMITTAL FORM OR DISSERTATION TRANSMITTAL FORM (See template). When the thesis or dissertation is submitted to Graduate Education, the

transmittal form must be signed by all members of the thesis or dissertation committee, by the department chair, and by the dean of the school. When the thesis or dissertation has the final approval of the University, the transmittal form is also signed by the Dean of Graduate Education. These signatures attest that the signers have **read** and **approved** the **final draft** of the thesis or dissertation in **every respect**. One copy of the transmittal form must be printed on white, 20 lb., 100% cotton, watermarked paper, each bearing original (not photocopied) signatures.

2. ABSTRACT (See template).
3. TITLE PAGE (See template).
4. COPYRIGHT PAGE (See template).
5. STATEMENT OF UNDERSTANDING (See template).
6. NOTICE TO USERS (See template).

## ETD SUBMISSION INSTRUCTIONS

### **ETD Submission Prerequisites**

Before submitting a committee, departmental, and school approved electronic thesis or dissertation to the Graduate Education ETD repository, graduate students must adhere to the following prerequisites:

- **Department and school submission deadlines must be met.**
- **Clark Atlanta University (CAU) student login credentials must be used to create a profile.**
  - Must be able to access and log into student email
- **Graduation applications must be submitted to the Registrar's Office.**
  - Check with department chair
  - Refer to the Graduate Education submission deadlines on the CAU website
- **Registration/enrollment requirements must be met.\***
  - Enroll in at least 1 credit hour during the semester of completion (Thesis Consultation or Dissertation Consultation)
    - \*International students may have different enrollment requirements
      - Please check with International Programs for specifics

- **Thesis/dissertation must be defended prior to submission.**
- **Completed preliminary documents printed on bond paper (100% cotton, white, 20 lb. weight, watermarked) must be received in Graduate Education by the posted deadline:**
  - Signed/dated Thesis Transmittal or Dissertation Transmittal form
  - Signed Statement of Understanding
  - Completed Notice to Users
- **Thesis or dissertation must comply with the current Thesis and Dissertation Guide. Refer to the CAU website (Academics→ Graduate Education → Thesis and Dissertation Information)**
  - Appropriate style manual for discipline
  - Document must be vetted by committee, department, and school;
  - Document edited, proofed, and formatted according to Thesis and Dissertation Guide
    - [Thesis Template](#) in Microsoft *Word*
    - [Dissertation Template](#) in Microsoft *Word*
      - Recommended browser for downloading the template--Google Chrome or Safari
- **Graduate Education will send an email to the graduate student's CAU student email address, confirming receipt of the required preliminary forms and permitting an official upload for review.**
  - This message serves as the official communiqué to upload the approved thesis or dissertation.
    - Note: Upon final approval from Graduate Education, the student will receive written instructions to print one (1) final copy of the thesis or dissertation on bond paper for archival purposes.

## **ETD Submission Steps**

### **Step 1: Transmittal Forms and Signatures, Statement of Understanding, and Notice to Users**

Note: The student should consult committee chair, department, and school dean for their submission preferences.

- Access the appropriate transmittal, Statement of Understanding, and Notice to Users pages according to the prescribed thesis and dissertation guidelines. (See [Deadlines, Guides, and Templates](#));
- Download, complete, and print two copies of the forms;
- Obtain the appropriate department/school signatures/dates on the transmittal form and sign and date Statement of Understanding; and



- Submit official, printed copies (1) of the signed transmittal form, Statement of Understanding, and Notice to Users pages on 100% cotton, 20 lb., watermarked paper to the department.
  - A department representative will submit the document and completed forms to the School Dean for review and signature.
    - The School Dean's office will facilitate submission of the documents/forms to the Office of Graduate Education no later than 5 p.m. by the published deadline.

If any corrections are required on the preliminary forms, the revisions may maintain the original dates of the previous versions.

**\*Transmittal forms/Statement of Understanding/Notice to Users pages submitted to Graduate Education after the published thesis or dissertation deadlines are considered late and will not meet the requirements for completion.**

### **Step 2: Create an account in OJS**

- Create an account in *OJS* in preparation for the approved thesis or dissertation for a Graduate Education review.
  - Go to <https://journals.auctr.edu/index.php/cau-etd/login> to create an account.
  - Use the student **CAU.EDU** email address to create an account.
  - Follow the account instructions for activating the account.

## CAU ETD Submissions

[Current](#) [Archives](#) [About](#) ▾

[Home](#) / [Login](#)

### Login

*Username* \*

*Password* \*

[Forgot your password?](#)

Keep me logged in

[Register](#)

### Step 3: Review Submission Instructions

Once the student has received notification from Graduate Education, permitting an upload, the student must perform the following:

- Review the OJS-ETD Workflow Submitter's Manual; Go to: [https://research.auctr.edu/ld.php?content\\_id=57020791](https://research.auctr.edu/ld.php?content_id=57020791)
- Ensure that the approved electronic version of the thesis or dissertation is accessible to begin the process.
- Go to: <https://journals.auctr.edu/index.php/cau-etd/login>
- Log in with the student email address and password created for the account.

### Step 4: Create a New Submission

After logging in, complete the electronic submission fields as follows:

- Fill Out Submission Form (Start Tab): You must read and agree to all of the statements in the submission form.
- Upload Submission File: Your document must be in Word format (.docx). Name the file in the following format: LastName\_Firstname\_Submission Number.
- Enter Metadata: Enter the metadata for your thesis. The required fields are Title and Abstract.
- Confirmation: Select Finish Submission.

### Step 5: Next Steps

After confirming the submission, the student will see a message detailing what to expect next. At this point you have the option to

- review the submission metadata;
- return to the dashboard; or
- create another submission (*only if requested by Graduate Education*).
- If there is no need to revise the submission, the student should log out of the account.
- Once the thesis or dissertation has been submitted, the student will not be able to make changes to the originally uploaded document.

- The electronic system keeps a history and copy of all versions submitted.

**Note: ALL required uploaded documents must be submitted to the ETD repository by the published deadline, no later than 11:59 p.m. EST.**

**Documents not verified (uploaded) by 11:59 p.m. EST of the deadline are considered late and will NOT meet the requirements for completion.**

## **Step 6: The Reader Review Period**

The reader review period is the time frame in which the thesis or dissertation is reviewed by Graduate Education and returned to the student. The reader review period will not begin until the required printed preliminary documents have been received in Graduate Education and the electronic submission has been uploaded. The following occur during the reader review period:

- A Graduate Education reviewer will be assigned to the thesis or dissertation.
- The reviewer will communicate with the student electronically via the CAU student email, regarding any necessary changes.
  - The committee chair, department chair, and school dean are also notified of the submission status.
- **The student will have two (2) opportunities (only) to address the reviewer's comments.**
  - **Submissions requiring reviews in excess of two will result in the student being considered for the next semester's graduation date.**
- Once the thesis or dissertation is approved, the student will receive a final message, instructing the student to print 1 official copy on the required paper. This copy is archived in the library.
- The document cannot be edited once uploaded to the CAU ETD site.
- The student will need to revise the *Word* file to make the recommended changes.
- After making changes to the *Word* file, the student may upload the revised document again.

### **Step 7: Making the Thesis or Dissertation Available to the Public**

The thesis or dissertation is not made available to the public until verified by Graduate Education and the Office of the Registrar as meeting all necessary criteria. Once verified and cleared for graduation,

- Graduate Education will notify the student when the thesis or dissertation is made available to the public on the CAU ETD site.
- Any requests for changes to the ETD must be made to the Dean of Graduate Education.

### **PUBLICATION OF THESES AND DISSERTATIONS**

All theses and dissertations submitted to Clark Atlanta University shall be made live via Radar, the Atlanta University Center Robert W. Woodruff Library's ETD repository. Students may elect to submit their theses and dissertations to ProQuest for publication. The required instructions, contract forms, and schedule of fees for this service are available at <http://www.proquest.com/en-US/products/dissertations/>. The student must complete this process at the time the thesis or dissertation is submitted to Graduate Education.

The need to register copyright depends on the nature of the materials and on plans for the future publication or revision of the thesis or dissertation. Under present law, the works of an author are protected from the date of creation and on throughout the life of the author, plus another fifty years thereafter (Public Law 94-553, The Copyright Act 1976, effective January 1, 1978). Whether the thesis or dissertation copyright is registered or not, the author retains the right to publish all or any part of the manuscript by any means at any time, except, in the case of the doctoral dissertation, as described by the ProQuest Agreement. Registration of the copyright puts on public record the exact details of a copyright claim. In order to bring suit against an infringer, registration is necessary.

Further information about copyright may be obtained at [www.loc.gov/copyright](http://www.loc.gov/copyright).

Students interested in registering a thesis or dissertation may apply directly to the Registrar of Copyright, Copyright Office, Library of Congress, 101 Independence Avenue S.E., Washington, D. C. 20559-6000, telephone (202) 707-9100.

## AUTHORIZED STYLE MANUALS

It is imperative that students who are preparing a thesis or dissertation consult the style manual designated by their department or school when writing their thesis or dissertation. The latest edition is always the applied authority. Please note that the Internet guides for use of style manuals are often incomplete and inaccurate. They should never be relied upon as authoritative. Also, a student should not use theses or dissertations previously filed or past CAU regulations for format examples because changes are made periodically, and candidates are responsible for following the requirements in effect at the time in which a manuscript is filed.

Except for the requirements stated in this manual, the thesis or dissertation must follow the appropriate manual strictly and consistently. Using a footnoting form from one manual and the bibliography form of another, for example, is not permitted.

At Clark Atlanta University, the default style manual is *A Manual for Writers of Term Papers, Theses and Dissertations* by Kate L. Turabian, 9th edition. For questions unanswered in this manual, the writer is referred to *The Chicago Manual of Style*. Chicago: University of Chicago Press, latest edition.

**Academic programs use one of the following citation style manuals:**

**African American Studies, Africana Women’s Studies, and History (AWH), and Political Science:**

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. Chicago: University of Chicago Press, [9th edition].

- **Summary of Kate L. Turabian Style Manual can be found at:**  
<http://research.auctr.edu/citation>

**Ph.D. in Humanities Concentrations (African-American Studies, Africana Women’s Studies, and History)**

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. Chicago: University of Chicago Press, [9th edition].

- **Summary of Kate L. Turabian Style Manual can be found at:**  
<http://research.auctr.edu/citation>

**English Concentration:**

Modern Language Association. *MLA Handbook*. New York: Modern Language Association of America, [8th edition].

- **Summary of MLA Handbook for Writers of Research Papers can be found at:**  
<http://research.auctr.edu/citation>

**Biological Sciences and Chemistry:**

Coghill, Anne M. and Lorrin R. Garson, eds. *The ACS Style Guide: Effective Communication of Scientific Information*, [3<sup>rd</sup> edition].

**Education, Social Work, and Sociology and Criminal Justice:**

*Publication Manual of the American Psychological Association*. Washington, D.C.: American Psychological Association, [7th edition].

- **Summary of Publication Manual of the American Psychological Association can be found at: <http://research.auctr.edu/citation>**

**English:**

Modern Language Association. *MLA Handbook*. New York: Modern Language Association of America, [8th edition].

- **Summary of MLA Handbook for Writers of Research Papers can be found at: <http://research.auctr.edu/citation>**

**Mathematical Sciences:**

Higham, Nicholas J. *Handbook of Writing for the Mathematical Sciences*. Philadelphia: Society for Industrial and Applied Mathematics, [Latest edition].

**Physics:**

Waldron, Anne, Peggy Judd, and Valerie Miller. *Physical Review Style and Notation Guide*. Ridge: The American Physical Society, [Latest edition].

<http://d22izw7byeupn1.cloudfront.net/files/styleguide-pr.pdf>

**Computer Science:**

Proff Judith, et al. Ed. IEEE Computer Society Style Guide, Los Alamitos: IEEE Computer Society, [Online]. [http://www.computer.org/portal/web/publications/style\\_refs](http://www.computer.org/portal/web/publications/style_refs)

**Note:** If the department and governing style manual are not listed, please contact the department chairperson.

## FINAL DRAFT CHECKLIST

To reduce the likelihood of final draft rejection, the graduate student should check off the following:

- The Thesis or Dissertation Template has been referenced and utilized.
- All macro fields located within the template have been updated with the required information.
- The margins are correct throughout the document.
- The document reflects Times New Roman font, size 12 where required throughout, including the page numbers.
- The same computer and printer have been used throughout the submission process.
- The title is listed **exactly** the same on the THESIS OR DISSERTATION TRANSMITTAL FORM, the ABSTRACT, the TITLE PAGE, and in the ETD submission fields.
- The final document includes the required preliminary pages, numbered correctly and placed in the order listed below [bracketed items optional]:
  1. THESIS or DISSERTATION TRANSMITTAL FORM
  2. ABSTRACT
  3. TITLE PAGE
  4. COPYRIGHT PAGE
  5. STATEMENT OF UNDERSTANDING
  6. NOTICE TO USERS
  7. [ACKNOWLEDGEMENTS]
  8. TABLE OF CONTENTS
  9. [LIST OF FIGURES]
  10. [LIST OF TABLES]
  11. [ABBREVIATIONS]
- Arabic and Roman numerals have been used correctly and consistently, per the *Guide* and template.
- The TITLE, COPYRIGHT, STATEMENT OF UNDERSTANDING, and NOTICE TO USERS pages have been left unnumbered.
- The ACKNOWLEDGEMENTS page has been limited to one (1) page.
- The page numbers and wording of all titles and subtitles in the TABLE OF CONTENTS correspond exactly with the page numbers and wording in the document.
- The listing for “TABLE OF CONTENTS” has been excluded as an item noted in the TABLE OF CONTENTS. (Do not list TABLE OF CONTENTS in the TABLE OF CONTENTS.)
- Subheadings in the TABLE OF CONTENTS include only the relevant subheadings within the document (refers to levels).



- The document reflects the governing style manual's rules for spacing subheadings, tables, and figures.
- All headings contain at least 2 lines of text below.
- All tables and figures have been "called out," or mentioned prior to the appearance of the table or figure, according to the governing style manual.
- Citations and the bibliography, reference list, or works cited page have been formatted according to the governing style manual.
- The document's content has been checked with an originality checker (e.g. turnitin.com) to avoid plagiarism of any kind.
- All required pages have been included and have been ordered correctly in the final document.
- The document has been reviewed for compliance with the Thesis and Dissertation Guide prior to submission, as well as edited for content, grammar, typographical errors, misspelled words, and incorrect use of punctuation marks.
- Ethnic identifiers have been hyphenated when used as adjectives (E.g., "African-American students").
- The print quality is clear and legible, void of any stray marks or characters.
- The final document looks neat, professional, and uniformed.
- Upon final approval from Graduate Programs, the official has been printed on 100% cotton, white, water-marked, 20 lb. weight paper.