



Harvard University

The GRADUATE SCHOOL *of* ARTS AND SCIENCES

Dissertation Guidelines

January 2013

Table of Contents

INTRODUCTION	4
EVERY PhD CANDIDATE IN THE GRADUATE SCHOOL OF ARTS AND SCIENCES IS REQUIRED TO SUCCESSFULLY COMPLETE AND SUBMIT A DISSERTATION TO QUALIFY FOR DEGREE CONFERRAL. THIS DOCUMENT PROVIDES INFORMATION ON HOW TO SUBMIT YOUR DISSERTATION, REQUIREMENTS FOR DISSERTATION FORMATTING, AND YOUR DISSERTATION DISTRIBUTION OPTIONS. PLEASE FOLLOW THE SUBMISSION AND FORMATTING GUIDELINES PROVIDED HERE; DO NOT USE PREVIOUSLY PUBLISHED DISSERTATIONS AS EXAMPLES.	4
ADVANCED PLANNING OF THE DISSERTATION.....	4
APPROVAL OF DISSERTATION SUBJECT.....	4
SUBMITTING YOUR DISSERTATION	4
SUBMISSION OF DISSERTATION TO DEPARTMENT	4
ACCEPTANCE BY DEPARTMENT (DISSERTATION ACCEPTANCE CERTIFICATE, DAC).....	4
APPLICATION FOR THE DEGREE	5
ONLINE SUBMISSION OF THE DISSERTATION	5
AFTER SUBMISSION.....	6
DISTRIBUTION OF THE DISSERTATION.....	6
MAKING YOUR DISSERTATION PUBLICLY AVAILABLE	6
DEPOSIT IN THE UNIVERSITY ARCHIVES	7
EMBARGOES.....	7
PATENT FILING.....	7
PROQUEST DISSERTATION PUBLISHING	8
SELLING YOUR DISSERTATION THROUGH PROQUEST	8
ADDITIONAL BOUND COPIES	9
FORMATTING GUIDELINES	9
LANGUAGE OF THE DISSERTATION.....	9
LENGTH	9
PHYSICAL REQUIREMENTS	10
<i>Margins</i>	10
<i>Spacing</i>	10

<i>Font</i>	10
BODY OF TEXT	10
PAGINATION.....	10
TITLE PAGE	11
SAMPLE TITLE PAGE FOR A PhD DISSERTATION	12
COPYRIGHT NOTICE	13
ABSTRACT	13
SAMPLE ABSTRACT.....	14
FORMATTING ERRORS	16
FRONT AND BACK MATTER	16
SUPPLEMENTAL MATERIAL	17
- FIND MATERIAL USING THE SEARCH OPTIONS THAT ARE RELEVANT TO THE SUBJECT OR DEPARTMENT TABLES AND FIGURES	17
VISUAL MATERIAL.....	18
ACKNOWLEDGING THE WORK OF OTHERS.....	19
REFERENCES	19
<i>Footnotes</i>	19
<i>Bibliography</i>	19
CITATION & STYLE GUIDES	20
USE OF COPYRIGHTED MATERIAL.....	20
SERVICES AND INFORMATION.....	22
PROQUEST PUBLISHING ORDERS AND PAYMENTS	22
COPY SERVICES IN THE HARVARD SQUARE AREA	22
BOOKBINDERS.....	23
COMMENTS OR SUGGESTIONS	23
DISSERTATION SUBMISSION CHECKLISTS.....	24
FORMATTING CHECKLIST.....	24
SUBMISSION TO THE REGISTRAR'S OFFICE CHECKLIST	25

Introduction

Every PhD candidate in the Graduate School of Arts and Sciences is required to successfully complete and submit a dissertation to qualify for degree conferral. This document provides information on how to submit your dissertation, requirements for dissertation formatting, and your dissertation distribution options. Please follow the submission and formatting guidelines provided here; do not use previously published dissertations as examples.

Advanced Planning of the Dissertation

Approval of Dissertation Subject

The subject of the dissertation must be approved in advance by the student's department. If a student wishes to submit as a dissertation a published article or series of articles, a book or monograph, or a manuscript that has been accepted for publication, approval by the appropriate department must be obtained. In no event may a dissertation be presented for the PhD degree that has already been submitted toward any degree, either at Harvard or elsewhere, in substantially the same form and content. In addition to the specific requirements set by GSAS, students must be aware of and conform to any requirements prescribed by their department or dissertation committee, particularly the recommendations of their dissertation supervisor.

Submitting Your Dissertation

Submission of Dissertation to Department

The dissertation must be submitted to the department in conformity with the deadline date established by the department. The department's date is generally six to eight weeks earlier than the date the completed dissertation is due at the Registrar's Office. This is in order for the candidate to qualify for a degree on one of the three conferral dates. Students should ascertain from their department whether the dissertation is to be submitted in bound or unbound form for reading and how many copies the department requires. Students are responsible for notifying the department about embargoes.

Acceptance by Department (Dissertation Acceptance Certificate, DAC)

The dissertation must be accepted, and the DAC signed, by at least three readers designated by the

student's department, two of whom must be members of the Faculty of Arts and Sciences (FAS) of Harvard University. FAS emeriti (including research professors) and faculty members from other schools at Harvard who hold appointments on GSAS degree committees are authorized to sign the DAC as FAS members. GSAS strongly recommends that the chair of the dissertation committee be a member of FAS. The original DAC must be submitted to the Registrar's Office by the student or the department. The signed DAC must be received in the Registrar's Office no later than the dissertation due date.

The Registrar's Office will forward the original DAC to University Archives for safekeeping. A scanned copy of the DAC should appear before the title page of the PDF online submission of your dissertation; no page number should be assigned to the DAC. **The title on the DAC must read exactly as it does on the title page of the dissertation.** The DAC will be included in all copies of the dissertation.

Application for the Degree

Application for the PhD degree must be filed at the Registrar's Office approximately two months in advance of the month in which the degree is expected. The application is on the Registrar's website at <http://gsasdegreeapp.fas.harvard.edu>. For exact deadline dates, please visit the Registrar's Office website or the *GSAS Handbook* (see the GSAS website at <http://www.gsas.harvard.edu>). All additional documentation must also be received by the deadline. **Deadline extensions are not possible.** Students who miss the deadline must re-apply for the degree for the subsequent degree conferral date (November, March, or May). The student is responsible for meeting submission deadlines. Please see Submission to the Registrar's Office Checklist, on page 25, for details.

Deadline extensions are not possible. Students who miss the deadline must re-apply for the degree for the subsequent degree conferral date (November, March, or May). The student is responsible for meeting submission deadlines.

Online Submission of the Dissertation

The Graduate School of Arts and Sciences now requires online submission of dissertations. We are using a web-based interface, ProQuest's "UMI ETD Administrator", for online submission and review

of dissertations. Online submission is easier and faster: students log on, input their information, and upload their manuscripts for the site administrator's review. No printing or shipping is required, and manuscripts submitted online retain their original appearance with color images, graphics, and clear text.

All PhD candidates are required to submit the digital copy of the dissertation to the Registrar's Office as a PDF file via the UMI ETD Administrator online-submission tool by the deadline established for each degree conferral date. Dissertations must be submitted in their final format, as described in the section "Formatting Guidelines". Please check formatting carefully before submitting. **Formatting errors may prevent the student from receiving the degree.** The ProQuest publishing agreement must be completed and any fees for publishing paid via the online-submission tool.

The online-submission tool can be found at: <http://www.etdadmin.com/gsas.harvard>

After Submission

Once the degree has been applied for and the dissertation submitted online, it is checked for compliance by the Registrar's office and if accepted is forwarded for deposit in Harvard's DASH repository and in ProQuest's products for distribution as described in the section "Distribution of the Dissertation" below. In addition, the dissertation is cataloged in Harvard's online library catalog HOLLIS, and a hardbound archival paper copy is deposited in the University Archives.

Distribution of the Dissertation

Making Your Dissertation Publicly Available

The assumption that underlies the regulations concerning the deposit of PhD dissertations is that they must be "published" in the old sense. That is, they must be made available as proof of the candidate's achievement. This assumption echoes a traditional European idea that the candidate for a doctorate must make a contribution to knowledge and cannot have a degree for making a discovery that is kept secret. It is, therefore, only in very exceptional cases that access to dissertations is restricted.

In keeping with this practice, except in unusual cases, dissertations are made available through DASH, an open-access repository of scholarship by members of the Harvard community. DASH is operated by Harvard Library's Office for Scholarly Communication and is the University's central service for sharing scholarly work. The deposited dissertation will serve as Harvard's copy of record, and will serve as the circulating copy. Students are required to review and accept the University Agreement within the UMI ETD Administrator online-submission tool to acknowledge their agreement to distribute their dissertation through DASH, subject to embargoes. Students have the option not to submit to DASH. In addition, the dissertation is made available through the ProQuest/UMI dissertation and thesis subscription, sales, and indexing services. Embargoes may be placed on the ProQuest submission.

Deposit in the University Archives

A mandatory \$25 fee for a printed and bound copy of the dissertation is included in the online-submission process. This copy, provided by ProQuest, is deposited in the Harvard University Archives as a fail-safe backup. The printed copy does not circulate and is not generally available for research use.

Embargoes

Any permission required for use of copyrighted or licensed material must be obtained and patents filed before the dissertation is submitted. If an embargo is necessary, it is possible to embargo the dissertation for six months, one year, or two years. If a longer embargo is necessary, the student must write a note in the online tool to the Administrator. Once embargoed through the UMI ETD Administrator tool, the dissertation will then be embargoed from distribution by DASH and ProQuest.

Patent filing

Public disclosure of an invention before a patent application has been filed can result in loss of patent rights. Therefore, students should be sure to submit a Report of Invention (ROI) to the Office for Technology Development (OTD) before they defend their dissertation and it is submitted through the UMI ETD Administrator tool (or before any earlier conference or seminar presentation, submission for publication, or other public disclosure – a concept broadly construed under patent law). Students can make their ROI submission on the OTD website. The ROI should be submitted as soon as possible

after the invention is made, but in any event at least several weeks before the dissertation defense, so that the OTD will have time to evaluate patentability and to file a patent application if it decides to proceed. The OTD should be notified of the date of the defense or other expected disclosure of the invention. Students should clearly identify and describe the invention in the ROI, and may need to be available to discuss their work with the OTD or outside patent counsel. Once a patent application is filed, the student may submit their dissertation to ProQuest, DASH, and University Archives through the UMI ETD Administrator online-submission tool.

ProQuest Dissertation Publishing

Students are required to complete the publishing agreement provided in the UMI ETD Administrator tool. All fees related to publishing or personal copies must be paid at the time of submission. The agreement gives ProQuest specific rights to publish the Abstract in its monthly *Dissertation Abstracts International* and in the *ProQuest Dissertation and Theses* computerized database, and to index the material in the annual *Comprehensive Dissertation Index*. The agreement further allows ProQuest to distribute copies of the dissertation in microfilm, paper, and digital forms, subject to any embargo. The ProQuest publishing agreement is non-exclusive and in no way prohibits the author from making any disposition of other manuscript copies, nor does it prohibit the author from publishing the dissertation at any time.

For more information about ProQuest services, visit

<http://www.proquest.com/en-US/products/dissertations/>

Selling Your Dissertation through ProQuest

Students may further instruct ProQuest to sell their dissertation. ProQuest pays a 10 percent royalty on all sales of the manuscript. Royalty payments must exceed \$25 in a calendar year to be paid. If authors do not want *any* sale of their dissertation, they may embargo it. An embargo at ProQuest will make only the abstract available for viewing in the ProQuest Dissertation and Thesis database and subject indexes. If authors would like to restrict sales to “author only,” they should contact ProQuest at disspub@ProQuest.com or call (800) 521-0600, extension 7020.

Additional Bound Copies

Individual departments may require that students submit a bound copy of the dissertation directly to the department. Students should check their department's specific requirements. Since the University Archives' copy cannot be circulated, most students need to prepare extra copies for their own and the department's purposes. **When submitting your copy to the department, be sure to convey any embargo information.** Extra copies may be purchased through the UMI ETD Administrator tool at the time of submission or through a local bindery. If ordering copies through UMI, students should keep in mind that the PDF file will be submitted at the end of the degree period and the processing time is between four and six weeks. If bound copies are needed more urgently, students should contact a local bindery for services (a list of local binderies can be found on page 23). For questions regarding order status please contact ProQuest at 800-521-0600 x 7-7020. Bound copies created by UMI are printed double-sided in black and white only.

Formatting Guidelines

The following are instructions on how to format your dissertation. If, after reading the instructions here, you have additional questions about physical requirements for the dissertation set by GSAS, please contact the FAS Registrar's Office: (617) 496-4182 or (617) 495-1489. Be sure your questions are answered before submitting.

Language of the Dissertation

The language of the dissertation is ordinarily English, although some departments whose subject matter involves foreign languages may accept a dissertation written in a language other than English.

Length

Most dissertations are 100 to 300 pages in length. All dissertations should be divided into appropriate sections, and long dissertations may need chapters, main divisions, and even subdivisions. Students should keep in mind that GSAS and many departments deplore overlong and wordy dissertations.

Physical Requirements

Margins

- At least 1 inch for all margins

Spacing

- Spacing throughout body of text: double spacing
- Spacing for block quotations, footnotes, and bibliographies: single spacing *within* each entry but double spacing *between* each entry.
- Spacing for table of contents, list of tables, list of figures or illustrations, and lengthy tables: single spacing may be used.

Font

- Use 10-12 point font size.

Body of Text

Students should take care that the same style of font or typeface that appears in the main body of the text is also used in all headers, page numbers, and footnotes. Exceptions are made only for tables and figures produced by different technology or by graphic artists.

Pagination

Every page in the dissertation has a number except for the DAC. For the preliminary pages (abstract, table of contents, list of tables, graphs, illustrations, and preface), use small Roman numerals (i, ii, iii, iv, v...). These should be centered at the bottom or top of the page.. *All pages must contain text or images. Should you wish to include a blank page, please print "Page intentionally left blank," centered in the middle of the page, to clearly indicate your intent.*

Count the title page as page i and the copyright page as page ii, *but do not print the page numbers on either of these two pages.*

For the text, use Arabic numbers (1, 2, 3, 4, 5...) starting with page one (the first page of the text itself). As in a book, page numbers can be centered at top or bottom. The placement of page numbers must be centered throughout the manuscript. Since page numbers are used to demonstrate that the dissertation is complete, every page must be consecutively numbered, including tables, graphs,

illustrations, and bibliography/index (if they are included); letter suffixes (such as 10a, 10b...) are not allowed. It is customary not to have a page number on the page containing a chapter heading.

Check pagination carefully. Account for all pages.

Title Page

A scanned copy of the Dissertation Acceptance Certificate (DAC) should appear as the first page of the PDF file, followed by a blank page. These should not be counted or numbered. This page will appear in the bound and online versions of the published dissertation.

The dissertation begins with a title page, which must be prepared in the form specified on page 12. The title should be as concise as possible, consistent with giving an accurate description of the dissertation. Students are strongly encouraged to embed key words into their title, so that the title will be retrievable on computerized listings. Be sure to use words for formulas, symbols, Greek letters, and so on. Do not print a page number on the title page. It is understood to be page *i* for counting purposes only.

See the following page for a sample title page of a PhD dissertation.

Sample Title Page for a PhD Dissertation

[*Title*
as it appears on the Dissertation Acceptance Certificate]

A dissertation presented
by
[*full name of author as it appears on your GSAS record*]
to
The [official name of the department, division, or committee
under which dissertation was written]

in partial fulfillment of the requirements
for the degree of
Doctor of Philosophy
in the subject of
[official name of subject as listed in
the GSAS Handbook (see “Degree Programs”)]

Harvard University
Cambridge, Massachusetts

[*Month and year of the submission of the completed
dissertation to the department, division, or committee and
Dissertation Acceptance Certificate was signed*]

Copyright Notice

The Copyright Act of 1976 provides for statutory copyright protection of a work from the moment it is tangibly fixed. Though no longer required for copyright protection, a copyright notice will prevent a defense of innocent infringement and will inform others that the work is copyrighted and by whom, thus potentially deterring infringement and facilitating requests for permission. A copyright notice is therefore advisable and should be affixed on a separate page immediately following the title page. It should include the copyright symbol ©, the year of first publication of the work, and the name of the author. The notice should appear thus:

© [year] [Author's Name]

All rights reserved.

Do *not* print a page number on the copyright page. It is understood to be page ii for counting purposes only.

If a student requests copyright registration, ProQuest Dissertation Publishing will send copies of the dissertation to the Copyright Office in Washington, DC. This office will then send registered copies to the Library of Congress. Under mandatory deposit requirements, ProQuest also sends copies of all dissertations to the Library of Congress upon its request. The price of copyright registration is \$55.00.

Abstract

An abstract, not to exceed 350 words, and numbered as page *iii*, is required. It should immediately follow the copyright page, and should state the problem, describe the methods and procedures used, and give the main results or conclusions of the research. A text version of the Abstract is required as part of the online dissertation submission. **The abstract should be double spaced.** The author's name and the title of the dissertation, as well as the name of the dissertation advisor, should be included on the abstract page. The author's name should be right justified, the title of the dissertation centered, and "Dissertation Advisor: Professor _____" should be left-justified at the top of the abstract page. A maximum of two advisor names are allowed.

ProQuest will publish all abstracts in *Dissertation Abstracts International* and major subject indexes.

ProQuest no longer provides on-demand copies of abstracts.

Sample Abstract

(Note: The Abstract will appear in the online and bound versions of the dissertation. The UMI ETD Administrator online-submission tool also requires that a text version is provided as a part of the submission process.)

[Advisor's name]	[Author's name]
[Title of the Dissertation]	
Abstract	
The text of the abstract, not to exceed 350 words, should be double-spaced. The first line of each paragraph is indented. Full justification of the text is not recommended.	
iii	

The Dissertation: Top-10 Formatting Errors — and How to Avoid Them!

Each year, too many PhD students see their submitted dissertations rejected because of incorrect formatting. This costs the Registrar's Office many hours, and it costs students the trauma of last-minute fixes, often against the clock. Avoid the problem — watch out for these common formatting glitches!

1. Missing Dissertation Acceptance Certificate

The first page of the PDF dissertation file should be a scanned copy of the Dissertation Acceptance Certificate (DAC), followed by a blank page. These should not be counted or numbered as a part of the dissertation pagination.

2. Conflicts Between the DAC and the Title Page

The DAC and the dissertation title page must match exactly, meaning that the author name and the title on the title page must match that on the DAC. The author name on both should appear as it does on the official GSAS record.

3. Abstract Formatting Errors

The advisor name should be left-justified, and the author name should be right-justified. Up to two advisor names are allowed. The Abstract should be double spaced and include the page title "Abstract," as well as the page number "iii."

4. Pagination

- The front matter should be numbered using Roman numerals (iii, iv, v, ...). The title page and the copyright page should be counted but not numbered. The first printed page number should appear on the Abstract page.
- The body of the dissertation should be numbered using Arabic numbers (1, 2, 3, ...). The first page of the body of the text should begin with page 1. Pagination should not continue from the front matter.
- All page numbers should be centered either at the top or the bottom of the page.

5. Figures and Tables

- Figures and tables must be placed within the text, as close to their first mention as possible. Figures and tables that span more than one page must be labeled on each page. Any second and subsequent page of the figure/table must include the "(Continued)" notation. This applies to figure captions as well as images. Each page of a figure/table must be accounted for and appropriately labeled.
- All figures/tables must have a unique number. They may not repeat within the dissertation.

6. Horizontal Figures and Tables

- Any figures/tables placed in a horizontal orientation must be placed with the top of the figure/table on the left hand side. The top of the figure/table should be aligned with the spine of the dissertation when it is bound.
- Page numbers must be placed in the same location on all pages of the dissertation, centered, at the bottom of the page. Page numbers may not appear under the table/ figure.

7. Supplemental Figures and Tables

Supplemental figures and tables must be placed at the back of the dissertation in an appendix. They should not be placed at the back of the chapter.

8. Permission Letters

Copyright permission letters must be uploaded as a supplemental file, titled 'do_not_publish_permission_letters," within the ProQuest submission tool.

9. Original DAC and Surveys

The original Dissertation Acceptance Certificate as well as three required surveys must be submitted to the Registrar's Office by the dissertation deadline. Dissertation submission is not complete until all documents have been received and accepted.

10. Overall Formatting

Check all formatting after all revisions and before submitting online, to make sure that all requirements are met.

Front and Back Matter

For any dissertation that is divided into sections, a table of contents listing at least the major headings should be prepared.

The order of sections should be as follows:

1. Title page
2. Copyright page
3. Abstract
4. Table of Contents
5. Front Matter
6. Body of Text
7. Back Matter

Front matter may include: acknowledgments of help or encouragement from individuals or institutions; a dedication; a list of illustrations or of tables; a glossary of terms; one or more epigraphs—pertinent quotations at the beginning of a dissertation or a chapter.

Back matter may consist of appendixes, a bibliography, supplemental materials including supplemental figures and tables, and, rarely, an index.

Supplemental material

Supplemental figures and tables must be placed at the end of the dissertation in an appendix. They may not be placed within or at the end of the chapter. If additional digital information (including text, audio, video, image, or data sets) will accompany the main body of the dissertation, it should be uploaded as supplemental material via the UMI ETD Administrator online-submission tool. ProQuest will provide media copies for University Archives as part of the bound dissertation. Dissertations with media supplements will include a sleeve on the back cover of the dissertation, containing the supplemental material on disc. Supplemental material will be available online in DASH. To view dissertations and supplemental material submitted to ProQuest in prior years, students can use the e-research function of the Harvard Library system. To access these materials students should follow these steps:

- Go to <http://eresearch.lib.harvard.edu/V>
- Click on “Find e-resources”
- Select “Dissertations & Theses Full Text (ProQuest)” from the drop-down menu and click “Go”

- Find material using the search options that are relevant to the subject or department

Tables and Figures

Tables and figures must be placed as close as possible to their first mention in the text. They may be placed on a page with no text above or below, or they may be placed directly into the text. If a table or a figure is alone on a page (with no narrative), it should be centered within the margins on the page. Tables and figures referred to in the text may not be placed at the end of the chapter or at the end of the dissertation. Figure and table numbering must be either continuous throughout the dissertation or by chapter (e.g., 1.1, 1.2, 2.1, 2.2). For example, there cannot be two figures designated in a dissertation as “Figure 5.” Given the standards of the discipline, an exception is made for dissertations in the Department of History of Art and Architecture; illustrations may be placed at the end of the dissertation.

Headings of tables should be placed at the top of the table. While there are no specific rules for the format of table headings and figure captions, a consistent format must be used throughout the dissertation. (See style manuals appropriate to one’s field.)

Captions of figures should be placed at the bottom of the figure. If the figure takes up the entire page,

the figure caption should be placed alone on the preceding page and centered vertically and horizontally within the margins. Each page receives a separate page number. When a figure or table title is on a preceding page, the second and subsequent pages of the figure or table should say, for example, “Figure 5 (Continued).” In such an instance, the list of figures or tables will list the page number containing the title. The word “figure” should be written in full (not abbreviated), and the “F” should be capitalized (e.g., Figure 5). In instances where the caption continues on a second page, the “(Continued)” notation should appear on the second and any subsequent page. The figure/ table and the caption are viewed as one entity and the numbering should show correlation between all pages. Each page must include a header.

Horizontal figures and tables (i.e., those landscaped on the page) must be positioned correctly and bound at the top, so that the top of the figure or table will be at the left margin. Figure and table headings/captions are placed with the same orientation as the figure or table when on the same page. When on a separate page, headings/captions are always placed in vertical orientation, regardless of the orientation of the figure or table. Page numbers are always placed as if the figure were vertical on the page.

If a graphic artist does the figures, GSAS will accept lettering done by the artist only within the figure. Figures done with software are acceptable if the figures are clear and legible. Legends and titles done by the same process as the figures will be accepted if they too are clear, legible, and run at least 10 or 12 characters per inch. Otherwise, legends and captions should be printed with the same font used in the text.

Pages should not vary from the standard size of 8½ x 11 inches (an exception to the size requirement will be made for music scores). Plan illustrative materials so they can be reduced to meet this specification. They should be centered between the margins on a page with no text above or below.

Visual Material

Original illustrations, photographs, and fine arts prints should be scanned and included in the PDF of the dissertation. See Resources and Guidelines in the UMI ETD Administrator online-submission tool, which can be found at <http://www.etdadmin.com/gsas.harvard.edu>

Acknowledging the Work of Others

Students are responsible for acknowledging any facts, ideas, or materials of others used in their own work. Students should refer to the statement on “Academic Dishonesty and Plagiarism” in the *GSAS Handbook*.

References

There are many ways to handle scholarly references and preferred usage varies among fields. In choosing an annotation or reference system, students should be guided by the practice of their discipline and the recommendations of their dissertation advisor, department, or committee. In some fields, publishers of scholarly books or articles have established styles for various editorial details and may have issued a style manual to guide contributors. Students who plan eventual publication may find these guides helpful in setting a style for their dissertations that will be appropriate for publication without extensive alteration. When images or quotations from materials held by libraries, archives, museums, and the like are included in the dissertation, authors should follow the policies of owning institutions concerning references and citations.

The general byword for scholarly reference is consistency. Essential publication facts should be as nearly complete as possible, but unnecessary details should be avoided. In all these matters, writers do well to follow the practice of their discipline. A list of various citation and style guides is given below.

Footnotes

Textual notes that provide bibliographic reference, supplemental information, opinions, explanations, or suggestions that are not part of the text must appear at the bottom of the page as a footnote. This placement ensures that they will appear as close as possible to the referenced passage. Lengthy footnotes may be continued on the next page. Footnote numbering can be continuous throughout the dissertation or may start again for each chapter or page, but the method must be consistent. Footnotes may be single spaced within each entry, but must be double-spaced between each entry.

Bibliography

Students should check with their advisor or department to determine whether a bibliography is

customary in their field. If it is, they should be sure to follow the conventions of the discipline.

The bibliography may be single spaced within each entry, but must be double-spaced between each entry. On the first page of the bibliography, the page number is placed at the bottom of the page, centered between the margins. Thereafter, page numbers should be placed in the same position as they are throughout the rest of the text. Also, the bibliography should be consecutively paginated after the text.

Citation & Style Guides

- *The Chicago Manual of Style*. 16th ed. Chicago, IL: University of Chicago Press, 2003.
- Crews, Kenneth D. *Copyright Law and the Doctoral Dissertation*. Ann Arbor, MI: ProQuest, 2000.
- Day, Robert A. and Barbara Gastel. *How to Write & Publish a Scientific Paper*. 6th ed. Westport, CT: Greenwood, 2006.
- *MLA Style Manual and Guide to Scholarly Publishing*. 3rd ed. New York, NY: Modern Language Association of America, 2008.
- Strunk, William. *The Elements of Style*. 4th ed. New York, NY: Penguin Press, 2005.
- *Publication Manual of the American Psychological Association*. 6th ed. Washington, DC: American Psychological Association, 2010.
- Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. Chicago Guides to Writing, Editing, and Publishing. 7th ed. Chicago, IL: University of Chicago Press, 2007.

Use of Copyrighted Material

If copyrighted material belonging to others is used in the dissertation, the student must give full credit to the author and publisher of the work used. If a quotation exceeds “fair use,” permission from the copyright owner must be obtained and uploaded as supplemental material as part of the online dissertation submission. U.S. copyright law allows authors to quote or reproduce short portions from a work protected by copyright without seeking permission, so long as they are making “fair use” of the

copied material. To determine whether an excerpt from a copyrighted work meets “fair use” criteria, one should consider the amount and substantiality of the portion quoted or reproduced, the nature of the copyrighted work used, how the use of the excerpt will affect the market for or value of the copyrighted work, and the purpose and character of its use, including whether it is commercial in nature or for nonprofit educational use. There are many resources describing the fair use test, including, for example, materials on the copyright resources section of the Harvard Office of the General Counsel website and the website of the American Association of University Presses.

Fair use is a U.S. doctrine. There is no equivalent under the copyright laws of most foreign countries though at least some, and probably many, have an exemption for brief quotations from published works. Hence, if a dissertation is being distributed abroad, different considerations may apply. That said, many people making academic material available on the Internet seem to rely on fair use without incident.

Any permission required for use of copyrighted or licensed material must be obtained before the dissertation is submitted.

Permission to use copyrighted material is obtained from the owner of the copyright. If a student includes his or her own previously published material in the dissertation, and if the student had granted publication rights to the publisher then the student must obtain permission from the publisher to include this material in the dissertation. Any permission requested should allow the material to be used as part of the dissertation in all forms and media, including but not limited to digital and electronic form.

If a student has plans to publish content that will be included in their dissertation and that material will be published prior to submitting their dissertation, then the student should be sure to obtain permission to use their own materials from their publisher prior to publication. This can be negotiated in the student’s contract or agreement with the publisher.

ProQuest requires copies of copyright permission letters to be submitted as supplemental material of the dissertation and assumes no liability for copyright violations. Copyright permission letters are not to be published. They should be submitted as a separate supplemental file with the title, “Permission

Letters, Do Not Publish.”

When images or quotations from materials obtained from libraries, archives, museums, and the like are included in the dissertation, students should also follow the policies of the respective repositories concerning permission requirements.

When material copyrighted by someone other than the author appears in a dissertation, and when the author has failed to obtain permission from the copyright holder for ProQuest to sell such material, ProQuest cannot make the complete dissertation available for sale to anyone other than the author.

Services and Information

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Formatting Checklist

- ☐ Is every page of the dissertation correctly numbered? (page 10)
- ☐ Does the body of the text begin with Page 1? (page 10)
- ☐ Is the pagination continuous? Are all pages included? (pages 10-11)
- ☐ Is the Dissertation Acceptance Certificate unnumbered and positioned as the first page of the PDF file? (pages 4 and 10)
- ☐ Is there a blank page after the Dissertation Acceptance Certificate? (page 11)
- ☐ Is the placement of page numbers centered throughout the manuscript? (page 10)
- ☐ Is the title page formatted correctly? (pages 11-12)
- ☐ Is the author's name, in full, on the title page of the dissertation and the abstract? (pages 11-12)
- ☐ Does the author's name read the same on both and does it match the Dissertation Acceptance Certificate? (pages 11-12)
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- ☐ Does the abstract include the title of the dissertation, the author's name, and the dissertation advisor's name? (pages 13-14)
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- ☐ Are the margins 1" on all sides? (page 10)
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- ☐ Are references in the form of footnotes, or endnotes if customary in your field? (page 19)
- ☐ Are all charts, graphs, and other illustrative materials perfectly legible? (pages 17-18)
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The Survey of Earned Doctorates can be completed online at <https://sed.norc.org/survey>. A copy of your completion confirmation email or a completion certificate can be printed and submitted to the Registrar's Office.

The Survey of Postgraduate Plans and the Student Exit Interview are available on the Registrar's website:

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