



Harvard University

*The* GRADUATE SCHOOL *of* ARTS AND SCIENCES

***Guidelines for The PhD Dissertation***

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## 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 publishing and 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, 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 their department of any embargo that has been placed on their work.

### ***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) at 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 printed on watermarked paper in order to meet archiving requirements and must be submitted to the Registrar's Office by the student or the department by the dissertation deadline.

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***

An 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* (<http://www.gsas.harvard.edu/handbook>).

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

### ***Online Submission of the Dissertation***

GSAS requires online submission of electronic dissertations using the ProQuest/UMI ETD Administrator tool to the FAS Registrar's Office as a formatted PDF file 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 publishing fees paid via the online submission tool. Three graduate surveys, available on the Registrar’s website, must also be uploaded as a part of the dissertation submission.

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

### ***After Submission***

Upon submission of the electronic dissertation online, the work is reviewed for compliance by the Registrar’s Office. Upon final approval, the dissertation is cataloged in Harvard’s online library catalog HOLLIS, and an electronic copy of record of the dissertation and a hardbound archival paper copy are deposited in the University Archives. Dissertations – the Harvard electronic copy of record – are received by Harvard into a non-public, inaccessible repository, and additionally, into DASH (Digital Access to Scholarship at Harvard). Students elect in the ProQuest tool whether their work will be made available via DASH. The work is also forwarded for deposit in ProQuest’s databases for distribution as dictated by the student in the PQ Publishing Options and as described in the section “Distribution of the Dissertation” below.

## **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 online 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. In the Institutional Repository (IR) Publishing Options screen of ProQuest/UMI ETD Administrator tool, students are required to review and accept the University

Agreement to acknowledge distribution of their dissertation through DASH, pursuant to any embargo placed on the work in the submission tool. Additionally, as outlined by the student's selections in the PQ Publishing Options screen, the dissertation is made available through the ProQuest dissertation and thesis subscription, sales, and indexing services. In the PQ Publishing Options screen, access to one's dissertation may be delayed/restricted by placing an embargo on the electronic ProQuest submission.

### ***Delayed or Restricted Access (Embargoes)***

If an embargo is necessary, it is possible to embargo the dissertation for six months, one year, or two years in the PQ Publishing Options screen of the online submission tool. If a longer embargo is necessary, the student must submit a request via the submission tool to the Administrator. **Any embargo placed on the work in the submission tool applies equally to access to the work via DASH or ProQuest databases.** However, students are responsible for communicating the placement of an embargo on their work to their department in the event that submission of an additional, departmental print copy of their dissertation is required. Any permission required for use of copyrighted or licensed material must be obtained and patents filed before the dissertation is submitted. It is *not* necessary to embargo a dissertation for patenting purposes once a patent application has been filed with the U.S. Patent and Trademark Office: from then on, any invention covered by the application may be disclosed publicly without a loss of patent rights.

### ***Deposit in the University Archives***

A hardbound archival paper copy of the submitted, approved work is also deposited in the University Archives. A mandatory \$25 fee for this 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 available for research use. The electronic copy in DASH is the version available to researchers, pursuant to any embargo.

### ***Patent filing***

Public disclosure of an invention before a patent application has been filed can result in loss of patent rights. Therefore, students who believe they have made an invention 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 (<http://www.otd.harvard.edu>). 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 and/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 ProQuest publishing agreement stated in the online submission 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 the *ProQuest Dissertations and Theses* database. The agreement further allows ProQuest to distribute copies of the dissertation in microfilm, paper, and digital forms, pursuant 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 [dissspub@ProQuest.com](mailto:dissspub@ProQuest.com) or call (800) 521-0600, extension 7020.

### ***Additional Bound Copies***

Individual academic 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. **Please note that students are responsible for communicating the placement of an embargo on their work to their department in the event that submission of an additional, departmental print copy of their dissertation is required.** Extra copies may be purchased through the online submission 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	

## *Formatting Errors*

### **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 must be submitted to the Registrar’s Office by the dissertation deadline. Three surveys must be completed and uploaded within the ProQuest submission tool. 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”

## ***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 and the Department of Architecture, Landscape Architecture, and Urban Planning – these 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.

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