

# *The Form of the PhD Dissertation*

A Supplement to the  
*Graduate School of Arts and Sciences Handbook*

HARVARD UNIVERSITY  
Graduate School of Arts and Sciences  
Holyoke Center 350  
1350 Massachusetts Avenue  
Cambridge, Massachusetts 02138  
studaff@fas.harvard.edu

Also available on the World Wide Web at  
[http://www.gsas.harvard.edu/current\\_students/form\\_of\\_the\\_phd\\_dissertation.php](http://www.gsas.harvard.edu/current_students/form_of_the_phd_dissertation.php)

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# *The Form of the PhD Dissertation*

## Introduction

This publication is intended to assist students in preparing PhD dissertations. The Graduate School of Arts and Sciences (GSAS) requires both one *bound* paper copy and one *boxed* paper copy. Both copies must meet the specifications described beginning on page 9. A dissertation that does not conform to the minimum standards set by GSAS may have to be reformatted and resubmitted. In that event, the degree cannot be awarded until a dissertation in satisfactory form is completed and deposited with the Registrar. Please follow the guidelines in this booklet. Do not use dissertations previously published as examples.

A summary of the physical requirements set by GSAS to which all dissertations in Arts and Sciences must conform is provided below, in the section “Preparation of the Dissertation.” The use of permanent, durable materials in the bound copy is important because it is deposited in the University Archives as the copy of record. These physical requirements are discussed in detail—along with some counsel and cautions, as well as some pointers on the production and reproduction of illustrations, with suggested resources that may prove helpful to authors.

Applications for the PhD degree must be filed at the Registrar’s Office, on a form provided by that office, approximately two months in advance of the month in which the degree is expected (degrees are awarded in November, March, and May). The exact dates by which the degree application is due at the Registrar’s Office can be found in the *GSAS Handbook* (see the GSAS website at <http://www.gsas.harvard.edu>).

For any questions relating to the physical format of the dissertation not adequately answered by this booklet, please contact the FAS Registrar’s Office, (617) 496-4182 or (617) 495-1489.

## Advanced Planning of Dissertation

### Approval of Dissertation Subject

The subject of the dissertation must be approved in advance by the student’s department, at which time the department may set up an advisory committee.\* 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.

### Language of the Dissertation

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\* In this booklet, the word “department” denotes the student’s academic department, committee, division, or body supervising 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.

## Form of Presentation

### Length

Most dissertations are between 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. If a dissertation contains as many as 400 pages, the binder may recommend binding it in two volumes rather than one. For two volume dissertations, pagination should be continuous across two volumes. Begin the second volume with a copy of the title page and “Volume Two” clearly stated.

### Pagination

Every page in the dissertation has a number. 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 may be placed either at the top or the bottom 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, or placed in the upper right-hand corner. Whatever the format, the placement of page numbers must be consistent throughout. Page numbers should be at least half an inch from any edge of the paper to avoid loss when the dissertation is trimmed. 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 at the top of a page containing a chapter heading.

Check pagination carefully. Account for all pages. Text and illustrations should appear on right (right hand side). They should not be bound face-to-face.

### Title Page

The dissertation begins with a title page, which must be prepared in the form specified on page 3. 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.

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

Sample Title Page for the PhD Dissertation

[*Title*]

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*]

## Copyright Notice

The Copyright Act of 1976 provides for statutory copyright protection of a work from the moment it is tangibly fixed. To secure this protection, a copyright notice should be affixed on a separate page immediately following the title page. It should include the copyright symbol ©, the year in which copyright is established, and the full, legal name of the author. The notice should appear thus:

© year - Author's Name  
All rights reserved.

If a student requests copyright registration, ProQuest/UMI, 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, UMI (designated as the national repository) also sends copies of all dissertations to the Library of Congress upon their request. See page 12 for more information about UMI. A \$65.00 fee applies to the service of archiving and disseminating dissertations.

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

## Abstract

An abstract, not to exceed 350 words, 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. The abstract should appear in both the bound Archives copy and in the unbound copy for microfilming; a third copy of the abstract must be included with the ProQuest/UMI publishing agreement form. UMI will publish all abstracts in *Dissertation Abstracts International*. The abstract should be printed out on one side of the paper only, double-spaced, and typed or printed on the same high-quality paper used for the body of the dissertation. 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 \_\_\_\_\_, left-justified at the top of the abstract page. ProQuest no longer provides on-demand copies of abstracts.

Sample Abstract:

[Advisor's name]	[Author's name]
[Title of 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 (Page number placement should be consistent with the rest of the dissertation)	

## 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, and, rarely, an index.

## 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.

Use font size 10-12. Do not use a small font, as it will be reduced in microfilming. Full justification of the text is not recommended.

## Scholarly Reference

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. Several such manuals are listed on page 14.

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.

## Footnotes

Textual notes that provide bibliographic reference, supplementary 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 in the microform 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.

## 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*.

## 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. According to the Association of American University Presses, permission is required for quotations that are reproduced as complete units—poems, letters, short stories, essays, journal articles, complete chapters or sections of books, maps, charts, graphs, tables, figures, drawings, or other illustrative materials. To determine whether other excerpts from copyrighted material exceed “fair use” criteria, consider the length and substantiality of the portion quoted, the nature of the copyrighted work quoted, how the use of the excerpt will affect the market for or value of the quoted work, and the purpose and character of its use, including whether it is commercial in nature or for nonprofit educational use. When in doubt, the safest course is to obtain permission.

If material in a dissertation is co-authored, permission from the author(s) to use this material is required. In most cases, there will be co-authors of previously published or recently submitted journal articles. If copyright has not been signed away to the journal publisher, then the co-authors should grant permission.

Permission to use copyrighted material is obtained from the owner of the copyright. If a student includes in the dissertation his or her own previously published material, and if the student had granted publication rights to the publisher (most publishers require that this right be granted), then the student must obtain permission from the publisher to include this material in the dissertation. ProQuest/UMI requires copies of permission letters to be attached to the publication agreement, and assumes no liability for copyright violations. 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/UMI to film and sell such material, ProQuest/UMI cannot make the complete dissertation available for sale to anyone other than the author. With the permission of the Dean of Student Affairs, however, the author may request that ProQuest/UMI delete the material in question before filming, thereby creating copies that would be available for sale to the public.

## Tables and Figures

**Ordinarily, 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).

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. The use of colors should be avoided because they do not reproduce well on microform. Other techniques for indicating differences within graphs, charts, and maps, such as cross-hatching, should be used.

All graphs, diagrams, line drawings, manuscript facsimiles, maps, chemical formulas, computer printouts, musical scores, and so on included in the body of the dissertation must be printed on archival paper and must be produced by acceptable permanent methods. Pages should not vary from the standard size of 8½” x 11” (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. Exceptions to this rule are discussed in the section on foldouts.

For reduction of material, always use machines that can reduce one percent at a time. If figures or tables are too large to be reduced satisfactorily, they should either be split into several pages or be redone. Long tables may be single-spaced, and text may be slightly reduced. Page numbers and headings must not be reduced. All lettering, including subscripts, must be clear, readable, and large enough to be legible on microform. The rule of thumb is that all lettering must still be eye-legible when reduced to 75 percent of the final version. White space around the text or figures must meet all margin requirements.

### Oversized Material and Foldouts

Foldouts are discouraged. However, if reduction would make a figure too small to be easily understood, it can be duplicated by photography, photo offset, or photocopied on 11” x 17” archival paper and then folded so that it fits inside the edges of the dissertation and can be unfolded flat for perusal. The oversized sheet should be folded to allow 1½” on the binding edge and a smaller page overall—about 8” x 10½”—so that the bindery can trim the three edges of the dissertation without slicing into the folds. The trimming may remove an eighth of an inch or more from each of the three open edges. The document-weight photographic paper discussed in “Physical Requirements” on page 9 is sufficiently pliable to be folded in this way.

Dissertations with many folds may be bound with stubs to accommodate excess bulk, or pages may be folded and placed in a pocket enclosure on the inside back cover of the volume. Such pockets can be made at the bindery. Those insertions should also be printed on archival paper. Use of mailing tubes for oversized pages of the archival copy is not acceptable.

For information about including supplemental data on CD-ROM, see the section “Accompanying Material,” under “Physical Requirements” below.

## Visual Material

### Illustrations

Illustrations in a dissertation, including original drawings, graphs, maps, photographs, facsimiles of documents and musical scores, are acceptable, as long as the media used to produce them (paper, inks, digital printing processes, traditional photographic processes, and adhesives) are permanent. For a list of acceptable processes, see the "Physical Requirements" section under "Preparation of the Dissertation." For information on placement, captions, and pagination, see Tables and Figures, page 7.

Original drawings, including mathematical or scientific formulas or other hand-lettered materials, that are to be bound directly in the Archives' bound copy of the dissertation without photographic or offset reproduction must be prepared directly on a paper that meets the same standard required for the text of the dissertation, and drafted and lettered in black, permanent (non-water soluble) ink.

Please note that the use of color in graphs, charts, or maps should be avoided, as they are not distinguishable in the microfilm copies.

### Photographs

All photographs included in the dissertation should undergo “archival” or “optimum” processing to ensure reasonable permanency (call Harvard University Archives for sources, see page 15). Color photographs should not ordinarily be used since they are non-permanent and do not reproduce in color on microform. Mounting of small photographic prints is not recommended.

Original photographs should be included in both the Archives' copy and in the boxed copy of the dissertation. In consideration of the cost involved when many photographs are used, maximum quality photocopies or scanned images may be substituted in the boxed copy. However, original photographs reproduce with far greater quality than photocopies or scanned images. These may also be used in the Archives' copy if this is acceptable to the department. If original photographs are used, students may request that ProQuest/UMI return the dissertation to them after filming. A letter to that effect, including a mailing address, should be placed with the boxed copy. A copy of the letter should be included with the agreement form.

### Fine Arts Prints

In some fields, it is common for a dissertation to include reproductions of as many as several hundred works of art, generally reduced to dimensions of 5" x 7" or 3½" x 5". The figures are then mounted on sheets of acid-free buffered paper on which page numbers and identification of figures have already been typed. See “Physical Requirements” for a list of acceptable adhesives.

### Photocopies

Black and white photocopies are acceptable if produced on paper that meets the same standards required for the text of the dissertation. Images can be copied onto acid-free buffered paper. Some tones may copy

better on a color copier with a black-and-white setting than they would by regular photocopying. Color photocopies made on a laser copier are acceptable.

### Excerpts Copied from Other Sources

Excerpts to be copied from other publications or sources, such as manuscript pages, maps, autographs, passages of script, formulas, or mathematical symbols—whether text or illustration, letter-size or over-sized, high contrast or continuous tone—can be reproduced in black and white by the various methods described for other illustrative materials.

### Reduction and Enlargement

When drawings need reduction or enlargement, the author should make sure that the scale chosen will allow at least one-inch margins on each of the three open sides of the page and 1½” on the binding side. In addition, space should be left for page and figure numbers, and for a legend if one is to be typed beneath the figure. See pages 7 and 10.

## Preparation of the Dissertation

### Physical Requirements

#### **For the bound (Archives) copy:**

##### **Paper:**

- Must be acid-free, (buffering preferred), 8½” x 11”, and of at least 20-lb. weight. An exception to the size requirement will be made for music scores.
- The following brands are acceptable:
  - Permalife (preferred)
  - University Products’ White Bond Paper - 20 lb.
  - Strathmore Writing
  - Southworth Fine Business
  - Mohawk Synergy

For sources for paper, see below, in the section “Services and Information.”

##### **Printing:**

- Text: high-contrast laser printed, or photocopied on white paper
- Font size: 10-12 point
- Single-sided printing only
- No correction fluid
- Illustrations: see below
- Text and illustrations should appear on the right-hand side. They should not be bound face-to-face.

##### **Margins:**

- Top, right-hand, and bottom margins: at least 1 inch
- Left-hand margin: at least 1½ inches (to accommodate the binding)
- Page numbers should be at least ½ inch from every edge

##### **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.

### **Illustrations:**

Either 8½" x 11", with adequate margins, bound as a separate page, or mounted on high-quality paper comparable to that used for text. The following processes are acceptable:

- Black & white silver-based photographic prints
- Black & white laser prints (not inkjet prints) on acid-free paper
- Color inkjet prints (not laser prints) on acid-free paper  
Note: Printers with "archival ink sets" should be used.
- Black & white photocopies on acid-free paper
- Color photocopies on acid-free paper
- Original line drawings in permanent (non-water soluble) black ink on acid-free paper

For more information about the permanence of digital prints, go to [http://www.imagepermanenceinstitute.org/shtml\\_sub/consumerguide.pdf](http://www.imagepermanenceinstitute.org/shtml_sub/consumerguide.pdf)

The following adhesives are acceptable for mounting illustrations on 8½" x 11" paper:

- Acid-free polyvinyl acetate white glue
- Dry-mount adhesive available through suppliers of archival products (see "Services and Information" section)

### **Binding:**

The bound copy of the dissertation required by GSAS must be bound at the expense of the student. The bindery must adhere to, Library Binding Institute standards:

Prices vary somewhat among binderies, and a premium may be charged for rush orders. For names of binderies, see Services and Information on page 15.

The following information must be stamped on the spine of the binding:

- Title (the student should provide a shortened version if necessary)
- Author's last name
- Year of submission of the dissertation

GSAS expresses no preferences on the color of the binding, but several departments favor a traditional Harvard crimson. Binding with plastic strips and vinyl covers—the so-called Velo-Bind—is not acceptable. To accommodate CD-ROMs with supplemental data, a pocket in the binding should be requested from the bindery.

### **Accompanying material:**

If additional digital information (including text, audio, image, or data sets) will accompany the main body of the dissertation, it should be submitted on duplicate media (CDs) from two *different* manufacturers to reduce the possibility of media failure. Each CD must include a plain-text readme file with the following information:

- Author's name
- Title of the dissertation
- Date
- File format information

CDs must accompany the dissertation in a back pocket included in the binding.

Recommended data storage methods:

- Images: TIFF or JPG2000
- Sound recordings: medium density storage
- Databases: please consult the University Archives

Note: The University Archives cannot guarantee preservation of digital files over the long-term. Please contact the Archives at 617-495-2461 if you have questions.

### **For the unbound copy:**

The unbound copy of the dissertation will be sent to ProQuest/UMI. That copy will be destroyed after microfilming. A positive microform copy will be placed in the Harvard University Library for ordinary reference use. On occasion, readers (e.g., those who need to refer to photographs or to other illustrative material that may not reduce optimally in the microfilm copy) may use the Archives' bound copy. However, the Archives copy does not circulate.

### **Paper:**

Conventional photocopy paper is acceptable, but should be of sufficient opacity that the image on the next page will not show through.

### **Printing:**

A clean, high-contrast copy is required in order to produce a quality microform image. A photocopy is acceptable for the unbound copy.

### **Photographs and Drawings:**

The unbound copy must meet the same requirements for submission as the bound copy. Original photographs are not required for submission to ProQuest/UMI. However, considering the scan/film processes, original photos provide the best opportunity to produce a good copy.

### **Packaging:**

The unbound copy must be neatly boxed when presented to the Registrar and must include a copy of the Dissertation Acceptance Certificate.

### **Electronic Submissions:**

Electronic submissions are not acceptable.

## **ProQuest/UMI Dissertation Publishing**

Students are required to submit a signed publishing agreement with ProQuest/UMI when the dissertation is brought to the Registrar. The unbound copy will be sent to ProQuest/UMI. Students must submit a check or money order to the Registrar's Office made payable to "Proquest LLC" for dissertation publishing costs. The agreement gives ProQuest/UMI specific rights to publish the abstract in their monthly *Dissertation Abstracts International* and in the *ProQuest Dissertations and Theses* computerized database, and to index the material in the annual *Comprehensive Dissertation Index*. ProQuest/UMI pays a 10-percent royalty on all sales of the manuscript. Royalty payments must exceed \$25 in a calendar year to be paid. In addition, the agreement allows ProQuest/UMI to distribute copies of the dissertation in microform, paper, and digital formats.

The ProQuest/UMI publishing agreement is non-exclusive and in no way prevents the author from making any disposition of other manuscript copies, nor does it prevent the author from publishing the dissertation at any time.

Students may order positive roll film, microfiche, and softbound or hardbound xerographic books-at reasonable cost once the ProQuest/UMI agreement is signed. Authors will always be able to order their own dissertation at a discount.

For more information about ProQuest/UMI services, visit <http://www.proquest.com/en-US/products/dissertations/>

### Restrictions

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.

ProQuest/UMI Copy - Students may instruct ProQuest/UMI to sell only by giving permission. This should be stated in a separate letter submitted with the agreement, a copy of which should accompany the boxed copy of the dissertation. A written request is required to implement and to remove a restriction. For a description of available restrictions, call (800) 521-0600, extension 7020.

Archives Copy - An author who wishes to restrict the use of copies of the dissertation in the University Archives must make a separate written request, outlining the reason for the request, to the University Archivist *and* the Chair of the department or committee under which the dissertation was written. The chair of the department or committee must support the request in a letter to the University Archivist. In general, restrictions last for no more than five years from the degree date.

Patent filing - All paperwork must be completed before a copy of the dissertation is transferred to the University Archives.

### Additional Copies

Although GSAS requires students to submit to the Registrar’s Graduate Records Office one bound and one boxed copy of the dissertation, most departments require their own copies. Students should check their department’s specific requirements. Also, since the Archives’ copy cannot be lent, most students need to prepare extra copies for their own and their department’s purposes. Copies may be purchased from ProQuest/UMI as described above.

## The Completed 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 that the completed and bound 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. Dissertations must be submitted in final form. 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.

### Acceptance by Department (Dissertation Acceptance Certificate)

The dissertation must be accepted, and the Dissertation Acceptance Certificate signed, by at least three readers designated by the student’s department, two of which must be members of the Faculty of Arts and Sciences 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 Dissertation Acceptance Certificates as FAS Members. GSAS strongly recommends that the chair of the

dissertation committee be a member of FAS. Dissertation supervisors may serve as readers. The title on the Dissertation Acceptance Certificate must read exactly as it does on the title page of the dissertation. For the bound copy, *file the certificate separately*. The Registrar's Office will glue the original Dissertation Acceptance Certificate into the bound volume. Do not leave a blank page for this purpose.

A clean photocopy of the Dissertation Acceptance Certificate, centered on the page, must be included with the unbound copy submitted to the Registrar.

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# Dissertation Submission Checklists

## Final Format Check

- ☐ Is every page of the dissertation correctly numbered? (page 2)
- ☐ Does the body of the text begin with Page 1? (page 2)
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- ☐ Is the placement of page numbers consistent throughout the manuscript? (page 2)
- ☐ Is the title page formatted correctly? (pages 2 and 3)
- ☐ Is the author's name, in full, on the title page of the dissertation and the abstract? (pages 3 and 4)
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- ☐ Is the title on the abstract the same as that on the title page? (page 4)
- ☐ Are the margins 1½" on the left and one inch on the top, bottom, and right? (page 10)
- ☐ Is the manuscript printed one-sided with double-spacing? (page 10)
- ☐ Is the dissertation ready for publication in appearance? Are the final copies cleanly reproduced? (pages 9-11)
- ☐ Is the font size 10-12? (page 10)
- ☐ Are references in the form of footnotes, *not* endnotes? (pages 5-6)
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## Checklist for Submission at the Registrar's Office

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- \_ Copy of title page and abstract (page 12)
- \_ Permission letters, if required (page 6)
- \_ Signed Dissertation Acceptance Certificate (filed separately for the bound copy) (page 13)
- \_ Photocopy of Dissertation Acceptance Certificate centered on the page on top of the unbound copy (page 13)
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