

# **DIRECTIONS FOR PREPARING DOCTORAL DISSERTATIONS**

**1999-2000**

Graduate Degree Progress  
Office of the Registrar  
Stanford University



# DIRECTIONS FOR PREPARING DOCTORAL DISSERTATIONS

The doctoral dissertation is expected to be an original contribution to scholarship or scientific knowledge, to exemplify the highest standards of your discipline, and to be of lasting value to the intellectual community. The following guidelines have been established to fulfill this commitment and represent the minimal standards for professional presentation of your doctoral work. Please read them carefully to avoid costly and time-consuming revisions. *DO NOT USE PREVIOUSLY APPROVED DISSERTATIONS AS A GUIDE FOR PREPARATION OF YOUR MANUSCRIPT. THE CURRENT GUIDELINES WILL BE ENFORCED.* A dissertation that does not conform to the minimum University standards may have to be redesigned and resubmitted, with the possibility of delay in conferral of the degree. The Graduate Degree Progress Office, a section of the Registrar's Office, publishes these directions and is responsible for review of dissertations and theses. The staff encourages students to ask questions about dissertation format before final preparation of the manuscript and to bring a sample to the office for review prior to the reproduction of the required copies.

Stanford University is committed to the preservation and dissemination of the scholarly contributions of its students. Stanford doctoral dissertations are microfilmed by Bell & Howell (Information and Learning Company, formerly University Microfilms, Inc.). The Committee on Graduate Studies believes that this practice is of value to library patrons, to researchers, to the learned community at large, and also to the author whose work receives wide and accessible dissemination. Some of these specified procedures are designed to ensure optimal microfilms. A submission checklist for the dissertation is found at the end of this handbook.

## PROCEDURES FOR SUBMISSION OF THE DISSERTATION

### REGISTRATION

Students must be registered for the quarter during which a University dissertation is submitted or at the end of which a graduate degree is conferred, unless the student was registered the immediately preceding quarter. (Registration is also required for the quarter in which the University oral examination is taken.) Registration must be completed by the end of the third week of that quarter.

### PROGRAM REQUIREMENTS

Candidacy must be valid when the degree is conferred. Before submission of the dissertation students should be sure that their department has documented on-line completion of language requirements and any changes in the composition of the reading committee.

### HOLDS

Students with unmet financial obligations resulting in the placement of a hold will not receive a transcript, statement of completion, degree certificate, or diploma until the hold is released by the Bursar's Office. Please see that your financial obligations are in order before submission of the dissertation.

### DEADLINES

The deadline for submission of dissertations, if you wish to have your degree conferred at the end of the quarter, is the last day of classes in Autumn, Winter and Spring Quarters. During the Summer Quarter, the deadline is approximately one week prior to when the quarter closes. (Please see page 15 for specific dates.) Some departments may set earlier deadlines for submission of dissertations.

Dissertation deadlines are strictly enforced. No exceptions are made. The final dissertation with all required signatures must be submitted to the Graduate Degree Progress Office by the deadline. The deadline is set as late in the quarter as is possible, providing the time necessary for review of the dissertation and final degree requirements by Graduate Degree Progress and the department. Students are strongly encouraged to submit their dissertations at least two weeks prior to this deadline to insure that all requirements can be met in time for the conferral of the degree.

### APPLICATION TO GRADUATE

An Application to Graduate should be filed through Axess early in the degree quarter but no later than the time of submission of the dissertation. Students who expect to graduate in June and wish to receive their diploma at the time of Commencement (and be listed in the *Commencement Bulletin*) must submit the Spring Quarter Application to Graduate by the third Monday in February. This is *not the deadline for conferral*; it is the deadline to insure preparation of the diploma in time for Commencement. Students applying for Summer, Autumn or Winter Quarter confer-

ral also receive their diplomas at the time of Commencement. They must file the Application to Graduate by the deadline for the conferral quarter.

### **PUBLICATION AGREEMENT**

The Doctoral Dissertation Agreement Form authorizes publication of the dissertation and the abstract by Bell & Howell. Through micropublication, the dissertation becomes readily available to the research community in microfilm or electronic format. Microfilm and paper copies of the dissertation may be ordered from Bell & Howell at the time of submission of the dissertation or six to eight months after the conferral of the degree. Bell & Howell publication agreement forms are available in the Graduate Degree Progress Office.

### **FEES**

Payment of fees should be made to the University Cashier. Your check must be made payable to Stanford University and have the following account number written on it :1-MNB-101-61500. Cashier hours are 10:00- 4:00 p.m. M-F. Bring the receipt with you when submitting your dissertation. The following fees will be charged:

\$100.00\*- for microfilming, publishing of abstract, and binding of required copies of dissertation.

12.00 - binding fee per extra (personal) copy of dissertation.

45.00 - copyright registration fee (optional).

10.00 - fee for each map pocket.

.35 - fee for each mounted photo page or fold-out page.

\*Beginning December 5, 1999, fee will increase to \$105.00.

### **SURVEY OF EARNED DOCTORATES**

Stanford participates in a data collection project of the National Science Foundation, the Department of Education, the National Endowment for the Humanities, the National Institutes of Health, and the Department of Agriculture. The survey form is available in the Graduate Degree Progress Office and is submitted with the dissertation.

### **THE ABSTRACT**

An abstract may be included in the preliminary section of the dissertation. The abstract in the body of the dissertation follows the style used for the rest of the manuscript and should be placed following the signature page. There is no maximum permissible length for the abstract in the dissertation.

A separate abstract is published in Dissertation Abstracts International by Bell & Howell. This abstract should not exceed 350 words and must be carefully formatted and prepared to give a succinct account of the dissertation, including a statement of the problem, procedure and methods, results, and conclusions. See page 13 for an example of the required format. Please note that this abstract must be signed by one member of the Reading Committee.

### **DISSERTATION COPIES**

Four unbound copies with original signature pages are required (students in Geological & Environmental Sciences, Geophysics, Education, Art, Music, and Law submit only three copies). Copies are distributed to the University Library, Archives, the department, and Bell & Howell (The copy for Bell & Howell must be printed single-sided.) A maximum of seven additional unbound copies may be submitted for binding for personal use. Bound dissertations are usually available within four months of submission to the Graduate Degree Progress Office. The author must make arrangements for picking them up within one quarter of binding; there is no mailing service. The author is also reminded to keep an extra manuscript copy for personal use during the binding process, since copies will be inaccessible.

### **CERTIFICATE OF FINAL READING OF DISSERTATION**

One member of the Reading Committee must certify that he or she has reviewed the final draft of the dissertation as submitted to Graduate Degree Progress Office. A form for that purpose is included in this handbook and may be photocopied.

### **THE DISSERTATION**

The final dissertation manuscript must have a ready-for-publication appearance; it must have standardized features and be attractively reproduced. The Degree Progress Office does not endorse or verify the accuracy of *any* dissertation formatting templates that may be available to students. It is the responsibility of the student to make sure that the

formatting meets the requirements outlined in this booklet. Introductory material, text, and appendices must all be clearly and consistently prepared and must meet all of the following specifications:

**PAPER**—High-quality, long-lived, acid-free (neutral pH) bond paper must be used for the University copies of the dissertation. To confirm that the paper is "Acid Free", please check the packaging. Check with the manufacturer if you believe the paper is acid free, but is not indicated on the packaging. The cotton content is at the sole discretion of the student. The Bell & Howell copy and personal copies may be on standard photocopy paper. Photographic paper may be used in lieu of acid-free paper for images. There is no extra charge, as there is with separately mounted photos.

The final copies must be photocopied or photo-offset to produce consistent print quality without gray or dark casts to the background.

All copies must be on white, 8 1/2 by 11 inch paper. Double-sided copies may be submitted. The copy for Bell & Howell must be submitted single-sided.

**TYPEFACE**—Type size should be 10 point or larger. Do not use script, or ornamental fonts. Print must be letter quality or near letter quality with dark black characters that are consistently clear, crisp, and easily read. Accent marks and hand annotations must be done neatly in black ink.

**MARGINS**—Margins on the binding edge (left edge if single-sided; right edge for even numbered pages, and left edge for odd numbered pages if double-sided) must be 1.5 inches; all other margins must be one inch. (Pagination, headers, and/or footers may be placed within the margin, but no closer than half an inch from the edge of the page.)

**SPACING**—One and a half or double spacing is required in the main body of the manuscript except where conventional usage calls for single spacing; e.g., footnotes, indented quotations, tables, etc.

**WORD AND TEXT DIVISIONS**—Words must be divided correctly at the end of a line and may not be divided from one page to the next. Use a standard dictionary to determine word division. Avoid short lines that end a paragraph at the top of a page, and any heading or subheading at the bottom of a page that is not followed by text.

**LANGUAGE**—The dissertation must be in English. Exceptions are granted by the school dean upon submission of a written request from the chair of the student's major department. Approval for writing the dissertation in another language is normally granted only in cases where the other language or literature in that language is also the subject of the discipline. Approval is routinely granted for dissertations in the Division of Literature, Cultures, and Languages within department specifications. Dissertations written in another language must include an extended summary in English (usually 15-20 pages in length). The abstract for Bell & Howell must also be in English.

**STYLE**—Select a standard style approved by your department and use it consistently. Some reliable style guides are K.A. Turabian's *A Manual for Writers of Term Papers, Theses and Dissertations* (University of Chicago Press), the *MLA Handbook for Writers of Research Papers, Theses, and Dissertations* (Modern Language Assoc.), and *Preparation of Archival Copies of Theses and Dissertations* by Jane Boyd and Don Etherington (American Library Association).

**REPRODUCING THE DISSERTATION**—Final copies of the dissertation must be clear and attractive. Review each copy for evenness and clarity of type, missing pages and crooked text. Colored paper should separate volumes and copies.

## ORDER AND CONTENT

### 1. Preliminary Pages

a. Title Page — The format must be followed exactly; use upper case letters (see page 10 for sample). The title of the dissertation should be a meaningful description of the content of the manuscript. Use word substitutes for formulas, symbols, superscripts, subscripts, Greek letters, etc.

b. Copyright Notice Page (Date is *year of conferral*) — Center on page as follows:

© Copyright by Jane Jones 2000  
All Rights Reserved

c. Signature Page — The readers who sign the signature page must be endorsed on the Doctoral Dissertation Reading Committee form. Any changes in the composition of the Reading Committee must be approved by the department chair and recorded on-line by the department administrator. All signatures on the signature page must be original. No photocopies of signature pages are allowed for the four University copies. (See page 12 for sample.)

d. Abstract.

e. Preface and/or Acknowledgments.

f. Table of Contents, with page references.

g. List of Tables, with titles and page references.

h. List of Illustrations, with titles and page references.

2. Text
  - a. Introduction.
  - b. Main body, with the larger divisions and more important sub-divisions indicated by suitable, consistent headings.
3. References
  - a. Appendices.
  - b. Bibliography or List of References.

*PAGINATION*—Each page of the manuscript, including all blank pages, and pages with photographs, tables, figures, maps, and computer program printouts should be assigned a number. Consistent placement of pagination, at least one-half inch from the paper’s edge, should be used throughout the manuscript. If previously published papers are included, the pagination for the dissertation must be distinct and it is recommended that the pagination for the published work be removed.

The following pagination plan should be used:

- For the preliminary pages, use small Roman numerals (i, ii, iii, iv, etc.). The title page does not have a number but counts as page i; the following page is ii. The placement of these numbers should be consistent on *each* page.
- For the remainder of the manuscript use continuous pagination for text, illustrations, images, appendices, and bibliography—use Arabic numbers (1, 2, 3, etc.). Remember to start with page 1, as this is not a continuation of the Roman numeral numbering.

*LANDSCAPE*—For text, illustrations, charts, graphs, etc., printed in landscape form, the orientation should be facing away from the bound edge of the paper.

*PHOTOGRAPHS, MAPS, AND CHARTS*—All photographs should be of professional quality. Mount photographs with a dry mounting process, a photo mount with spray adhesive, or double-sided contact paper used for photo mounting. Large maps and charts should be avoided. Where necessary, they must be folded to 10.5 x 7.5 inches or smaller; they will be in pockets in the bound dissertations. The fee for binding of mounted photographs is \$.35 per page. The fee for map pockets is \$10.00 per pocket.

*DOUBLE VOLUMES*—If the dissertation is more than three inches thick, it must be bound in two volumes. The title pages carry volume designations. Each volume must have preliminary pages except that the signature page, preface, abstract, and acknowledgments are not included in the second volume. Pagination of text pages must be continuous from one volume to the next. The \$12 fee for personal copies is charged for each volume of the dissertation.

*SCHOLARLY REFERENCE*—In choosing an annotation or reference system, students should be guided by the practice of their various disciplines, and the recommendations of their departments. In addition to the general style guides listed under “STYLE” above, there are specific style guides for some fields. When a reference system has been selected, it should be used consistently throughout the dissertation. The placement of footnotes is at the discretion of the student with reading committee approval.

An important aspect of modern scholarship is the proper attribution of authorship for joint or group research. If the manuscript includes joint or group research, the student must clearly identify his/her contribution to the enterprise in an introduction.

*PUBLISHED PAPERS AND MULTIPLE AUTHORSHIP*—The inclusion of published papers in a dissertation is the prerogative of the major department. Where published papers or ready-for-publication papers are included, the following criteria must be met:

1. There must be an introductory chapter that integrates the general theme of the research and the relationship between the chapters. The introduction may also include a review of the literature relevant to the dissertation topic that does not appear in the chapters.
2. Multiple authorship of a published paper should be addressed by clearly designating, in an introduction, the role that the dissertation author had in the research and production of the published paper. The student must have a major contribution to the research and writing of papers included in the dissertation.
3. There must be adequate referencing of where individual papers have been published.
4. Written permission must be obtained for all copyrighted materials; letters must be attached to the Publication Agreement.
5. The submitted material must be in a form that is legible and reproducible as required by these specifications. The Graduate Degree Progress Office will approve a dissertation that includes published material only if all margins are adequate to allow for proper binding, if typeface is acceptable for legible reproduction by Bell & Howell. (10 point or larger, 10 to 12 characters per inch), and if there are no other deviations from the normal specifications which would prevent proper dissemination and utilization of the dissertation. If published material does not correspond to these standards, it will be necessary for the student to reformat that portion of the dissertation.

*USE OF COPYRIGHTED MATERIAL*—If copyrighted material belonging to others is used in your dissertation, you must give full credit to the author and publisher of the work used and if the quotation exceeds “fair use,” you must

obtain permission from the copyright owner. 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, drawings, or other illustrative materials). In determining whether other excerpts from copyrighted materials exceed “fair use” criterion, the primary considerations are length and substantiality of the portion quoted, the nature of the copyrighted work quoted, the effect of the use on the market for or value of the quoted work, and the purpose and character of your use, including whether it is commercial in nature or for nonprofit educational use. If you are in doubt, it is of course safest to obtain permission.

Permission to use copyrighted material is obtained from the owner of the copyright. Bell & Howell requires copies of permission letters to be attached to the publication agreement, and assumes no liability for copyright violations.

*COPYRIGHTING YOUR DISSERTATION*—Copyright protection is automatically in effect from the time the work is in fixed form. A proper copyright notice on all copies, including microfilm copies, will prevent the work from falling into the public domain (loss of copyright). Copyright notice should consist of the word “Copyright” and the symbol “C” in a circle, the year of first publication, and the name of the copyright owner (your name) in a reasonably prominent place (see page 5).

Bell & Howell offers a copyright service to authors of doctoral dissertations. They will, on your behalf, file an application for registration of a copyright on your manuscript if you authorize them to do so on the Publication Agreement form. The \$45 fee for this optional service is paid to the Stanford University cashier when you pay the publishing and binding fee.

You need not register your copyright with the U.S. Copyright Office at the outset, although registration must be made before the copyright may be enforced by litigation in case of infringement. Early registration does have certain advantages: it establishes a public record of your copyright claim, and if registration has been made prior to the infringement of your work, or within three months after its publication, qualifies you to be awarded statutory damages and attorney fees in addition to the actual damages and profits available to you as the copyright owner (should you ever have to sue because of infringement).

## CHECKLIST FOR SUBMISSION OF DISSERTATION

Please review and complete all the checklist items *before* coming into the office for final submission of your dissertation.

1. \_\_\_\_\_ Minimum of four unbound copies of dissertation with original signature pages inserted. (Only three copies are required from students in Geological & Environmental Sciences, Geophysics, Education, Art, Music, or Law.) The copy for Bell & Howell must be single-sided.

\_\_\_\_\_ Additional copies of dissertation to be bound (optional, maximum 7).

2. \_\_\_\_\_ Application to Graduate filed through Axxess.

\_\_\_\_\_ A signed "Certificate of Final Reading of Dissertation." (See page page 9 for form.)

\_\_\_\_\_ "Survey of Earned Doctorates" is filled out and ready to submit.

\_\_\_\_\_ "Doctoral Dissertation Agreement Form" for Bell & Howell is filled out and ready to submit.

\_\_\_\_\_ One separate copy of abstract, formatted for publication with approval signature. (See p. 13 for instructions.)

\_\_\_\_\_ Three additional copies of the dissertation title page (plain paper).

\_\_\_\_\_ Written approval for any copyrighted material that appears in the dissertation.

3. \_\_\_\_\_ Receipt from University Cashier for payment of the following fees (see page 4):

\_\_\_\_\_ \$100.00 for the four University copies of the dissertation. (\$105.00 beginning December 5, 1999)

\_\_\_\_\_ \$45.00 copyright fee (optional).

\_\_\_\_\_ \$12.00 per extra copy (optional, maximum 7).

\_\_\_\_\_ Additional fees (if any) for maps, mounted photo pages, etc. (see page 4).

### 4. *Final Format Check*

\_\_\_\_\_ Title page formatted correctly.

\_\_\_\_\_ Abstract in the dissertation is formatted consistently with the rest of the manuscript.

\_\_\_\_\_ Margins: 1.5 inches on binding edge and one inch on all other sides. After printing, measure margins for accuracy

\_\_\_\_\_ Type size 10 point or larger. Characters are crisp and easily read.

\_\_\_\_\_ Body of dissertation printed in 1.5 or double spacing.

\_\_\_\_\_ Pagination is continuous and placement of numbers is consistent throughout the manuscript.

\_\_\_\_\_ Words and text are divided correctly.

\_\_\_\_\_ The dissertation is ready-for-publication in appearance. Final copies are cleanly reproduced and all pages are in order.

## CERTIFICATE OF FINAL READING OF DISSERTATION

One member of the Reading Committee must certify that he or she has reviewed the final draft of the dissertation as submitted to the Graduate Degree Progress Office. (The form below may be used.) The final reading of the dissertation should include a review of the following:

*CONTENT*—All suggested changes have been taken into account and incorporated into the manuscript where appropriate. If the manuscript includes joint group research, the student's contribution is clearly explained in an introduction.

*FORMAT*—Margin size of 1.5 inches on the binding edge (left edge if single-sided; right edge for even-numbered pages, and left edge for odd-numbered pages if double-sided) and one inch on all other sides; 10 point or larger type size; clearly formed characters; correct divisions of words and text; continuous pagination; 1.5 or double spaced text (main body); bibliography and footnotes are consistently formatted; all tables and illustrations are in order and appropriately annotated.

*PUBLISHED MATERIALS*—If previously published materials are included in the dissertation, publication sources are indicated, written permission has been obtained for copyrighted materials, and all of the dissertation format requirements have been met.

*APPEARANCE*—The dissertation is ready-for-publication in appearance and ready for microfilming and binding.

To the University Committee on Graduate Studies:

I certify that I have read the dissertation of \_\_\_\_\_  
in its final form for submission and have found it to be satisfactory.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Reader

\_\_\_\_\_  
Printed Name of Your Department

## **SAMPLE TITLE PAGE FOR Ph.D. DISSERTATION**

(The title page must meet these specifications including use of upper-case letters and must be centered within the margins both vertically and horizontally.)

FRENCH BLOCKADE POLICY, 1914-1918  
A STUDY IN ECONOMIC WARFARE AND THE EUROPEAN INFLUENCES

VOLUME I

(If more than one volume)

A DISSERTATION  
SUBMITTED TO THE DEPARTMENT OF HISTORY  
AND THE COMMITTEE ON GRADUATE STUDIES  
OF STANFORD UNIVERSITY  
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS  
FOR THE DEGREE OF  
DOCTOR OF PHILOSOPHY

Jane Johnson Jones

October 1999

(Date should reflect month and year of submission to the Graduate Degree Progress Office.)



## SAMPLE SIGNATURE PAGE FOR PH.D DISSERTATION

*(Each member of the Dissertation Reading Committee must personally sign four copies of the signature page. The "Approved for the University Committee on Graduate Studies:" signature is placed on each page after submission of the dissertations to the Graduate Degree Progress Office.)*

I certify that I have read this dissertation and that in my opinion it is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.

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(typed name) Principal Adviser

I certify that I have read this dissertation and that in my opinion it is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.

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(typed name)

I certify that I have read this dissertation and that in my opinion it is fully adequate, in scope and quality, as a dissertation for the degree of Doctor of Philosophy.

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(typed name)

Approved for the University Committee on Graduate Studies:

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## SAMPLE ABSTRACT FOR PUBLICATION BY BELL & HOWELL.

A separate abstract is published in Dissertation Abstracts International by Bell & Howell. This abstract should not exceed 350 words and must be carefully prepared to give a succinct account of the dissertation, including a statement of the problem, procedure and methods, results, and conclusions.

The abstract for publication by Bell & Howell must be in the following format and signed by *a member of the Reading Committee*.

FRENCH BLOCKADE POLICY, 1914-1918  
A STUDY IN ECONOMIC WARFARE AND THE  
EUROPEAN INFLUENCES  
(Upper-Case Letters)

Jane Jones, Ph.D.  
Stanford University, 2000

(Date is year of *conferral*. Autumn Quarter degrees are conferred in January.)

Adviser: (name)

The text must be typed in 1.5 or double spacing, single sided, and with one inch margins. It may exceed one page, but should not exceed 350 words.

Approved for publication:

By: \_\_\_\_\_  
For (name of your department)

## SAMPLE REQUEST TO USE COPYRIGHTED MATERIAL

(Copyright permission letter must state that Bell & Howell Information and Learning may supply copies on demand. See the copyright sections of the *Doctoral Dissertation Agreement form*.)

DATE:

TO:

FROM:

I seek permission to reprint the following material from your publication:

Author:

Title:

Material Requested:  
(Copy attached for your reference)

This material is to be reprinted in the following dissertation:

Author:

Title:

Estimated publication date:

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Dissertation Author's Signature

Mailing Address:

  

---

Permission Granted By:

---

Name

Title

Conditions:

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(Signature and Date)

## SUBMISSION DEADLINES FOR CONFERRAL ACADEMIC YEAR 1999-2000

	AUTUMN QUARTER	WINTER QUARTER	SPRING QUARTER	SUMMER QUARTER
Thesis/Dissertation Submission Deadline	DEC 3	MAR 10	MAY 31	AUG 21
Application to Graduate	DEC 3	MAR 10	MAY 31	AUG 21
* Spring Quarter Diploma Deadline	————	————	FEB 21	————
Conferral Date	JAN 6	MAR 29	JUN 11	SEP 28

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\* Students may apply for Spring Quarter conferral after this date, but the University cannot guarantee diplomas will be ready before Commencement or that the degrees will be listed in the *Commencement Bulletin*.

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For further information on preparing and submitting doctoral dissertations or for copies of this handbook, please contact:

Graduate Degree Progress  
Office of the Registrar  
Room 132, Old Union  
Stanford University  
Stanford, CA 94305-3005

Phone: (650) 723-3056  
E-mail: [grad.degree@forsythe.stanford.edu](mailto:grad.degree@forsythe.stanford.edu)