



Yale University  
**Graduate School of  
Arts & Sciences**

*Preparation and Submission  
of the Doctoral Dissertation*

Dissertation Office  
Hall of Graduate Studies  
October 2006

This booklet addresses the aspects of dissertation format which are required by the Graduate School. If further clarification of this information is needed, students should contact the Graduate School, 140 Hall of Graduate Studies, (203) 432- 0461. For questions of style not addressed in this booklet, students are advised to consult their departments for information relevant to their discipline, or one of the style manuals which have been prepared for guidance in manuscript preparation, such as that published by the University of Chicago Press.

## **Planning for Submission**

The dissertation topic, in the form of a prospectus, must be approved by the department. Certification of this approval, together with a copy of the prospectus, must be filed with the Graduate School registrar at least 6 months prior to submission of the dissertation. Students planning to submit before the end of their fourth year of study should be sure the prospectus is approved early enough to satisfy this requirement.

The Graduate School awards degrees twice a year, in late fall (November or December, depending on the Corporation schedule) and May. In order to guarantee consideration by the appropriate Graduate School Committee on Degrees, the dissertation must be submitted by October 1 for a fall degree, or March 15 for a May degree. These deadlines have been established to allow sufficient time for readers to make careful evaluations and for departments to review those evaluations and make their recommendations to the Graduate School. No extensions of the deadlines will be permitted.

Three to four weeks prior to submission of the dissertation, students should notify their director of graduate studies of their intent to submit and should obtain a dissertation submission packet from the Graduate School Information Office. The Graduate School Information Office is located at Room 140, 320 York Street, New Haven, CT 06511 (Phone: 203-432-0461). The packet contains the following forms, which must be submitted with the dissertation: a Petition for Degree, an Address and Information Form, a UMI Publication Agreement, a National Opinion Research Center Survey of Earned Doctorates, and a Graduate School Exit Survey. The Notification of Readers Form, which is available only from your department's registrar, must be signed by the director of graduate studies and submitted with the dissertation.

Upon completion of the dissertation, one unbound copy of the dissertation must be filed with the Graduate School, together with softbound copies which will be distributed to the readers. The Graduate School should be notified of all dissertations distributed to the readers by the student or department. Dissertations should be delivered to the Graduate School Information Office, Room 140 Hall of Graduate Studies, together with the degree petition and other required forms. All candidates are required to pay a \$20 binding fee at this time; for those who wish to register copyright through UMI there is an additional fee of \$65.

### **Summary of Physical Requirements:**

**Typing:** All text (including the abstract) **must be double spaced on one side of the page.** Individual footnotes, bibliographic references and long quotations may be single spaced, but double spacing must be used between successive entries.

**Margins:** 1 and 1/2 inches on the binding edge (normally, the left side), 1 inch on the three other edges. These margins apply to full-page photographs and pages containing charts, tables, and illustrations, as well as to the abstract, title page, and pages of text.

**Page numbers:** at least 1/2 inch from any edge. Page numbers can be centered at top or bottom, or placed in the upper right-hand corner. It is customary not to have a page number at the top of a page containing a chapter heading; the number may be placed in the lower right-hand corner, centered at the bottom of the page, or omitted entirely.

**Print size:** if formatting on a computer, use a 10 - 12 point font.

**Photographs:** must undergo "archival" or "optimum" processing. **Color photographs should be avoided** because of their impermanence and because they do not reproduce in color on microfilm. Only good quality commercial paste, dry-mounted tissues ironed on, or adhesive sheets should be used for mounting; these are available in many art supply stores. Rubber cements, cellophane or gummed tapes, photographic corners and acetate pockets are not acceptable.

**Number of Copies:** The Graduate School requires one unbound printed original and softbound copies for each reader (usually three or more) who has not received a copy from the student or the student's department. Students should consult their departments about additional copies that may be required.

**Unbound copy:** letter-quality printed original, or original typed copy. Text produced on a dot matrix printer should have a resolution of more than 200 dots per inch. (Laser jet printers fulfill this requirement.)

**Paper for unbound copy:** High-quality, long-lived paper, 8 1/2 x 11 inches; 20 lb. minimum weight. Acid-neutral paper of long life expectancy and high durability should be used for the unbound copy only. All pages must be a high-contrast, dark image on white paper.

**Softbound copies:** Good quality photocopies of the original print copy, in a spiral or other binding available at many photocopy services. Only softbound copies may be printed on regular copy paper. Softbound copies, which are returned by readers to the Graduate School, will be returned to the student's department.

### **Form of Presentation**

Most dissertations are 100 to 375 pages in length, divided into appropriate sections; overlong and wordy dissertations are to be avoided. Dissertations may not be translated by anyone other than the writer and should be submitted in English. In all matters of style, students should consult their departments for any special requirements; the Graduate School does not require any particular format for references, bibliographic entries, etc. One of the standard manuals such as that published by the University of Chicago Press or similar publications for specific disciplines may be consulted. In choosing a system for annotation or reference, students should be guided by the practice of their discipline and the recommendations of their thesis committee or department.

### **Abstract**

An abstract, not to exceed 350 words, is required. (About 70 characters per line for a maximum of 35 lines; count characters including spaces and punctuation in an average line and multiply by the number of lines for a maximum of 2,450 characters.) **The text of the abstract must be double-spaced.** The abstract is placed immediately preceding the title page and must be headed as follows:

**Abstract**  
[Full title of the dissertation, as it appears on the title page]  
[Full name of author, as it appears on the title page]  
[Year of PhD award]

**An additional copy of the abstract should be attached to the UMI publication agreement form.**

### **Title Page**

A title page, prepared in the format specified on the inside back cover of this booklet. The title of the dissertation should be as concise as possible, consistent with giving an accurate description of the thesis. Students may wish to embed key words in the title, so that it will be retrievable on computerized listings. **Formulas, Greek letters, mathematical symbols and the like should be expressed in English words in the title,** which should be typed in mixed case consistent with normal usage. (Titles should not be typed in all capital letters.) Where a subtitle is used, it must be separated by a colon from the main title (simply placing the subtitle on a separate line is not sufficient). Dissertations written in a foreign language must also include a title and an abstract page in English for indexing purposes. **An additional copy of the title page should be attached to the UMI publication agreement form.**

## **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 typed about 3 inches below the top margin on a separate page immediately following the title page. The notice must include the copyright symbol ©, the year in which copyright is established, and the full legal name of the author. The copyright date for dissertations submitted for a Fall degree should be the following year. The notice should appear as follows:

© 20\_\_ by Martha Janyce Smith  
All rights reserved.

Students should carefully read the information about copyrighted material in the booklet "Publishing Your Dissertation," which contains the dissertation publication agreement and is included in the dissertation submission packet. A pamphlet entitled "Copyright Law and Graduate Research," published by UMI, contains more detailed information; copies are available in the Graduate School Information Office (139 HGS). If the student requests that University Microfilms International register copyright on his/her behalf, UMI will send the required copies of the dissertation to the Library of Congress.

## **Front and Back Matter**

A table of contents listing at least the major headings should be included for any dissertation that is divided into chapters or other sections, and should immediately follow the copyright page. Where illustrations, figures, or tables are included in the dissertation, a list that includes the page numbers on which they are found should follow the table of contents. Other front matter may include, where appropriate, acknowledgements of help from persons or institutions; a dedication if one is desired; and a glossary of terms. (The order of these pages is at the discretion of the author.) Back matter may consist of one or more appendices and a bibliography. All front and back matter should be listed in the table of contents.

## **Tables**

Tables should be typed directly on the same paper used throughout the dissertation. They may be numbered serially throughout the dissertation, or by chapter. A table that is small may be set into a text page in its logical location; large tables are generally presented on a separate following page. Since most dissertations will be read in microform, wherever possible tables should be placed as near to the interpretive text as possible. Where there are many tables, however, or where tables are longer than one or two pages, they may be presented in an appendix following the text of the dissertation. In any case, pages which contain only tables must have page numbers.

## **Illustrations**

Illustrations are normally placed on separate pages, with the figure number and legend typed either beneath the illustration or on the preceding page. Figures and their legend pages should be numbered in with the text of the dissertation. Line drawings must be presented on the same paper as is used for the text of the dissertation, and must be drafted and lettered in black India or other non-water soluble ink. If copies of figures or drawings are to be used, they must be prepared and printed in such a way as to meet the same paper, margin, and reproduction quality standards required for the text of the dissertation. If necessary, illustrative material may be photographically reduced to meet the margin requirements. In such instances, space should be left for page and figure numbers to be typed on the page, together with the legend if one is to be typed beneath the illustration.

## **Excerpts Reprinted from Other Sources**

Excerpts to be reprinted from other publications or sources, such as manuscript pages, maps, autographs, tables, or passages of text, must meet the same paper, margin and reproduction quality standards required for the text of the dissertation.

When material copyrighted by someone other than the author is used in a dissertation beyond the limits of "fair use," permission must be obtained from the copyright holder for University Microfilms International to film and sell such material. **Copies of all permission letters must be provided when the dissertation is submitted and attached to the UMI publication agreement form.**

## **The Completed Dissertation**

The dissertation when submitted must be in final form; students should carefully proofread the text for typographical, spelling, and other errors and make corrections before submitting the manuscript to the Graduate School. **Further, no dissertation should be submitted until the student's advisor and committee have approved submission, and the director of graduate studies has been notified that the dissertation is being submitted.**

One unbound copy of the dissertation must be filed with the Graduate School, together with softbound copies which will be distributed to the readers. The Graduate School should be notified of all dissertations distributed to the readers by the student or department. Dissertations should be delivered to the Graduate School Information Office, Room 140 Hall of Graduate Studies, together with the degree petition and other required forms. All candidates are required to pay a \$20 binding fee at this time; for those who wish to register copyright through UMI there is an additional fee of \$65.

## **Reader Evaluations**

**The Graduate School requires that each dissertation be read by at least three persons but not more than five, at least two of whom are ladder or ladder-track faculty at Yale. All readers must hold the Ph.D. degree as well as a faculty position or be considered otherwise qualified to evaluate the dissertation.** As the manner of selecting dissertation readers varies substantially among the different departments, students should consult their director of graduate studies about departmental practices. The director of graduate studies should contact potential readers to ensure their willingness to evaluate a student's dissertation prior to submitting a Notification of Readers Form. Following departmental approval and notification of readers to the Graduate School, readers must also be approved by the appropriate associate dean. If, after the initial assignment, any readers need to be replaced, the department should make the reassignment. Reassignment of readers does not change the deadline for readers' reports.

The Notification of Readers Form, signed by the director of graduate studies and submitted with the dissertation at the Graduate School, must contain the following information about each reader: name, academic rank (e.g., associate professor), and department, and the street address to which the reader's evaluation form is to be sent. In the case of a reader who is not a member of the Yale University faculty, the reader's academic rank, academic institution, mailing address, telephone and fax numbers and email address must also be provided. If the reader is not a member of a university faculty, his or her position and institutional affiliation must be provided (e.g., senior research scientist, Bristol-Meyers Squibb Corp.).

Under the provisions of the Family Educational Rights and Privacy Act, readers' reports become part of the student's academic record and may be examined by the student upon request. In order to comply with this law in a manner that will ensure equal treatment of all students, and to afford them the benefit of the readers' evaluation and advice, the Graduate School will routinely send to each student copies of the reports after the Degree Committees have met. Copies are also retained in the student's permanent file. Students who wish to know the status of the readers' evaluations after submission of the dissertation, but before conferral of the degree should contact their department's registrar directly.

Changes / corrections made to the dissertation:

As part of the dissertation evaluation, readers are asked whether the dissertation contains significant errors in typing, grammar, spelling, reference citations, or other textual matters. If a reader indicates that such errors exist, the student will be required to make such corrections before the degree will be recommended to the Degree Committee of the Graduate School. When such a situation arises, the registrar will inform the student's director of graduate studies and indicate the date by which corrections must be received. **Corrected pages or a new unbound copy of the dissertation must be submitted to the Graduate School, together with a letter from the director of graduate studies indicating that the student has satisfied the reader's objections, before the student can be recommended to the Graduate School Faculty and the Corporation for award of the degree.**

#### **Award of the Degree**

Four to five weeks before the Graduate School Degree Committees meet to consider award of degrees, the registrar of the Graduate School will solicit a formal departmental recommendation for each student who has submitted a dissertation. The Degree Committees are responsible to the Faculty of the Graduate School for maintaining standards of graduate education; they meet twice a year to review and recommend candidates for degrees. Award of the Ph.D. degree will be considered by the Degree Committee only if all readers' evaluations are positive and have been received by the Graduate School, all other degree requirements have been met, and the department has recommended award of the degree. On the basis of a review of all evidence, the Degree Committee may vote to:

- recommend the candidate to the Faculty of the Graduate School for award of the degree,
- deny the degree petition,
- return a dissertation to the candidate's department for reconsideration, or
- postpone action pending evaluation by one or more additional readers.

If the candidate is recommended to the faculty for award of the degree and the faculty approves, the candidate's name will be forwarded to the Corporation for conferral of the degree. The dean of the Graduate School notifies successful candidates by letter after the Faculty have approved award of the degree. Unsuccessful candidates will be informed through their departments of the action taken and the reasons for it.

### **Publication of the Dissertation**

The unbound copies of the dissertations of successful candidates are sent to University Microfilms International following award of the degree and after microfilming are returned to Sterling Memorial Library for binding and deposit in the section of Manuscripts and Archives.

In accord with the traditional scholarly ideal that the candidate for a doctorate must make a contribution to knowledge, the Graduate School expects that dissertations will be made available to the scholarly community. Therefore, all dissertations which have been accepted by the Graduate School are published on microfilm by University Microfilms International (UMI), as part of the program established by the Association of Research Libraries. Students are required to submit with the dissertation a signed publication agreement with UMI. (The publication agreement is enclosed in the booklet "Publishing Your Dissertation" which is included in the submission packet.) The agreement gives UMI specific rights to publish the dissertation abstract in their monthly *Dissertation Abstracts International*, to index material from the dissertation in the annual *Comprehensive Dissertation Index*, and the CDI computerized database. The University Microfilms agreement in no way prevents the author from making any disposition of other manuscript copies, nor does it in practice prevent the author from publishing the dissertation in another format at any time. **Students who wish UMI not to sell copies of the dissertation without their consent should include a letter to that effect with the microfilm publication agreement (UMI form).**

[Dissertation Title: Subtitle]

A Dissertation  
Presented to the Faculty of the Graduate School  
of  
Yale University  
in Candidacy for the Degree of  
Doctor of Philosophy

by  
[Full Name of Author]  
(as it should appear on the diploma)

Dissertation Director: [Full Name of the Advisor(s)]  
(where there is an advisory committee only the chairperson is listed)

[Month and Year Degree is to be awarded]  
(**not** the month when the dissertation is submitted)