



Yale University
Graduate School of Arts and Sciences
Guide to Formatting the Doctoral Dissertation

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

There must be a 1.5-inch margin on the binding edge (normally the left side of the page) and a 1-inch margin on the three remaining 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

Page numbers must be located at least 0.5 inches 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- to 12-point font.

Photographs

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

The unbound copy must be a 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 stock should be 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. 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 are acceptable. Only softbound copies may be printed on regular copy paper. Softbound copies that are returned by readers to the Graduate School will be returned to the student's department.

Form of Presentation

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 750 words, is required. 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]

The text of the abstract must be double-spaced. An additional copy of the abstract and title pages should be attached to the UMI publication agreement.

Title Page

Prepare the title page according to the sample below. 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. A separate copy of the title page should be attached to the UMI publication agreement.

[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)**

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:

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Students should review the information about copyrighted material provided on the UMI website at http://www.proquest.com/assets/downloads/products/UMI_CopyrightGuide.pdf. If the student requests that University Microfilms International register copyright on his or 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 attached to the UMI publication agreement.

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. Registered students who submit dissertations will remain registered until the end of the term (i.e., through December for those submitting during the fall term, through May for those submitting before the spring degree deadline, and through August for those submitting after the spring degree deadline).

Publication of the Dissertation

In accord with the traditional scholarly ideal that the candidate for a doctorate must make a contribution to knowledge, all dissertations that have been accepted by the Graduate School are published on microfilm by University Microfilms International and then deposited in the Manuscripts and Archives section of the Sterling Memorial Library. Students are required to submit with the dissertation a signed publication agreement with UMI (as described on the Dissertation Submission checklist). The agreement gives UMI specific rights to publish the dissertation abstract in its monthly *Dissertation Abstracts International*, as well as to index material from the dissertation in its 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.

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