New School for Social Research

PhD Handbook

Dean's Office - Student Academic Affairs

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Updated March 12, 2013

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Dissertation Procedures Contact Information

For Questions About:

General Questions & University Reader/Style/Format Guidelines:
Tsuya Yee YeeT@newschool.edu

Dean's Representative & Dossier Service
Gregory Collins CollinGA@newschool.edu
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Dissertation Defense Committee:

When deciding on a dissertation committee, you are encouraged to select a balance between senior and junior faculty who work on your area of interest. By the time you enter the PhD program, you should have an idea of at least two faculty members in your department who are willing to serve on your committee. Many departments will require that your internal application to the PhD program identify at least a potential supervisor. A full dissertation committee should be formed by the time you complete your course work and prepare for exams. It is likely that your committee members will be the faculty who write letters of recommendation for you, if and when you go on the academic job market. If you have any questions about forming a committee please speak with your department chair and see more policy information about dissertation committees in our NSSR bulletin.

Four members of The New School for Social Research (unless special arrangements are approved by the Dean in advance) have the special responsibility for the conduct of the dissertation and proposal defense. The defense committee includes the three members of the dissertation committee plus one representative from outside the department.

Role of Dean's Representative
The role of the Dean's Representative is to ensure that appropriate standards and procedures are upheld by the departmental members of the dissertation committee. The Dean's Representative is not expected to make detailed comments on the dissertation, although that would be welcome when appropriate.

Procedure for Selection of Dean's Representative: Effective Fall 2005 onward
The Dean's Office – Student Academic Affairs will have full responsibility for selection of the Dean's Representative. The Dean's Representative must be chosen at the time when a department is scheduling the oral examination of the dissertation proposal, and it is preferred that the same individual serve subsequently at the defense of the dissertation. The Department must submit a request for assignment of a Dean's Rep at least 4 weeks prior to the proposal defense.

The Dean's Office - Student Academic Affairs will work with each department secretary to obtain a list of students who are expected to defend their proposal or dissertation in the upcoming academic year. During the academic year, each department secretary should contact the Dean's Office - Student Academic Affairs to facilitate the identification of an appropriate Dean's Representative, and always before a defense is scheduled.

The Dean's Office - Student Academic Affairs will keep a record, drawn from paperwork for oral examinations and dissertation defenses, of faculty members serving as Dean's Representatives.

The Dean's Office - Student Academic Affairs will assign the faculty member "at the top of the queue," as determined by prior service. All faculty members are expected to serve when requested to do so, and to be available for the defense. Our initial estimate is that NSSR full-time faculty members will have to serve about two to three times per year as Dean's Representative.

The Dean's Office - Student Academic Affairs will send a confirmation e-mail to the faculty member who has been assigned, the student who is to defend, the student advisor, as well as the secretary and the chair of the department. The Dean's Representative will therefore be part of the defense scheduling process and will have contact with the PhD candidate well in advance of his/her defense. If there is any reason that the faculty member cannot serve as a Dean's Representative at the dissertation proposal or defense, the Dean's Office - Student Academic Affairs should be contacted immediately.

A Note about External Examiners

In certain circumstances, it may be appropriate for a faculty member from outside The New School for Social Research to serve as a member of a dissertation committee in order to provide expertise not available among NSSR members. Such committee members, hereafter "External Examiners," must be approved by the appropriate Department Chair. An External Examiner may replace one of the three NSSR faculty members required for a dissertation committee. Since External Examiners are not members of The New School for Social Research, they are not to serve as Dean's Representative or as dissertation Chair. Because of the NSSR's limited resources, we cannot provide an honorarium for this service. In exceptional circumstances, the Dean will attempt to provide reimbursement for travel expenses (not lodging) of External Examiners. Dissertation Chairs should contact the Dean, if they are interested in seeking reimbursement for travel expenses of an External Examiner.

Quite frequently, former members of The New School for Social Research who no longer teach here serve as members of a dissertation committee. They are considered dissertation committee members, not External Examiners. With prior approval from the Associate Dean, the Dean's office will pay for the travel expenses of such former NSSR faculty members. Such former faculty members can seek reimbursement for lodging/meal expenses from the appropriate academic department.

PhD Oral Examination/Proposal Defense Procedures

Summary of Steps for Students:

1. Consult University and department handbooks. Students should have all coursework and other exams completed and passed before scheduling the PhD Oral Exam/Proposal Defense. Please check with your student advisor for more information about procedures and deadlines.
2. With the assistance of your department secretary or advisor, schedule an oral exam with your committee members, including the Dean's Representative. Please check with your department regarding any paperwork that is required to schedule your exam.
3. Pass the Ph.D. Oral Exam and make sure your department submits the *Ph.D. Oral Exam Cover Sheet* to the Registrar's Office. All students are required to defend their dissertation proposal in person. If you cannot be physically present for your defense, you must set up a phone AND video link so you can be both seen and heard by your committee. For questions, please contact your department.

PhD Proposal Guidelines

New School for Social Research Writing Center
NSSR Dean's Office - Student Academic Affairs and Scholarships

Thesis and Dissertation Proposal Guidelines

Written by:
John P. McGuire, 12/15/04
NSSR Writing Center Coordinator and Counselor
PhD Candidate in Philosophy

In consultation with:
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Graduate Writing Coordinator
Adjunct Faculty, Committee on Liberal Studies

PURPOSE OF THESIS OR DISSERTATION PROPOSAL

The thesis or dissertation (hereafter T/D) proposal serves several purposes. First and most immediate, it allows you to communicate your research ideas and plans to your advisor and committee members in order to receive feedback, advice and approval of the proposed research or study. Second, some departments require that you write and formally defend your proposal, before going on to write the T/D. Third, the proposal serves as a contract between you and your advisor and committee members (and when submitted for grants, those providing you with funding). The T/D, therefore, should not stray substantially from what is proposed in the proposal itself, without consent of your advisor, committee members and whoever else may have been required to give approval to your research/study. Third, a well thought out and written proposal will serve as a plan for research or experimentation, as a firm basis for writing the T/D, and in some cases as one or more of the chapters of the T/D itself. In order to best realize these functions, you should spend ample time researching, considering and discussing your research topic and writing your proposal, before seeking final approval from your advisor, committee members and University.

WRITING STYLE

Clarity is the most important stylistic feature of any proposal. The clearer the writing, the easier it is for readers to understand the thesis and logic of the proposed research or study. In order to achieve clarity be as direct, concise and precise as the nature of the problem, topic of study and/or discipline allow. Never assume that the reader knows what you mean or intend. Write clearly and economically, using short, simple sentences that are as jargon-free as possible. When using technical concepts, be sure to define them precisely, so that an educated but non-specialized reader can understand them.

FORMAT

There is no one *right* way to format a T/D proposal. The format of proposals varies depending on, among other things, department and or university guidelines, your discipline, and the nature of the research or study you plan to undertake. Before writing your proposal be sure to check with your department and advisor to see if there are certain guidelines you are expected to follow. Although there is no universally accepted format for writing a T/D proposal, every proposal should contain minimally a title, introduction to the topic, a clear statement and description of the problem, a thesis statement, a review of literature and bibliography. Proposals for empirical research or studies are generally required to contain additional sections outlining the methodology and procedures of the research or experiment, as well as the results of

preliminary research undertaken in the form of a pilot study. You are also encouraged to use visual representations (charts, graphs, etc.) that contribute to the readability/understandability of the proposal.

In what follows, various sections of a proposal are described. ***What sections, and what to include under them, is ultimately to be decided by you and your committee members, according to existing departmental guidelines/polices, none of which this document is meant to question or replace.***

WHAT TO INCLUDE IN THE T/D PROPOSAL

Title

The title of the proposal is the first contact a reader will have with your proposed research. It is recommended that your title be relatively brief (1-2 lines), straightforward, and more descriptive than aesthetic. The title (or some part of it) should describe the topic of your proposed research/study, informing the reader what it is going to be about in as precise and accurate language as possible. Although this will often involve the use of technical concepts, you should avoid using obscure concepts that only a few people working on the same specialized area of study will be familiar with (this is especially important when using your T/D proposal for the purpose of obtaining funding). Also, it is not necessary to refer to every subtopic of the dissertation within the title itself. Instead, announce only the main topic(s) and distinguishing or remarkable features of the research/study. According to Locke et al. (2000), "The elements most commonly considered for inclusion in the title [of proposals for empirical research/study] are the dependent and independent variables, the performance component represented by the criterion task or tasks, the treatment or treatments to be administered, the model underlying the study, the purpose of the study (predicting, establishing relationships, or determining differences), and any unusual contribution of the study" (127). On the other hand, "such factors as population, research design, and instrumentation should not be included in the title unless they represent a substantial departure from similar studies" (128).

Non-empirical studies occasionally allow a bit more aesthetic leeway (use of allusions, puns, and the like) in the title; however, in such cases the subtitle at least should be descriptive.

Introduction

The introduction is used to acquaint the reader (chairperson and committee members) with the topic. It should be fairly brief, one paragraph to two pages for a 15 or more page proposal. As with any well-written introduction, it should not only introduce the topic of study but also arouse the reader's interest. Typically, this is done by working up to the problem that the dissertation will address, by presenting the general background of the topic and establishing the context within which the problem is grounded and from which it arises. Although the content of the introduction should be presented in fairly broad strokes, the reader should be able to guess accurately what the problem is after reading the introduction (Mauch and Birch 1993, 96). Because the purpose of the introduction is to give an evocative *overview* of the research topic/study, citations, use of technical concepts and detailed explanations should be avoided. The introduction can be written as its own separate section (with its own heading), or simply as the opening paragraph(s) to the statement of purpose and rationale (described below).

Statement of Purpose

It is a good idea to state forthright and early on what the purpose of the proposed research/study is. State informally what the primary aim of the research/study is and the reason(s) why you want to undertake it (e.g. to improve or understand something (Locke et al. 2000, 10)).

Statement of the Problem
A more precise formulation of the purpose of the T/D is given as the statement of the problem. This is generally considered the most important part of the proposal. Everything that is written before should be such that it leads up to the problem statement, and everything that comes after should be a further elaboration of it, e.g. various aspects of the problem, its significance, how it will be addressed. As stated above, the reader should be able to read off the problem that the T/D will address from the introduction. The problem can be presented either as a statement or question. The statement of the problem should be clear and concise, one to two sentences in length. It is sometimes appropriate to state the problem or ask the question in the form of a paradox. This will help to evoke the interest of the reader, establish the rationale for the research/study, and establish a clear objective (solving the paradox) to be realized by the T/D itself. (The statements of purpose and problem need not be presented under separate headings. Often stating the purpose or aims of the T/D can serve as a way of working into the more precise statement of problem.)

Rationale for Research/Study, Contribution to Knowledge
It is a standard expectation if not unwritten rule of academe that your T/D makes a "contribution" to knowledge or to the field or discipline you are writing in. In this section, you want to justify your proposed research/study by clearly demonstrating that there is such a contribution to be made, and stating what that contribution is. Often this will mean stating specifically how realizing the stated objective(s) and/or addressing the problem of the T/D contribute to knowledge. The proposed contribution also serves as the reason—rationale, significance or need—for pursuing the research/study. Contributions can be made in a variety of ways, e.g. by filling in "gaps" in a particular literature, solving paradoxes, synthesizing theories, applying existing theoretical frameworks to new areas of study. Whatever the rationale for the research/study, be sure that it is timely and relevant: it should contribute in some specified way to contemporary interests, concerns or debates.

Hypotheses, Elements of the Problem and Research Questions
Hypotheses (educated guesses or provisional conjectures) are best used when there is a sufficient theoretical and/or experimental basis for predicting solutions to the research problem. Although you will form and revise many hypotheses as you begin to think about and develop your T/D proposal, hypotheses should be formally stated within the proposal only if: they can be supported by good reasons, existing theories or research; they are testable; and they focus on the problem to be addressed in the T/D (Mauch and Birch 1993, 102).

Instead of formulating hypotheses, you might also choose to specify particular elements of the problem, each of which is to be addressed in the T/D, and/or raise research questions that are essential to, or significantly related to, the main problem that the T/D is to address.

Delimitations and Limitations
Every empirical study has inherent delimitations and limitations. Limitations differ from delimitations in that the former are not "controlled" by the researcher whereas the latter are. Limitations are often specified in quantitative and qualitative research, though they need not be. Mauch and Birch (1993, 103) suggest that "they should appear only when they are imposed by the nature of the problem being studied… [and] when they may limit or affect the outcome of the study." In empirical research delimitations are used to describe the population to be studied and over which the results drawn from the study can be generalized. The delimitations of the research/study should not simply be stated; reasons should also be given for them.

Limitations and delimitations can also factor into non-empirical studies. For example, certain materials (e.g. primary sources, non-translated works) that are key to a thorough investigation of the stated problem

might not be available for study, and thus limit the force and/or scope of the conclusions. Also, you might choose to delimit your study by, for example, narrowing the range of literature or time-frame (e.g. in an author's oeuvre or historical period) that you will directly address in order to make the research/study more focused and manageable, even though the problem is applicable to a wider "population" or domain.[1]

In both empirical and non-empirical studies it is advisable that you consider (and discuss with your advisor and committee members) the limitations and delimitations even if you decide that they need not be stated explicitly in the proposal. This will help further define the parameters (beyond those established by the statement of problem) of the T/D and therefore help focus the actual research and writing.

Definition of Terms

Every discipline has its specialized vocabulary. However, one cannot presume that every reader of your proposal (even your committee members) will be familiar with the precise meaning of the terms used in the proposal. There are a number of reasons for this: e.g. the ever growing specialization (and sub-specializations) of disciplines means that potential readers, although they may be experts in one specialized area of the discipline, are less knowledgeable about other areas; different writers/researchers often define the same words differently in order to meet their own writing/research needs; old terms may acquire new meanings over time. Whatever the reason, in order to avoid any potential confusion, be sure to define technical, specialized or jargonistic terms that appear in your proposal. Often this will mean adopting definitions from the existing literature.

Occasionally existing definitions are not adequate because they have a wider or narrower sense than that required by the research/study. In such cases, it is better to specify (narrow or widen) the sense that is appropriate to your study than to invent a new term with a slightly narrower/wider meaning than an existing term. As a rule, do not invent new terms unless there is no existing term whose meaning approximates the meaning you assign to the new term. If you do invent a new term, be sure to note that you are doing so, and assign a clear and precise definition to it.

Empirical research/studies often require operational definitions of terms. "'Operational' means that the expression used must be definable in terms of observable, identifiable, and repeatable operations. For example, the expression 'functional literacy' is open to many interpretations. But if it is specified as a 5.0 or higher-grade equivalent score in reading speed and comprehension on a particular nationally standardized test, then 'functional literacy' becomes defined by those operations used to identify it, and its meaning is unambiguous because of the 'operational' definition" (Mauch and Birch 1993, 104).

When you define terms, you are assumed to be assigning an invariant meaning to them. In order to avoid confusion, avoid using defined terms with their ordinary meanings. E.g. if "literacy" is assigned a precise, operational definition, do not also use it to mean simply the ability to read or write.

If there is a set of terms that needs to be defined, you might want to designate a separate section of the proposal for that purpose. Alternatively, you can define terms as they appear in the proposal.

Review of Literature

One important, and indeed required, way of establishing and justifying the significance of your problem and proposed solution or thesis, is by presenting them in the context of an existing literature. ("Literature" open to review includes any form of documentation that is relevant to your topic of study.) Different departments and committee members will have different expectations regarding the review of literature; so it behooves you to enquire about these before writing the review, if not before beginning

[1] See the section titled "Research Population or Sample" below.

your research. That said, it is generally agreed that the purpose of the literature review is not to compile an exhaustive list of books, articles, studies, and the like, on or related to the subject matter or specific problem of your T/D. Nor is its purpose to inform your readers of the related literature, by presenting them with summaries of who says what, where, when, why and how. The purpose of the literature review is, rather, to support, explicate, and illuminate the logic that, by this point, should be implicit in the proposed research/study (Locke et al. 2000, 69). One best achieves this, not by providing the readers with a comprehensive overview of the terrain of inquiry, but by *employing* the existing literature towards the aforesaid ends. (As a rule, do not summarize or discuss the literature, *use* it!) This is often best achieved not by having a separate section devoted specifically to reviewing the literature, but by referencing and addressing the literature as the issues on which they bear arise in the proposal. However, if you choose, or are required by your department or committee members, to write a separate literature review, helpful guidelines for doing so can be found in Locke et al. 2000, 68-74).[2]

However you choose to review the relevant literature, it should be made "unmistakably clear to the reader that there are some missing pieces to the body of research, what those pieces are, and that the proposed study is directly aimed at filling in one or more of those missing pieces" (Mauch and Birch 1993, 111).

Research Methodology

"[Every] proposal should clearly name and briefly describe the research method" (Mauch and Birch 1993, 121). There are many different existing research methods or approaches to choose from: e.g. analytical, comparative, statistical, evaluative, experimental, exegetical, and so on. The method you choose will direct how you deal with the material (data, literature, etc.). Different methods are better suited to dealing with/addressing particular problems. "The criterion measure of appropriateness is whether or not the methodology is expected to yield useful evidence with which to answer the statement of the problem" (Mauch and Birch 1993, 121).

Although you will probably formulate potential problems independent of specific concern for methodology, the problem you ultimately choose to address in your T/D should be one that you can address according to a method that you have, or are willing to and capable of developing, some expertise in. If you are not, and/or don't care to be, especially good at statistical analysis, then your research problem should not be one that can only, or best, be addressed statistically. Thus, if you are not up to the task of employing a particular method, it is advisable that you either adjust your problem so that it is amenable to a methodology in which you are (or are willing to become) proficient, or else come up with another problem. (Keep in mind that altering the problem to suit a method might affect the significance of study.)

Specific Procedures[3]

This section of the research method or design is a step-by-step, detailed account of how you are going to research the problem stated. "This may include correspondence, the design of questionnaires, pilot studies to be mounted before the complete study, the application of some treatment, the conduct of interviews, the distribution of inquiry forms or other instruments designed to gather appropriate data, obtaining permissions, the use of consultation, or other actions. Leave out only those matters to be dealt with under other, subsequent headings." (Mauch and Birch 1993, 121)

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[2] Helpful tip: when researching create an ongoing bibliography, using the citation style that will be used in your proposal and T/D. A useful way of doing this is by using Fogelman Library's REFWORKS program, which will search for and format bibliographic references for you, and create a file which you can reference online at anytime.

[3] The following sections to be included under "Research Methodology" are those suggested by Maunch and Birch (1993, 121-26); however, the description of what to include in these sections does not simply and always follow that which they suggest.

Research Population or Sample

In this section you want to specify the "population" to be studied. A "population" can be anything from a group of texts you will interpret or analyze, to a group of people. Moreover, it can include the entire group that makes up that population, or a specified sample of it. More often than not, you will be dealing with samples of, rather than entire populations. Thus, in addition to specifying the population and sample to be researched/studied, you also want to state the reasons for selecting them, including how representative the sample is of the larger population, and whether the sample size poses any significant limitations on the study, and its results (Mauch and Birch 1993, 121).

Instrumentation

You are generally required to document any instrumentation, such as questionnaires, psychological and other tests, apparatuses, and the like, used in your research. Technologies, so far as they are incorporated in the methodology and have a bearing on how data, etc is collected, interpreted and used, should also be cited as instrumentation.

Pilot Study

A pilot study is a test-run of the actual study proposed. Thus the pilot study should contain all the elements, and follow all the procedures of the actual study, only on a smaller scale. The pilot study has several purposes: to test the feasibility of the actual study; to determine and work out any potential quirks before undertaking the actual study; to convince the committee of the feasibility and value of the actual study. If the pilot study in any way differs (e.g. in population, instrumentation, etc.) from the actual study, then the differences, as well as their effects on the proposed study, should be noted. Moreover, the proposal should state when, where and how the pilot study will be conducted (Mauch and Birch 1993).

Data Collection

In this section you want to describe the nature of the data and how it will be collected. It is also important to consider and note any foreseen possible limitations on collecting data. It is especially important that you familiarize yourself with the ethics of data collection and experimentation, especially if human subjects are involved. Most academic associations publish ethics statements, specifying the proper conduct becoming of a practitioner of that discipline. Many of these are available, and should be consulted, on the associations' websites, which could be found on "Google". There are also links to some of these at:

http://globetrotter.berkeley.edu/DissPropWorkshop/resources/ethics.html

Treatment of the Data

The purpose of this section is to specify what you are going to do with the collected data, and how. Are you going to synthesize and/or analyze the data; and, if so, according to what methods and/or theories? Will you chart, graph or otherwise represent the data, and, if so, how?

Appendices

Although not required, appendices may be helpful both in writing the proposal and as aids for readers. Suitable materials to include as appendices are questionnaires, flowcharts, tests, etc., that support or provide evidence for points or claims made in the proposal but are either too long to include in the proposal proper, or disrupt the flow or logic of the presentation. Material contained in appendices should not be confused with or replace that contained in the section on instrumentation.

Bibliography

A bibliography referencing the materials cited or referred to in the proposal is mandatory. It is generally recommended that you limit your references only to these materials. What bibliographic style you use will be determined by the citation style you use within the proposal (although some form of the author-date system—e.g. APA and Chicago—works especially well with proposals). Although some disciplines,

departments, and/or committee members may be open to which style you use, others consider one or other of the styles the norm for writing and publishing in your field. If you have not already determined what the norm or expectation is, be sure to do so before researching and compiling your bibliography, as it will save you the time and headache of converting the listings into the appropriate style, later on. Also, make sure that each entry contains full bibliographic information, both when you build your bibliography, and when you proof it before submitting the final draft of your proposal.

REFERENCES

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Institute of International Studies. Dissertation Proposal Website
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The Art of Writing Proposals: Some Candid Suggestions for Applicants to Social Science Research Council Competitions

Published on: Jan 07, 2004 by The Social Science Research Council (SSRC)
http://fellowships.ssrc.org/art_of_writing_proposals/

By Adam Przeworski and Frank Salomon

Writing proposals for research funding is a peculiar facet of North American academic culture, and as with all things cultural, its attributes rise only partly into public consciousness. A proposal's overt function is to persuade a committee of scholars that the project shines with the three kinds of merit all disciplines value, namely, conceptual innovation, methodological rigor, and rich, substantive content. But to make these points stick, a proposal writer needs a feel for the unspoken customs, norms, and needs that govern the selection process itself. These are not really as arcane or ritualistic as one might suspect. For the most part, these customs arise from the committee's efforts to deal in good faith with its own problems: incomprehension among disciplines, work overload, and the problem of equitably judging proposals that reflect unlike social and academic circumstances.

Writing for committee competition is an art quite different from research work itself. After long deliberation, a committee usually has to choose among proposals that all possess the three virtues mentioned above. Other things being equal, the proposal that is awarded funding is the one that gets its merits across more forcefully because it addresses these unspoken needs and norms as well as the overt rules. The purpose of these pages is to give competitors for Council fellowships and funding a more even start by making explicit some of those normally unspoken customs and needs.

Capture the Reviewer's Attention?

While the form and the organization of a proposal are matters of taste, you should choose your form bearing in mind that every proposal reader constantly scans for clear answers to three questions:

- What are we going to learn as the result of the proposed project that we do not know now?
- Why is it worth knowing?
- How will we know that the conclusions are valid?

Working through a tall stack of proposals on voluntarily-donated time, a committee member rarely has time to comb proposals for hidden answers. So, say what you have to say immediately, crisply, and forcefully. The opening paragraph, or the first page at most, is your chance to grab the reviewer's attention. Use it. This is the moment to overstate, rather than understate, your point or question. You can add the conditions and caveats later.

Questions that are clearly posed are an excellent way to begin a proposal: Are strong party systems conducive to democratic stability? Was the decline of population growth in Brazil the result of government policies? These should not be rhetorical questions; they have effect precisely because the answer is far from obvious. Stating your central point, hypothesis, or interpretation is also a good way to begin: Workers do not organize unions; unions organize workers. The success, and failure, of Corazon Aquino's revolution stems from its middle-class origins. Population growth coupled with loss of arable land poses a threat to North African food security in the next decade.

Obviously some projects are too complex and some conceptualizations too subtle for such telegraphic messages to capture. Sometimes only step-by-step argumentation can define the central problem. But even if you adopt this strategy, do not fail to leave the reviewer with something to remember: some message that will remain after reading many other proposals and discussing them for hours and hours. She's the one who claims that Argentina never had a liberal democratic tradition is how you want to be referred to during the committee's discussion, not Oh yes, she's the one from Chicago.

Aim for Clarity

Remember that most proposals are reviewed by multidisciplinary committees. A reviewer studying a proposal from another field expects the proposer to meet her halfway. After all, the reader probably accepted the committee appointment because of the excitement of surveying other people's ideas. Her only reward is the chance that proposals will provide a lucidly-guided tour of various disciplines' research frontiers. Don't cheat the reviewer of this by inflicting a tiresome trek through the duller idiosyncrasies of your discipline. Many disciplines have parochial traditions of writing in pretentious jargon. You should avoid jargon as much as you can, and when technical language is really needed, restrict yourself to those new words and technical terms that truly lack equivalents in common language. Also, keep the spotlight on ideas. An archeologist should argue the concepts latent in the ceramic typology more than the typology itself, a historian the tendency latent in the mass of events, and so forth. When additional technical material is needed, or when the argument refers to complex ancillary material, putting it into appendices decongests the main text.

Establish the Context

Your proposal should tell the committee not only what will be learned as a result of your project, but what will be learned that somebody else does not already know. It is essential that the proposal summarize the current state of knowledge and provide an up-to-date, comprehensive bibliography. Both should be precise and succinct. They need not constitute a review of the literature but a sharply focused view of the specific body or bodies of knowledge to which you will add. Committees often treat bibliographies as a sign of seriousness on the part of the applicant, and some members will put considerable effort into evaluating them. A good bibliography testifies that the author did enough preparatory work to make sure the project will complement and not duplicate other people's efforts. Many proposals fail because the references are incomplete or outdated. Missing even a single reference can be very costly if it shows failure to connect with research directly relevant to one's own. Proposal writers with limited library resources are urged to correspond with colleagues and libraries elsewhere in the early stages of research planning. Resource guides such as Dissertation Abstracts International and Social Science Periodical Index are highly recommended. For many disciplines, annual reviews (e.g., Annual Review of Anthropology) offer state-of-the-art discussions and rich bibliographies. Some disciplines have bibliographically-oriented journals, for example Review of Economic Literature and Contemporary Sociology. There are also valuable area studies-oriented guides: Handbook of Latin American Studies, International African Bibliography, etc. Familiarizing yourself with them can save days of research. Powerful bibliographic searches can be run on CD-ROM databases such as the Social Science Citations Index, Social Sciences Index, and Modern Language Association International Index. Also, on-line databases such as CARL and ERIC, available by library or network access, greatly increase your bibliographic reach.

What's the Payoff?

Disciplinary norms and personal tastes in justifying research activities differ greatly. Some scholars are swayed by the statement that it has not been studied (e.g., an historian may argue that no book has been written about a particular event, and therefore one is needed), while other scholars sometimes reflect that there may be a good reason why not. Nevertheless, the fact that less is known about one's own chosen case, period, or country than about similar ones may work in the proposer's favor. Between two identical projects, save that one concerns Egypt and the other the Sudan, reviewers are likely to prefer the latter. Citing the importance of the events that provide the subject matter is another and perhaps less dubious appeal. Turning points, crucial breakthroughs, central personages, fundamental institutions, and similar appeals to the significance of the object of research are sometimes effective if argued rather than merely asserted. Appealing to current importance may also work: e.g., democratic consolidation in South America, the aging population in industrialized countries, the relative decline of the hegemony of the United States. It's crucial to convince readers that such topics are not merely timely, but that their current urgency provides a window into some more abiding problem. Among many social scientists, explicit theoretical interest counts heavily as a point of merit. Theoretical exposition need not go back to the axiomatic bases of the discipline, proposal readers will have a reasonable interdisciplinary breadth, but it should situate the local problem in terms of its relevance to live, sometimes controversial, theoretical currents. Help your reader understand where the problem intersects the main theoretical debates in your field and show how this inquiry puts established ideas to the test or offers new ones. Good proposals demonstrate awareness of alternative viewpoints and argue the author's position in such a way as to address the field broadly, rather than developing a single sectarian tendency indifferent to alternatives.

Use a Fresh Approach

Surprises, puzzles, and apparent contradictions can powerfully persuade the reviewer whose disciplinary superego enforces a commitment to systematic model building or formal theorizing: Given its long-standing democratic traditions, Chile was expected to return to democracy before other countries in the Southern Cone, and yet . . . Is it because these traditions were already extinct by 1973 or because the assumption on which this prediction was based is false? Everyone expected that One Big Union--the slogan of the movement--would strike and win wage increases for workers. Yet statistical evidence shows just the contrary: strong unions do not strike but instead restrain workers' wage demands.

It is often worthwhile to help readers understand how the research task grows from the intellectual history or current intellectual life of the country or region that generated it. Council committees strive to build linkages among an immense diversity of national and international intellectual traditions, and members come from various countries and schools of thought. Many committee members are interested in the interplay of diverse traditions. In fact, the chance to see intellectual history in the making is another reason people accept committee membership. It is a motive to which proposals can legitimately appeal.

It pays to remember that topics of current salience, both theoretical and in the so-called real world, are likely to be a crowded field. The competitors will be more numerous and the competition less interesting than in truly unfamiliar terrain. Unless you have something original to say about them, you may be well advised to avoid topics typically styled of central interest to the discipline. Usually these are topics about which everyone is writing, and the reason is that somebody else has already made the decisive and exciting contribution. By the time you write your proposal, obtain funding, do the research, and write it up, you might wish you were working on something else. So if your instinct leads you to a problem far from the course that the pack is running, follow it, not the pack: nothing is more valuable than a really fresh beginning.

Describe Your Methodology

Methodological canons are largely discipline-specific and vary widely even within some disciplines. But two things can safely be said about methodological appeal. First, the proposal must specify the research operations you will undertake and the way you will interpret the results of these operations in terms of your central problem. Do not just tell what you mean to achieve, tell how you will spend your time while doing it. Second, a methodology is not just a list of research tasks but an argument as to why these tasks add up to the best attack on the problem. An agenda by itself will normally not suffice because the mere listing of tasks to perform does not prove that they add up to the best feasible approach.

Some popularly-used phrases fall short of identifying recognizable research operations. For example, I will look at the relation between x and y is not informative. We know what is meant when an ornithologist proposes to look at a bird, but looking at a relation between variables is something one only does indirectly, by operations like digging through dusty archive boxes, interviewing, observing and taking standardized notes, collecting and testing statistical patterns, etc. How will you tease the relationship of underlying forces from the mass of experience? The process of gathering data and moving from data to interpretation tends to follow disciplinary customs, more standard in some fields than in others; help readers from other fields recognize what parts of your methodology are standard, which are innovative. Be as specific as you possibly can be about the activities you plan to undertake to collect information, about the techniques you will use to analyze it, and about the tests of validity to which you commit yourself. Most proposals fail because they leave reviewers wondering what the applicant will actually do. Tell them! Specify the archives, the sources, the respondents, and the proposed techniques of analysis.

A research design proposing comparison between cases often has special appeal. In a certain sense all research is comparative because it must use, implicitly or explicitly, some point of reference. Making the comparison explicit raises its value as scientific inquiry. In evaluating a comparative proposal, readers ask whether the cases are chosen in such a way that their similarities and differences illuminate the central question. And is the proposer in a position to execute both legs of the comparison? When both answers are positive, the proposal may fare particularly well.

The proposal should prove that the researcher either possesses, or cooperates with people who possess, mastery of all the technical matters the project entails. For example, if a predominantly literary project includes an inquiry into the influence of the Tupian language on rural Brazilian Portuguese, the proposal will be checked for the author's background in linguistics and/or Indian languages, or the author's arrangements to collaborate with appropriate experts.

Specify Your Objectives

A well-composed proposal, like a sonata, usually ends by alluding to the original theme. How will research procedures and their products finally connect with the central question? How will you know if your idea was wrong or right? In some disciplines this imperative traditionally means holding to the strict canon of the falsifiable hypothesis. While respecting this canon, committee members are also open to less formal approaches. What matters is to convince readers that something is genuinely at stake in the inquiry, that it is not tendentiously moving toward a preconceived end, and that this leaven of the unknown will yield interesting, orderly propositions.

Proposals should normally describe the final product of the project: an article, book, chapter, dissertation, etc. If you have specific plans, it often helps to spell them out, because specifying the kind of journal in which you hope to publish, or the kind of people you hope to address, will help readers understand what might otherwise look like merely odd features of the proposal. While planning and drafting your proposal, you should keep in mind the program guidelines and application procedures outlined in the brochure specific to the Council program to which you are applying. If you have specific questions about the program, you may wish to consult with a staff member. Your final proposal should include all requested enclosures and appendices.

Final Note

To write a good proposal takes a long time. Start early. Begin thinking about your topic well in advance and make it a habit to collect references while you work on other tasks. Write a first draft at least three months in advance, revise it, show it to colleagues. Let it gather a little dust, collect colleagues' comments, revise it again. If you have a chance, share it with a seminar or similar group; the debate should help you anticipate what reviewers will eventually think. Revise the text again for substance. Go over the language, style, and form. Resharpen your opening paragraph or first page so that it drives home exactly what you mean as effectively as possible.

Good luck.

Policies & Procedures on Research Involving Human Subjects

Statement of Ethical Responsibility for Research Involving Human Subjects

New School faculty, staff and students engaged in research or supervising student research projects must be aware of their responsibilities for ethical conduct in any project involving the use of human subjects. Faculty, staff and students are responsible for research done by students under their supervision with respect to these matters. Each research design must be examined for possible risk to subjects. If even minor risk of physical, psychological, sociological or other harm may be involved, the faculty or staff member must consult with the University Institutional Review Board (IRB) to determine that:

1. The risks to the subject are so outweighed by the sum of the benefit to the subject and the importance of the knowledge to be gained as to warrant a decision to allow the subject to accept these risks;

2. The rights and welfare of any such subjects will be adequately protected;

3. Legally effective informed consent will be obtained by adequate and appropriate methods in accordance with the provisions of this part; and

4. The conduct of the activity will be reviewed at timely intervals and no less than once per year.

In addition to questions of risk and informed consent, the subjects rights of privacy must be protected.

If a faculty/staff member or student has any doubts regarding the ethics of a project or steps taken to protect human subjects, h/she should refer them to the IRB. In any case, the IRB should be informed of all research projects involving human subjects.

The New School University Institutional Review Board (IRB) is the official oversight committee for the protection of human subjects in research. It functions under a Multiple Project Assurance (MPA-1445) granted by the Office for Protection from Research Risks (OPRR) of the Department of Health and Human Services (DHHS).

The IRB reviews each applicable research proposal and related materials, including informed consent documents. The IRB has the responsibility and authority to approve, require modification of, or disapprove any research activity involving human subjects. Research protocols will be reviewed not less than every 12 months and perhaps more frequently if required by the IRB on the basis of degree of risk to subjects, amendments made to the protocol, or adverse events reported.

IRB review and approval are independent of the initial endorsement by the institutional official of the extramural research proposal.

Dr. Marcel Kinsbourne is the IRB Chair. Students should contact IRB@newschool.edu with their applications.

PhD Dissertation Defense Procedures

Prepare for Dissertation Defense:

1. Before your dissertation defense, make sure you have completed all course requirements, language requirements, and oral examinations. Check with your student advisor for any needed assistance and/or paperwork to file with the department.
2. Check with your department regarding any paperwork that is required to schedule your exam.
3. Choose a defense date confirmed by your committee, including the Dean's Representative.
   **All students are required to defend their dissertation in person. If you cannot be physically present for your defense, you must set up a phone AND video link so you can be both seen and heard by your committee. For questions, please contact your department.
   **The last day to schedule a defense is November 18th for a January degree conferral and April 18th for a May degree conferral. If you must schedule a defense outside of those deadlines, contact Tsuya Yee at YeeT@newschool.edu to obtain permission and instructions.
4. Submit copies of dissertation to committee, including the outside reader and Dean's Rep and one copy to the Dean's Office - Student Academic Affairs* three (3) weeks prior to the defense. The copy to the Dean's Office is submitted electronically*; upload it to this URL: www.etdadmin.com/newschool

5. After you successfully defend, make sure your department prepares and submits all acceptance forms (*Dissertation Defense Cover Sheet* and *Dissertation Acceptance Statement* see samples at the end of this document) to the Registrar's Office. The department may assist you with these forms, but it is your responsibility to ensure that they are completed and submitted properly.
   **If your committee requests revisions at your defense and indicates that on the Defense Cover Sheet, your committee chair must submit a memo to the Registrar's Office once those revisions are approved.

6. Check with the Dean's Office - Student Academic Affairs for final formatting corrections

7. Complete final revisions, and turn in the final version of your manuscript to the Dean's Office - Student Academic Affairs no later than January 15 for a January degree or the Monday after commencement in May for a May degree at this URL: www.etdadmin.com/newschool
   Before submitting your dissertation, review the UMI Guide to Preparing Your Manuscript for Submission to ProQuest/UMI:

http://www.proquest.com/assets/downloads/products/UMI_PreparingYourManuscriptGuide.pdf

Students who do not complete final revisions by these deadlines will not officially graduate until the next conferral date following completion of all requirements.

Dissertation Style and Format Guidelines

Follow the required guidelines below for formatting the dissertation manuscript. The requirements include how to prepare the dissertation abstract and how to file your dissertation with Bell & Howell/UMI (the organization which binds and prepares a microfilm copy of the dissertation).

Submit properly formatted copies of dissertation to all committee members and the Dean's Office - Student Academic Affairs (for the university reader) three (3) weeks prior to the defense via email.

The committee chair and members ensure that the dissertation meets appropriate standards for style and content. The dissertation committee's role extends to ensuring textual integrity of the dissertation, conformance to the discipline's stylistic norms, as well as clarity of expression, grammar, and argument.

The Dean's Office - Student Academic Affairs reviews the dissertation for adherence to format guidelines, e.g., margins, pagination, title page and abstract. They will send you any formatting changes requested. These must be incorporated into your final manuscript that is eventually sent back to the Dean's Office - Student Academic Affairs.

In specific and limited cases, the dissertation committee chair can require the student to use an editor before the final version of the dissertation is submitted. If this occurs, the Dean's Office - Student Academic Affairs can assist the student in finding an outside, experienced copyeditor. The student is responsible for paying the copy editing fees.

Complete All Defense Paperwork/Revisions

If your chair specifies on the dissertation defense cover sheet that revisions are required, s/he must send a memo to the Dean's Office - Student Academic Affairs once the necessary changes have been made.

Check to make sure that all formatting corrections requested by the Dean's Office - Student Academic Affairs have been added to your manuscript. Once you add these corrections, send your completed version back to the Dean's Office - Student Academic Affairs. The **FINAL** version of your dissertation must be received no later than January 15 for a January degree or the Monday after commencement in May for a May degree.

The Office will then forward the Dissertation Final Approval (approves the dissertation for style and format) and approved dissertation to the University Registrar's Office. Keep a back-up copy of the dissertation in the unlikely event that something happens to the original submitted to the Dean's Office - Student Academic Affairs. Students who do not complete final revisions by these deadlines will not officially graduate until the next conferral date following completion of all requirements.

If a student does not complete all revisions required by the dissertation committee and the Dean's Office - Student Academic Affairs and any other requirements stated above before the end of the drop period of the following semester, s/he will be required to maintain status until such requirements are met.

In all matters of editorial style, students should consult their dissertation chair. Departments may recommend specific style guidelines that are appropriate for the discipline, or the dissertation chair may recommend a standard style manual, such as *The Chicago Manual of Style*.

All dissertations, regardless of editorial style, must follow the formatting instructions below. The Dean's Office - Student Academic Affairs is responsible for ensuring compliance.

1. Preliminary Materials

(IN ORDER OF APPEARANCE IN THE DISSERTATION)

Unnumbered: **Unnumbered pages are counted** in the overall enumeration of the dissertation but have no page numbers. (This does not include the abstract)
Numbered: Numbered pages bear page numbers (lower case roman numerals) and are counted in the overall enumeration of the dissertation.

Abstract: (***mandatory***; unnumbered, not counted, not to exceed 350 words). It should present the hypothesis, method and conclusions of the dissertation. It is NOT part of the dissertation (although it is submitted with it) and therefore it should not be paginated, counted, or listed in the Table of Contents. The text should be typed and double-spaced, preferably on one page. Do not include formulas or illustrative material in your abstract. Please put your name and dissertation title on the abstract.

Title page: (***mandatory***; unnumbered; see sample attached). Must have a 2" left margin. Choose your title carefully, making sure it clearly and succinctly describes your work. The key words in your title will function as a means to index your dissertation. The date on your title page should include only the month and year you defended your dissertation, with no intervening punctuation. See example at the back of this handbook.

Copyright page: (optional; unnumbered). Copyrighting is optional. If you choose to copyright your dissertation, you must insert a blank page directly after the title page **followed by another page** with the copyright logo, the year you defended your dissertation and your name. The copyright logo can be found in "Insert," then "symbols." This can be placed anywhere on the page, as long as the left margin is at least 1.5" and the top, right and bottom margins are 1".

Frontispiece: (optional; unnumbered). An epigraph, photograph or drawing appropriate to your dissertation subject may be used for a frontispiece. If included, it is not listed in your Table of Contents.

Dedication: (optional; unnumbered). A dedication is most commonly used to recognize a person or persons who provided support or inspiration. If included, it is not listed in your Table of Contents.

Preface: (optional; numbered). A preface is used as an opportunity to speak directly to your readers about the dissertation. If included, it must be listed in your Table of Contents.

Acknowledgments: (optional; numbered). The acknowledgments page is used to thank people who have provided intellectual guidance, research assistance, or technical support. If included, they must be listed in your Table of Contents.

Table of Contents: with page references. (***mandatory*;** numbered). The Table of Contents lists the chapters or divisions in your dissertation, your bibliography and references, your appendices, if you have any, and preliminary materials, see above. If your dissertation has parts, chapters, and subheads, you must list these with page references. You must make sure the listings and page references are neatly placed on the margins. See example on following page.

List of Tables/List of Figures/List of Illustrations: with full titles and page references. (*mandatory*, if your dissertation includes any tables and/or figures, numbered). This page should also be listed in your Table of Contents. All tables and figures should be numbered consecutively throughout the entire dissertation and referenced on this page.

List of Abbreviations and/or Acronyms: (if included, numbered). This page should also be listed in your Table of Contents

Appendices: (if included, numbered, *mandatory*). If your dissertation includes any appendices, each item must be numbered consecutively and listed with full titles and page references. Per APA Guidelines, the appendices come at the very end of the work, following the bibliography. According to the Chicago Manual of Style, and other humanities reference guides, the appendices are considered part of the back matter: they should generally precede endnotes, when used, and always precede the bibliography.

EXAMPLE:

TABLE OF CONTENTS

PREFACE	ii
Chapter 1 INTRODUCTION	1
I. Scope and Purpose	1
II. Definitions	2
III. Methods and Problems	5
Bibliography	50
Appendix A	61

2. <u>The Body or Text</u>

Main body: with chapters and subsections with appropriate headings. If your dissertation is very long or the topic can be broken down into sub-topics, consider grouping chapters into parts. Each "part" would consist of a number of chapters on a sub-topic contained within your subject.

3. <u>Layout</u>

Title Page: Format your title page as shown in the example on page 21. Please note the following:

- The left margin of the title page should be set at 2" from the side of the page.
- The date should only be the month and year.
- The "Submitted to…" statement must be justified left with a margin of 2".
- All committee members are listed, one per line, in any order you chose, as "Dr."
- The bottom, top and right margins for the title page must be at least 1".

Margins: with the exception of the title page (see above), each page of your manuscript must have the same margins. The left margin must be at least 1½" (to allow for binding) and the right, top and bottom margins should be 1". The margins may be larger, but not smaller, as long as they are consistent.

Pagination: page numbers must be at least 1" down from the top of the page, or 1" up from the bottom of the page. There should be at least two or three lines between the page number and the text. Microsoft Word automatically sets page numbers at ½" from the edge of the page. To change this, go to File, Page Setup, Layout and then change the Header or Footer (depending on if your page numbers are at the top or

bottom of the page) to 1". You should then go to Margins and adjust the top or bottom margins accordingly so that there is enough space between the page number and the text.

The abstract, title page, copyright pages, frontispiece and dedication are never numbered. All other preliminary pages (preface, acknowledgements, table of contents, lists of tables/figures) are numbered with lowercase Roman numerals that correspond to the number of actual page, numbered or unnumbered, not including the abstract. Begin using Arabic numerals on the first page of the text, with "**1**" and continue through the appendices and bibliography. Every page of the dissertation following the preliminary materials must be numbered, including pages that contain only images, charts, or graphs.

Chapter numbers may be either in Arabic or capital Roman numerals. Whichever you choose, use the other type of numeral for numbering subsections within the chapter. If you decide to insert chapter pages in between chapters, these pages must be numbered appropriately.

UMI asks that all pages (except the abstract) count in the total enumeration, including the title page and copyright page that are never numbered.

The Body or Text: the text should be double-spaced and paragraphs should be indented six to eight spaces. Do not include any headers or footers with your name and/or title of dissertation anywhere in the dissertation. The type font must be at least 10 pt. Characters should be letter quality, consistently dark and legible. Use a single font throughout the dissertation.

Tables: each table within the text should be given a number and a title. Tables should be numbered consecutively beginning with 1. Tables in an Appendix should be numbered consecutively with the tables in the text, that is, if the last table in the text is Table 52, the first table in the Appendix is Table 53. All references in the text to a table should be by the number of the table: For example, "As Table 3 illustrates . . . ," or (see Table 3). Ideally, each table should be placed as close as possible to the first reference made to it in the text. Further, each table should be introduced in the text before its inclusion.

Illustrative Materials: since microfilming is a process of making black and white photographs, any illustrative material or hand lettering should appear in the original black and white. Do not use color images since color will reproduce as shades of gray that may or may not be distinguishable. All identification should be done with words and symbols. Use cross-hatching or different patterns instead of shading for any area that you wish to highlight or distinguish. Note that illustrative material on paper must also adhere to the 1 ½" x 1" x 1" margins.

Footnotes: are notes found at the bottom of an individual page. If there are many footnotes, they may be placed at the conclusion of the chapter to which they apply, in which case they become **Endnotes** and should be listed in your Table of Contents. Footnotes are typed single spaced with double spacing between footnotes. If the footnote consists solely of a citation from a publication included in your bibliography, it may be inserted in the text, following the style guidelines selected in consultation with the dissertation chair.

4. Additional Guidance

The Chicago Manual of Style: 15th Edition. The University of Chicago Press: 2003.
(New School Fogelman Library call number: Z253 .U69 2003)

Publication Manual of the American Psychological Association: 5th Edition. American Psychological Association: 2001.

(New School Fogelman Library call number: BF76.7 .P83 2001)

Bibliography or References: the bibliography is also numbered as part of the text. The bibliographic entries are typed single spaced with double spacing between entries. We recommend the Chicago Manual of Style for assistance.

Note: Psychology students should follow the APA requirements to prepare the bibliography.

SAMPLE CITATIONS: Common questions and errors often found regarding these types of reference citations: (Examples taken from *The Chicago Manual of Style*, 14th Edition)

Humanities style versus Author-Date Reference style:

Humanities:
Smith, John Q. *Urban Turmoil: The Politics of Hope*. New City: Polis Publishing Co., 1986.
Author-Date:
Smith, J. Q. 1986. *Urban turmoil: The politics of hope*. New City: Polis. (There are actually other accepted variations for this and other reference entries, but most are examples of sentence style (or "down style")—i.e., with the exception of titles of journals and series, only the first word of title and, where included, the subtitle are capitalized; entries sometimes include only the main title and drop any subtitle, and often include only an abbreviation of publisher's information.

Part of an edited or translated work:
(footnote):
Ernest Kaiser, "The Literature of Harlem," in *Harlem: A Community in Transition*, ed. J. H. Clarke (New York: Citadel Press, 1964).
(reference entry):
Kaiser, Ernest. "The Literature of Harlem." In *Harlem: A Community in Transition*, edited by J. H. Clarke. New York: Citadel Press, 1964.

Inclusive page numbers may be indicated if desired. In the note citation, these are given last, after the publication facts. In the bibliography, they follow the editor's name:

David Ogilvy, "The Creative Chef," in *The Creative Organization*, ed. Gary A. Steiner (Chicago: University of Chicago Press, 1965), 199-213.
Ogilvy, David. "The Creative Chef." In *The Creative Organization*, edited by Gary A. Steiner, 199-213. Chicago: University of Chicago Press, 1965.

Preface, Forward, Introduction, and Similar Parts of a Book:

James B. Jacobs, introduction to *Drunk Driving: An American Dilemma* (Chicago: University of Chicago Press, 1989).
Jacobs, James B. Introduction to *Drunk Driving: An American Dilemma*. Chicago: University of Chicago Press, 1989.

If the author of cited section is someone other than the author of the book, the name should begin the entry, and the name of the author of the book itself should follow the book title, as follows:

Franklin E. Zimring, foreward to *Drunk Driving: An American Dilemma*, by James B. Jacobs (Chicago: Chicago University Press, 1989).

Author-Date in-text citations:

(Brown 1986, 33-35)
(Scott 2002, 2:356) (i.e., volume 2, p. 356)

Humanities:
Footnote entry:
There is discussion as to whether or not to use the abbreviation 'p.' or 'pp.' for page or pages. When citing from a journal, reviews in periodicals, newspaper articles or series, one does not include the abbreviation[s]:

Jacqueline Blois, "Bouchard's Empire of Absurdity," trans. W. W. Tissant, *Postmodern Review* 24 (winter 1990): 16-21.
versus:
Jim Dill, *The Blue Heron* (New York: Vintage Books, 1980), pp. 76-89.

Shortened references in the humanities style could appear thus:

(subsequent reference to author already including full citations information):
Dill, *Heron*, 57.
or
Dill, *The Blue Heron*, p. 57.

—And so on. . .

5. Publication by Bell & Howell/UMI

The University requires publication of your dissertation by Bell & Howell/UMI (formerly known as University Microfilm, International) in Ann Arbor, MI. Bell & Howell/UMI is a part of a worldwide information network enabling researchers to order copies of your dissertation.

Your dissertation will be indexed in both the *Comprehensive Dissertation Index* and *American Doctoral Dissertations*, (updated annually). *Dissertation Abstracts Online* will electronically reproduce the abstract of your dissertation and a citation will appear in *Dissertations Abstracts International*, which is published monthly by Bell & Howell/UMI. These services will make your dissertation readily and widely accessible to the academic community.

Copyright Registration: If you choose to copyright your dissertation, you must insert a blank page directly following the title page, followed by a copyright page. For details about Bell & Howell/UMI's copyright registration service, see the Bell & Howell/UMI brochure *Publishing Your Dissertation*, available from the University Registrar's Office.

6. Miscellaneous Tips

- Where appropriate, the word "dissertation" should be used in place of "study," "essay," or "paper." *Note*: Psychology students, particularly those in Clinical Psychology, may substitute "study" for "dissertation."
- Be consistent with capitalization and the use of hyphens throughout the dissertation.
- Aim for clarity and ease of understanding. Avoid using sentences that are too complex or those that contain several ideas.
- The following Latin abbreviations do not require capitalization or underlining. However, when the abbreviation is the first word, for example, in a footnote, it should be capitalized.
- e.g., et al., etc., ibid, op. cit. (use not recommended), passim, viz., vs.
- The Latin abbreviation "ibid." should be used when a work has been cited previously in complete form. It should also be used when reference to the same work follows without any intervening references.

- Listed below, as examples, are some common foreign words that do not require underlining:

a priori	a posteriori	laissez faire	per se
bona fide	bourgeoisie	status quo	versus
ad hoc	coup d'etat	vice versa	vis-a-vis

- Common prefixes as pre-, post-; pro-, anti-; over-, under-; semi-; un-; are used without hyphens.

Formatting page numbers in a Microsoft word document:

Formatting page numbers when different types of numbering systems are used can be complicated. Here are a few options:

Use Section Break (Next Page):
Separate all of the elements and sections of the document by inserting **section breaks**. Go to Insert/ Break/ then choose Section Break- **Next page**. Do not choose the very first option 'Page Break' or the 'continuous' option under section break, as both of these can pose formatting problems.

Remove the Link to Previous function:
When inserting your page numbers, click anywhere on the page you would like to format, then open in the View function the **header and footer**. Open your 'Navigation' bar, and there should be above that a series of boxes with different categories: Home; Header and Footer; Layout; Document Elements; Tables and Charts.

Click on header and footer above the navigation bar. Now click again on the page you would like to format, either in the header or footer itself. When you click in the document, you will see, for example, 'Footer-Section 1- Close'. Or you might see 'Footer-Section 1- Same as Previous- Close.' YOU DO NOT WANT TO SEE THAT PHRASE. So click once again in the navigation bar where you see a check mark next to the phrase 'Link to Previous.' Once you remove that check, the sections will become separated, and the formatting you do in each section will remain, rather than becoming linked with that which comes before.

A little confusing and time consuming, but it works.

Spacing:

With the navigation tool bar open, you can also do all of your margin formatting. For example, for the title page, which calls for a top margin of 2.5" and left margin of 2", rather than spacing down or using tabs, **you should simply set those margins using the 'Layout' function and specifying the actual spacing**.

Finally, when inserting page numbers, especially when you have preliminary pages with lowercase, Roman numerals, versus the primary section with Arabic numbers, always be sure to choose the **'start at'** option rather than the 'continue from previous section' option.

Graduation Procedures

Complete Graduation Requirements

1. File a graduation petition with University Records by October 1 for January graduation and April 1st for May graduation. If you have petitioned to graduate in a previous semester, you must reactivate your graduation petition if you intend to have your degree conferred. The graduation petition may be downloaded here: http://www.newschool.edu/admin/registrar/forms/gradPetition.pdf

2. Complete the "Survey of Earned Doctorates" University Registrar's Office. Find the survey here at this link: https://sed.norc.org/survey.

If a student does not complete all revisions required by the dissertation committee and the Dean's Office - Student Academic Affairs and any other requirements stated above before the end of the drop period of the following semester, s/he will be required to maintain status until such requirements are met.

If a student completes all degree requirements, including successfully defending their dissertation, and submitting the final, revised version to the Dean's Office - Student Academic Affairs before the last day to drop in a semester, they are not required to register to maintain status for that semester in order to graduate. Students who are trying to finish in this window of time should contact Tsuya Yee at YeeT@newschool.edu immediately for more information.

(SAMPLE TITLE PAGE)

THE FOURTH ESTATE

A Study of the American Newspaper Guild

by

Mary Roe

December 2005

Submitted to The New School for Social Research of The New School in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

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