University of Pennsylvania

Doctoral Dissertation Manual

Approved by the Graduate Council of the Faculties

September 2010
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Introduction

Writing and filing the dissertation are among the final steps leading to the award of the PhD degree. At Penn, a student presents and defends the dissertation publicly, and with the approval of the dissertation committee and graduate group chair, submits the final manuscript for publication. The Graduate Division of Arts and Sciences is the administrative clearinghouse for deposit of all Penn PhD dissertations. The PhD degree is awarded upon the recommendation of the Graduate Council of the Faculties.

This manual documents the University’s requirements regarding the format for the manuscript, explains options for publication and the process for deposit of the dissertation and supporting documents. Follow the instructions carefully and, should further questions arise, consult the Graduation Coordinator at the Graduate Division of Arts and Sciences (Suite 322A, 3401 Walnut Street/6228; phone 898-7444).

Open Access and Traditional Publication

Publication of the dissertation is a requirement of the PhD degree. Give careful thought to how you want to publish.

There are two options for publishing that graduate students have available to them. The first is the “traditional” process in which students provide two hard copies; one is shelved in the library’s permanent collection and made available to the world via interlibrary loan. The other copy is sent to ProQuest, which will make the Abstract publicly available online, and the full dissertation manuscript available by subscription to other libraries or by purchase to individuals.

Second, students also have the “open access” option in which students submit an electronic copy to Scholarly Commons. Scholarly Commons will make the electronic copy fully available (including ability to download the copy and post it on other websites and searchable, through search engines like Google, to anyone in the world. Additionally the hard copy of the dissertation will be made available in the library and an electronic copy will be made available through ProQuest in the same way as “traditional” publication.

There are advantages and disadvantages to both types of publication. Keep in mind, you have the same legal and copyright protections with both “traditional” and “open access” publication. “Traditional” publication will limit the availability of the dissertation, and for those disciplines where publishers do not want copies available online or where there are patents or other intellectual property concerns, it may be beneficial for you to utilize “traditional” publication. On the other hand “open access” publication provides a much wider audience for you, can help to market your ideas to potential employers, and can help make plagiarism or theft much easier to detect. So, in many cases “open access” publication may be more beneficial to you.
Regardless of which option you choose, you should definitely discuss your plan in advance with your adviser, to see which option is best for you and to make sure that there are no conflicts or concerns about copyright, patents, etc.

Either way -- whether you chose traditional or open access publication -- you will format your dissertation manuscript the same way, but the process for final submission will differ according to your choice. See the section on Depositing Your Dissertation for further details.

**Use of Copyrighted, Previously Published, or Coauthored Material**

Previously published articles may be submitted as part of the dissertation, with written permission of the copyright holder (such as the journal or publisher) and approval of the dissertation committee and Graduate Group Chairperson.

For use of other copyrighted material (images, quotations, datasets), you are responsible for clearing permission for re-use of that material. In most cases, you are able to use copyrighted material under the “fair use” provisions of copyright law. If you have questions about “fair use” consult http://fairuse.stanford.edu/Copyright_and_Fair_Use_Overview/chapter9/index.html or e-mail repository@upenn.edu for any questions you may have.

University of Pennsylvania policy permits dissertations based on joint work with other researchers, provided that, in such cases, a unique and separate dissertation is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a dissertation by more than one degree candidate is not allowed.

Questions regarding copyright and “fair use” may be directed to Shawn Martin at Van Pelt Library, repository@pobox.upenn.edu

**Patents**

Any inventions that you make as part of your research for your degree and disclosed as part of your dissertation, and any patent or other intellectual property rights arising therefrom, are governed by the policies of the University of Pennsylvania, including the Patent and Tangible Research Property Policies and Procedures http://www.med.upenn.edu/postdoc/documents/patent.policy.02.22.05.pdf

and the Policy Relating to Copyrights and Commitment of Effort for Faculty. For more information, please contact the University’s Center for Technology Transfer.
Preparing Your Manuscript

Overall Appearance: The manuscript must be clear and legible, free of errors, and attractive in appearance. All pages must be printed single-sided.

Organization of the Manuscript: Pages must appear in the following order:

Preliminary Pages, in the following order:
- Title Page
- Copyright Notice (optional)
- Dedication (optional)
- Acknowledgment (optional)
- Abstract
- Table of Contents
- List of Tables
- List of Illustrations
- Preface (optional)

Main Text

Appendices (optional)

Bibliography

Index (optional except for graduate groups in Architecture, City & Regional Planning, Earth & Environmental Science, East Asian Languages & Civilization, Folklore & Folklife, Near Eastern Languages & Civilization, South Asia Regional Studies)

Margins:

- Left-hand margin: 1.5 inches
- Right-hand margin: 1 inch
- Top and bottom margins: 1 inch

All text, including footnotes and page numbers, must be inside these boundaries. Nothing may appear in the margin area.

Line spacing: For the sake of readability, it is recommended that the text of the dissertation be double-spaced (except for footnotes, long quoted passages, and lists of tables and figures, which are single-spaced). If desired, authors may choose to single-space the dissertation manuscript.
Font: Any non-italic font 10-12 points in size may be used. Headings may be larger. For enhanced screen readability, use Arial (10pt), Courier New (10pt), Georgia (11pt), Times New Roman (12 pt), or Verdana (10pt) font. For footnotes, figures, citations, charts and graphs, a font of 8 point or larger may be used. Italic type may be used for quotations, words in a foreign language, occasional emphasis, or book titles.

Use of Bold, Underlining and Paragraph Indentation: Spare use of these formatting features is permitted, in order to enhance the readability of the manuscript.

Pagination: Every page in the dissertation has a number, except for the Title Page and the copyright notice (if desired).

For the preliminary pages – dedication (optional), acknowledgements (optional), abstract, table of contents, list of tables, graphs, illustrations and preface (optional) – use small Roman numerals (i, ii, iii, iv, v, ...). These may be placed either at the top or the bottom of the page. The **title page is counted as page i, and the copyright page (if there is one) as page ii, but do not print the page numbers on either of these two pages** (e.g., in a dissertation with a copyright notice, the first numbered page is iii; in a dissertation without a copyright notice, the first numbered page is ii).

For the text, use Arabic numbers (1, 2, 3, 4, 5, ...) starting with page 1 (the first page of the text itself). These may be placed either at the top or the bottom of the page. If you use footnotes, it is recommended that you print page numbers at the page top. Do not print page numbers, footnotes, or anything else in the margins. Each page must be consecutively numbered, including tables, graphs, illustrations, and bibliography/index (if they are included); letter suffixes (such as 10a, 10b) are not allowed.

Check pagination carefully. Do not include blank pages. All pages must have a page number and be accounted for.

Abstract: The Abstract is a condensed summary of the dissertation, not to exceed 350 words. All words count towards the total. The abstract, which is normally a single paragraph, consists of four parts: the statement of the problem; the procedure and methods used to investigate the problem; the results of the investigation; and the conclusions.

The abstract is published online by ProQuest in “Dissertation Abstracts International,” providing information to interested readers about the general content of the dissertation.

The abstract is double-spaced. Below the word "ABSTRACT" (in upper case), list the title of the dissertation (upper case), your name, and your dissertation supervisor's name.
PRACTICAL ADVICE: THE EFFECT OF "POOR RICHARD'S ALMANAC"
ON DOMESTIC LIFE IN THE AMERICAN COLONIES

Author's Name

Supervisor's Name

The same elements that transformed the political structure of the British colonies in North America, first through revolution and later through a new constitution, were also eager to promote a similar transformation of social relations among Americans. But at the time of the Revolution, there was no widespread consensus on how Americans should act towards one another nor an official aristocracy whose manners were expected to set the tone for the larger society. Benjamin Franklin's "Poor Richard's Almanack" sought to fill this void through the means of pithy homilies issued by an "ordinary" American of the day. Examining its text, one finds both significant guidance concerning interpersonal relations in a society which officially had shed the formal class distinctions of the mother country, practical suggestions for new arrivals in the cities, and useful tips for those working the land in a country that was still largely unsettled. The book also served as the original model for a uniquely American literary form, the self-help book, which in the United States soon took the place of custom and clan as a means of providing the average individual with clues to proper behavior. Through this book, Franklin had an influence on everyday American manners that was every bit as significant as his influence on American scientific and intellectual life.
**Title Page:** The Title Page must contain the TITLE (in upper case); the author's name; the graduate group name (see Appendix 1 for official names); the year the degree is being granted; the name, faculty title (rank and department), and signature of the dissertation supervisor (or co-supervisors, if there is more than one); and the name, faculty title (rank and department), and signature of the graduate group chairperson. The names and faculty titles (rank and department) of the Dissertation Committee members should be listed on the Title Page (their signatures are not necessary). If you want to use a format for your name that differs from the current name in the *Penn In Touch* System (e.g., a married name, or a full middle name rather than a middle initial), contact the Registrar's Office and provide the necessary documentation to make that change.

**NOTE:** The Library copy of the manuscript must be signed by the dissertation supervisor (or co-supervisors) and the graduate group chairperson, but no signatures are required in the pdf submitted electronically to Scholarly Commons.

Students in the Graduate Group in Managerial Science and Applied Economics (Wharton Doctoral) also include their field of specialization above the graduate group name.

**The title page is understood to be page “i” for counting purposes, but no page number should be printed on the title page.**

See sample Title pages on the pages that follow.
PRACTICAL ADVICE: THE IMPACT OF “POOR RICHARD’S ALMANAC”
ON DOMESTIC HABITS IN THE AMERICAN COLONIES

Author’s Name

A DISSERTATION

in

History

Presented to the Faculties of the University of Pennsylvania

in

Partial Fulfillment of the Requirements for the

Degree of Doctor of Philosophy

2009

Supervisor of Dissertation

Co-Supervisor (if applicable)

Signature ____________

Signature ____________

Typed Name

Typed Name

Title (e.g. Richard Poor, Associate Professor, History)

Title

Graduate Group Chairperson

Signature __________________________

Typed Name and faculty title (e.g. Eric Franklin, Professor of History)

Dissertation Committee (Typed Names and faculty title; no signatures necessary)

_________________________   _________________________

_________________________   __________________________

_________________________
PRACTICAL ADVICE: THE IMPACT OF "POOR RICHARD’S ALMANAC"

ON DOMESTIC HABITS IN THE AMERICAN COLONIES

Author’s Name

A DISSERTATION

in

Management

For the Graduate Group in Managerial Science and Applied Economics

Presented to the Faculties of the University of Pennsylvania

in

Partial Fulfillment of the Requirements for the

Degree of Doctor of Philosophy

2009

Supervisor of Dissertation

Signature_____________________

Typed Name(s) and Title: (e.g. Richard Poor, Associate Professor, Management)

Graduate Group Chairperson

Signature_____________________

Typed Name and Title (e.g. Eric Bradlow, Professor of Marketing, Statistics, and Education)

Dissertation Committee (Typed Names and title; no signatures necessary)

________________________

________________________

________________________
**Paper:** The dissertation is printed single-sided on acid-free white paper, 20 lb. (or heavier stock), 8 1/2 x 11 inches in size. Copier paper is fine.

**Copyright Notice:** The dissertation submitted as a part of the requirements for a degree is the property of the University. However, the author of the dissertation owns and retains the copyright in the dissertation, without further registration formalities. If you choose to include a copyright notice in your manuscript, place it on a separate page immediately following the Title Page. Display the title of the dissertation, then the word “COPYRIGHT” (or symbol ©), the year of first publication, and your name. The author may also reference a Creative Commons License Deed on this page. (See Sample 2 below.) Do not print a page number on this page; it is understood to be page "ii" for counting purposes.

**Sample 1: Traditional Copyright page**

<table>
<thead>
<tr>
<th>TITLE</th>
<th>COPYRIGHT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year of Publication</td>
<td>Author's Full Legal Name</td>
</tr>
</tbody>
</table>

**Sample 2: Copyright page referencing a Creative Commons License Deed**

<table>
<thead>
<tr>
<th>TITLE</th>
<th>COPYRIGHT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year of Publication</td>
<td>Author’s Full Legal Name</td>
</tr>
<tr>
<td>This work is licensed under the Creative Commons Attribution-NonCommercial-ShareAlike 3.0 License</td>
<td></td>
</tr>
<tr>
<td>To view a copy of this license, visit</td>
<td><a href="http://creativecommons.org/licenses/by-ny-sa/2.0/">http://creativecommons.org/licenses/by-ny-sa/2.0/</a></td>
</tr>
</tbody>
</table>
You can copyright your manuscript online with the U.S. Copyright Office, although this is not required. There are legal advantages, however, to obtaining a federal copyright registration. (See, generally, http://www.copyright.gov/circs/circ1.pdf.) The cost is $35. See the Library of Congress website at http://www.copyright.gov.

Alternatively, you can authorize ProQuest to act as your agent and apply to register your copyright as part of their publishing process at a cost of $65.

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Footnotes/Endnotes: Notes can appear as footnotes below the text on a page, or as endnotes at the end of each chapter. Footnotes at the bottom of a page should be numbered continuously throughout the dissertation. Endnotes at the end of a chapter are numbered separately for each chapter (i.e., the first note of each chapter will always be numbered “1”). A bottom-of-the-page footnote must begin on the same page as the text to which it refers, but it may continue on a following page if necessary. Nothing may appear in the margin area.

Bibliography: This is an alphabetical listing of all references. It may be a single alphabetical list by chapters, or an alphabetical list by authors for subject and class of publications. Page numbers in the bibliography continue the pagination of the text; do not number the bibliography separately.

Supplementary Digital Files: Supplementary digital files of essential supporting material may be submitted along with the dissertation manuscript.

- In the case of open access publication of the dissertation through Scholarly Commons, simply upload your supplementary files as attachments.

- In the case of traditional (non-open access) publication, you can submit a CD or DVD with supplementary files along with the core manuscript. Such “compound dissertations” (paper and digital) will be distributed by ProQuest as hardbound publications, with the CD or DVD sleeve on the inside of the binding. ProQuest guidelines must be satisfied, and any 3rd party software licenses necessary for the use, viewing and publication of the content on the CD or DVD must be provided. See ProQuest “Supplementary Materials Guide” form online at http://www.proquest.com/assets/downloads/products/UMI_SupplementaryMaterialsGuide.pdf for information regarding supporting documents.
Depositing Your Dissertation

Make an appointment at the Graduate Division: The Graduate Division of Arts and Sciences is the administrative clearinghouse for deposit of all Penn PhD dissertations. Appointments for deposit of the dissertation are made on a rolling basis. All revisions must be made before the completed dissertation is delivered.

For registration deadlines and procedures see: http://www.sas.upenn.edu/GAS/home/grad&beyond/graduation.html

Depositing an Open Access Dissertation

- Follow instructions on embedding fonts at http://www.sas.upenn.edu/computing/help/students/dissertation-pdf

- To facilitate the approval process, submit your dissertation to Scholarly Commons in advance of your appointment at the Graduate Division. These directions are also available at http://www.library.upenn.edu/scholcomm/dissertations.html
  - Go to http://repository.upenn.edu and select “My Account” tab on the top of the screen. Then press the “sign up” button on the “Create a new account” section. It is recommended that you use your Penn email account.
  - Once you have finished entering your information the system will then send you from an e-mail, click on the link and the left navigation column and then select the “New User” option. After you provide your name, email address, and initial password, the system will confirm registration via email.
  - Then, log in to your account by going to “My Account” (the same tab you used before from the left navigation column and then enter your email address and password. If you forget your password, you can enter your email address without a password, and will receive your password immediately by email. If you want to change your password, go to the "My Account" page and choose the "Edit Profile" option. If you have trouble logging in or the system will not send you your password, please send an email to repository@pobox.upenn.edu. We will help solve the problem as soon as possible.
  - Then go to http://repository.upenn.edu/edissertations and click on “Submit Research” which is bolded on the left hand side of the screen. You will then go to a page that asks for title, authors, and other information. Fill this out and hit "Submit" when finished. If you have any problems, or if you can't submit the paper, contact repository@pobox.upenn.edu for assistance. After you have deposited your material, you will be notified
when it is publicly available on Scholarly Commons after your dissertation has been approved by the Graduate office.

- More information can be found at the FAQ. Make sure you get permission for copyrighted material. You, and not Scholarly Commons, bear responsibility for certifying compliance with any applicable copyright regulations. Also be aware of formatting issues. Documents in Scholarly Commons are made available in PDF format. Submissions are acceptable in full-text searchable PDF, Microsoft Word, or RTF. (The latter two formats are converted to PDF by the system after submission.) Submissions can also include supplementary files in other formats (including data sets, computer programs, and so forth). Details on producing appropriate formats are available in the File format and conversion guide. The Library may add or change supported format choices to reflect format choice and presentation that reflect changing technological capabilities.

- Penn will automatically transfer the pdf from Scholarly Commons to ProQuest on your behalf.

- A single hardcopy of the dissertation manuscript with original signatures on the Title Page is required for the Library collection. Bring it to your appointment unbound in a box or sealable envelope.

**Depositing a Dissertation the Traditional Way**

You have options:

- Bring two paper copies of the manuscript to your appointment at the Graduate Division, one for the Library and one for ProQuest. The Library copy must have original signatures on the Title Page. The dissertation(s) and any supplementary digital files should be presented unbound in a box or sealable envelope at the time of the appointment.

OR

- Bring one paper copy (for the Library) with original signatures on the Title Page and bring a CD or DVD with a pdf of the dissertation (for ProQuest). Submission of a pdf file ensures the highest quality reproduction of the manuscript. Pdfs will be in color, but hardcopy reprints will be black and white only. To preserve formatting, follow instructions on embedding fonts at http://www.sas.upenn.edu/computing/help/students/dissertation-pdf. Label the CD or DVD with your name and the title of your dissertation. The dissertation and disc should be presented unbound in a box or sealable envelope at the time of the appointment.
Delaying Publication

In cases where a paper is in press or a patent application is pending, you may request a delay of up to one year in the public release of the dissertation. A delay of more than one year requires special approval by your graduate group chair or graduate dean.

Indicate your preference for a delay of publication on the ProQuest form (Section III) and (if you are publishing in open access) in Scholarly Commons@Penn.

Dissertation Deposit Fee
A fee of $100 is payable to Trustees of the University of Pennsylvania to cover cost of graduation processing and publication by ProQuest. The Graduate Division will place the charge on your Bursar bill and it must be paid by the time you deposit the dissertation.

ProQuest Copyright Registration Fee (Optional)
Notify the Graduate Division Office in advance of your appointment to deposit if you desire the optional Copyright Registration by ProQuest. An additional charge of $65 will be placed on your Bursar bill and must be paid by the time you deposit the dissertation.
Accompanying Forms and Documentation

ProQuest Publishing Agreement: available online at http://www.il.proquest.com/dissertationagree/umi_agreement.pdf
User Name: dissertations
Password: publish

This form grants ProQuest the right to reproduce and disseminate your work. NOTE: Open access publication is available to Penn students at no charge through Scholarly Commons@Penn; it is unnecessary to pay an additional $165 for ProQuest open access publication.

ProQuest Copyright Registration (Optional): Complete page 6 of the Publishing Agreement if you desire the optional Copyright Registration by ProQuest.

Copyright Permission Letter: If someone other than you owns the copyright in content in your manuscript, including appendices, and your use of that content is not a fair use of that content, ProQuest requires submission of a permission letter from the copyright holder to use that content. Attach the permission letter to your ProQuest Publishing Agreement. For general guidance on what might constitute a fair use of copyrighted materials within your manuscript, see, e.g., the U.S. Copyright Office’s guidance at: http://www.copyright.gov/fls/fl102.html

For further guidance on fair use and copyright, contact the Scholarly Commons Librarian at repository@pobox.upenn.edu

Survey of Earned Doctorates: Completion of this online survey is a University degree requirement. Instructions for completing the survey will be forwarded to degree candidates by the Graduate Division.

PhD Exit Survey: Instructions for completing the online survey will be forwarded to degree candidates by the Graduate Division.
Where to Get Help

Computing Resource Center  http://www.upenn.edu/computing/crc/

The Computing Resource Center (CRC) provides computing support services to graduate and professional students. The CRC is a walk-in support service facility located in Suite 202 Sansom West (Grad Tower B), 3650 Chestnut Street. If you are out of town, call them at 215-573-4778.

Scholarly Commons  http://www.library.upenn.edu/scholcomm/

Contact the Scholarly Commons Librarian at <repository@pobox.upenn.edu>

The Graduate Division of Arts and Sciences  
http://www.sas.upenn.edu/GAS/home/grad&beyond/graduation.html

Email: gas-degree@sas.upenn.edu

Telephone:  215-898-7444

Ordering a Transcript & Getting Your Diploma

Information on ordering transcripts is online at http://www.upenn.edu/registrar/student-services/transcripts.html

Diplomas are mailed to the address of record by the Office of the Secretary approximately two months after each degree cycle, (e.g., in early October for August graduates, in March for December graduates, and in July for May graduates).
Checklist

1. Is every page of the dissertation correctly numbered? Are all pages included?
2. Is a bibliography and/or index required by your graduate group?
3. Does the author's name, in full, appear on the title page, the abstract, and the contract form? Is the name the same on all three? Is it in the same format as in the Penn In Touch system?
4. Is the title on the abstract and on the ProQuest Form the same, word for word, as on the dissertation?
5. Does the supervisor's name (without the faculty title) appear on the abstract? Is the name typed accurately and in the proper place, so that it is clearly indicated that s/he is the supervisor and not the author?
6. Are all charts, graphs, and other special illustrative materials legible? Are they in the correct order and position? Are they paginated?
7. If you are submitting electronically, did you embed the fonts to preserve all the formatting? (See instructions on embedding fonts at http://www.sas.upenn.edu/computing/help/students/dissertation-pdf)
8. Do you want to apply to register the copyright in the dissertation with the U.S. Copyright Office?
9. If a significant portion of a third person's copyrighted work is included in your dissertation, have you obtained permission from the copyright owner? If the dissertation is submitted with a CD or DVD, have the following been included: a description of software or other applications used, including a list of files and file sizes; copies of licenses for third party software necessary to access, display, run, or print the dissertation; and written permission to reproduce copyrighted images, video, graphics, animation, data, and images of individuals, which is not considered “fair use”?
10. Have you completed the Survey of Earned Doctorates, the PhD Exit form, and the ProQuest Publishing Agreement? These forms are emailed to all degree candidates by the Graduate Division and must be completed online prior to your appointment. Bring verification of completion of the two surveys to your appointment. If you have questions regarding these forms, call 215-898-7444.
Appendix: Official Names of Graduate Groups

Africana Studies
Ancient History
Anthropology
Applied Mathematics and Computational Science
Architecture
Art and Archaeology of the Mediterranean World
Biochemistry and Molecular Biophysics
Bioengineering
Biology
Cell and Molecular Biology
Chemical and Biomolecular Engineering
Chemistry
City and Regional Planning
Classical Studies
Communication
Comparative Literature and Literary Theory
Computer and Information Science
Criminology
Demography
Earth and Environmental Science
East Asian Languages and Civilizations
Economics
Education
Electrical and Systems Engineering

English

Epidemiology and Biostatistics

Folklore and Folklife

Genomics and Computational Biology

Germanic Languages and Literatures

History of Art

History

History and Sociology of Science

Immunology

Linguistics

Managerial Science and Applied Economics
  Accounting
  Applied Economics
  Ethics and Legal Studies
  Finance
  Health Care Management & Economics
  Management
  Marketing
  Operations and Information Management
  Statistics

Materials Science and Engineering

Mathematics

Mechanical Engineering and Applied Mechanics

Music

Near Eastern Languages and Civilizations

Neuroscience

Nursing
Pharmacology
Philosophy
Physics and Astronomy
Political Science
Psychology
Religious Studies
Romance Languages
Sociology
Social Welfare
South Asia Regional Studies