

**SCHOLARLY PURSUITS:
A GUIDE TO PROFESSIONAL DEVELOPMENT
DURING THE GRADUATE YEARS**

Seventh Edition

**by
Cynthia Verba**

**A publication of
the Graduate School of Arts and Sciences**

Harvard University

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GRADUATE YEARS**

SEVENTH EDITION

**WITH SAMPLE APPLICATION ESSAYS, FELLOWSHIP PROPOSALS,
CURRICULUM VITAE AND COVER LETTERS**

**FROM CANDIDATES IN THE
GRADUATE SCHOOL OF ARTS AND SCIENCES
OF
HARVARD UNIVERSITY**

**by
Cynthia Verba**

**A Publication
of the
Graduate School of Arts and Sciences**

Very special gratitude goes to
all the graduate students and PhD's
who shared so generously
about their experiences in academe,
without whom this booklet could not have been written.

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TABLE OF CONTENTS

I. SCHOLARS AT WORK: AN OVERVIEW OF THE ACADEMIC PROFESSION	1
Scholarly Beginnings: The Decision-Making Process to Become a Scholar in a Given Field	1
What Do Scholars Do, And Where Do They Do It?	1
What Are Some of the Steps on an Academic Ladder?	2
What Are Some Distinctive Features of Life in Academe?	3
What Are Some Things You Should Know About the Academic Job Market?	4
Faculty Salaries	5
Minorities	5
Women	6
Citizenship.....	7
II. VIEWS FROM MINORITIES IN ACADEME	8
Report on a Panel Discussion: “Building for the Future, Dealing with the Present”	8
III. THE DOCTORAL PROGRAM AND PROFESSIONAL DEVELOPMENT: PLANNING AND SETTING PRIORITIES	11
The Nature of the Graduate Program, Its Principal Stages.....	11
Roadmap to the Academic Advising Process in Graduate School: The Formal and Informal Routes to Helpful Advising	13
After the General Examinations: Refining or Choosing a Dissertation Topic in the Humanities and Social Sciences, Maintaining Momentum.....	15
Practical Tips on the Mentoring Process Across All Fields, From a Recent Panel Discussion	15
Special Issues for Women: Access to Mentoring and Other Channels for Professional Development.....	17
The Harvard Task Force on Women in Science and Engineering: Recommendations Concerning Equal Professional Development Opportunities for All Students	18
Acquiring Teaching Experience and Improving Teaching Skills.....	18
Engaging in Professional Activities: Attending Conferences, Delivering Papers.....	19
Acquiring Language Skills in Relation to Research.....	20
Participating in Departmental Activities	20
Seeking a Position as House Tutor, Freshman Proctor, or GSAS Resident Advisor	21
Broadening Career Options	21
Sample Application Letter for a House Residential Tutor Position	22
Acquiring Letters of Recommendation and Setting up a Dossier	23
Combining Personal Life with Professional Life in Academe	23
Four Tips for Graduate Students from the Incoming Dean of GSAS: Orientation, 2005	24
IV. FINISHING THE DOCTORAL DEGREE IN A TIMELY FASHION: THE DISSERTATION AS A KEY FACTOR	26
Stages of the Dissertation Process in the Humanities and Social Sciences.....	26
The Dissertation from the Student Perspective: Choosing a topic, choosing advisors, surviving the research and writing stage, getting a life.....	28
The Dissertation from the Faculty Perspective	31

V. GRANTSMANSHIP IN SUPPORT OF STUDY OR RESEARCH: WRITING A FELLOWSHIP PROPOSAL OR STATEMENT OF PURPOSE	34
Making Use of the Fellowship Services of GSAS	34
Applying for Fellowships in the Early Stages of Graduate Study: The Predissertation Proposal	35
Writing the Dissertation Proposal in the Humanities and Social Sciences, Special Considerations for Research Abroad	36
Project Review for Research on Human Subjects	44
Some Basics on Taxes and Fellowships	44
Samples of Winning Fellowship Proposals: Predissertation Fellowship Proposals	46
Samples of Winning Fellowship Proposals: Dissertation Fellowship Proposals	58
Sample Biographical Essays for Fellowship Applications	87
Sample Curriculum Vitae for Fellowship Applications	90
VI. PUBLISHING SCHOLARLY WORKS	92
Publishing Journal Articles or Book Reviews	92
Publishing Books	95
VII. BEYOND THE DOCTORAL PROGRAM: APPLYING FOR TEACHING POSITIONS.....	100
Entering the Academic Job Market: The Dissertation as a Key Factor in the Decision.....	100
Steps to Take Once You Decide to Enter the Job Market; Treating These Steps as an Investment.....	100
Perfecting Your Curriculum Vitae	101
The Dissertation Abstract: Discussing the Dissertation's Contribution to the Field.....	104
Writing the Cover Letter, Enclosing Supplementary Material	105
Keeping Informed of Vacancies and Choosing Where to Apply	107
Acquiring Letters of Recommendation for the Job Hunt	108
Having Letters Sent: Dossier Service and/or Individual Letters.....	108
Keeping a Record of Your Applications	109
Follow-Up	109
The Interview	109
Short Interviews At Professional Meetings	110
On Campus Visits and the Job Talk	113
Negotiating a Contract	115
The Two-Career Family: The Job Search for Two Academic Jobs	116
Special Considerations for Foreign Students.....	117
On Not Giving Up	117
Sample Curriculum Vitae and Cover Letters for Academic Employment	118
VIII. BEYOND THE GRADUATE PROGRAM: APPLYING FOR POSTDOCTORAL FELLOWSHIPS AND OTHER RESEARCH POSITIONS IN THE FIELD OF THE PhD.....	149
Applying for a Postdoctoral Position in the Sciences:.....	150
Panel Discussion: Landing Your First Postdoc in the Sciences.....	150
Applying for Postdoctoral Positions in the Humanities and Social Sciences:	

Writing a Formal Proposal for a Regular Posted Position	152
Other Types of Research Positions in the Field of the PhD	154
Choice of Resume Format	154
Research and Related Positions—Nonacademic Resumes and Cover Letters	156
APPENDIX A: GUIDE FOR TEACHING FELLOWS ON WRITING LETTERS OF RECCOMENDATIONS	168
Writing Letters of Recommendation and Its Relationship to Teaching	168
The Contents of a Letter of Recommendation.....	168
How to Acquire Sufficient Information to Write an Effective Letter	169
Further Refinements: Handling the Easiest Case, the In-Between Case, and the Most Difficult Case	170
Questions of Format and Style, Co-Signed Letters	171
Sample Letters	172
APPENDIX B: TWO ESSAYS ON WRITING FELLOWSHIP PROPOSALS: SSRC, NEH	175
On the Art of Writing Proposals.....	175
The Art of the Fellowship Proposal.....	180

PREFACE

When the first edition of this book was written, which was in the early 1980s (originally under a slightly different title), the whole concept of providing a professional guide needed some explanation. Graduate students, after all, were surrounded by professors. How could there be a need for more resources for professional development?

Now, around twenty-five years later, with this seventh edition of the book, the climate at Harvard has changed considerably. The need for assisting with professional development is a given. This can be seen at the departmental level, where seminars or workshops are offered; at the Office of Career Services, which is busier than ever in helping PhDs; in the Harvard Houses, which assist undergraduates in making the choice to enter a doctoral program, and at the Graduate School of Arts and Sciences, which plays a leadership role in assessing the changing picture and in seeking appropriate responses.

Certainly the competitive nature of the academic job market has played a decisive role in this transformation. We now recognize that graduate students must begin engaging in professional activities as early as possible — learning how to write winning fellowship proposals to fund their research, giving professional talks and preparing articles for publication, polishing and broadening teaching skills, and in general enhancing their qualifications for the eventual job search, whether within academe or beyond.

This book seeks to respond to the need for professional development in two ways: first, it offers information and answers to some of the basic questions that students ask about preparing for a career in academe — including samples of a variety of successful application materials; and second, it recognizes that while many of the questions and answers concerning professional development are common across all fields, others have a distinctive cast, depending on whether the field is in the sciences, the social sciences, or the humanities. As an additional step, the book suggests ways of making effective use of the available resources for enhancing and broadening opportunities.

With these goals in mind, the book is meant to be a practical guide. You will find, however, that it does not provide step-by-step instructions that are recommended for everyone alike. Rather, the book attempts to define the issues at each of the important junctures in the doctoral program, recognizing, as noted, that there are some basic distinctions between the features of the doctoral program in the sciences, on the one hand, and the humanities and social sciences, on the other. Above all, it tries to suggest ways of approaching professional issues according to the needs of the individual, promoting the idea that each of you must play an active role in your own professional development.

CHAPTER ONE

SCHOLARS AT WORK: AN OVERVIEW OF THE ACADEMIC PROFESSION

SCHOLARLY BEGINNINGS: THE DECISION-MAKING PROCESS TO BECOME A SCHOLAR IN A GIVEN FIELD

This is a process that many people find easier to describe when looking back upon it, rather than while going through it. There is no fixed timetable or clear set of prescriptions for making this decision. What we offer instead is a hypothetical sketch of the probable stages that one goes through in reaching the decision to become a scholar in a given field. As you recognize yourself in one or more of the stages in the hypothetical model, it may serve as a guide in helping you to interpret or clarify your own experiences as a student and emerging scholar.

Stage one:

It begins with a perception that there is a given subject or field of specialization which arouses interest and pleasure, and which you know you would like to pursue further. At this stage, there may be several competing fields — some of them closely related, others less so. The main point in this stage is that you already know that you enjoy work in a given field or fields.

Stage two:

The initial perception of special gratification from a given subject continues to grow. You find that the more you learn, the more you want to learn. There is a new intensity and focus to your interests in that field. You attach greater importance to your own ideas, as well as to those in the scholarly literature. You become increasingly interested in doing original research, formulating new questions, or going into other questions in greater depth. This is perhaps a stage of readiness to choose a potential area of specialization. Even at this more intense stage, however, there may still be rival fields competing for your interest.

Stage three:

You reach a point where you can contemplate leaving the wide range of college courses and devoting yourself almost completely to a single field, or perhaps an interdisciplinary field, which has increasingly dominated your interest and attention. The prospect of doing so, far from giving you a sense of confinement or limitation, creates a sense of excitement and of expanding possibilities. With this, you have reached the kind of motivation and love of field that is characteristic of a scholar. You now share that common bond.

WHAT DO SCHOLARS DO, AND WHERE DO THEY DO IT?

Academe encompasses a vast array of fields, each with its own distinctive qualities. The focus of the present discussion is not on the qualities that set the various disciplines apart from one another, but rather on the more general characteristics that apply across all fields.

The two most important components of an academic career are teaching and research. The balance between these will vary, depending on the nature of the institution. In large research universities, for example, greater weight will be given to research; in small colleges, on the other hand, there will be a greater emphasis on teaching. Almost all schools will be interested in both activities to some degree. Many research scholars indeed are committed teachers, and vice versa. The combination is found by many to be mutually beneficial.

Faculty members also serve as student advisors and have a number of administrative responsibilities: participating in decisions on curriculum development, admissions, fellowships, honors, faculty recruiting, and

other committees primarily concerned with academic matters. In many institutions, faculty members — usually at the senior level — also take their turn as chairs of departments. In addition, many of them are engaged in professional activities in their field: serving on editorial boards of professional journals, or in administrative positions within professional associations.

Academic careers for PhD's are pursued primarily in two types of institutions: a) four-year undergraduate colleges; and b) universities, which offer both undergraduate and graduate-level programs. Within universities, PhD's usually teach on the faculty of arts and sciences, although in some fields they are employed in technological institutes or professional schools within universities. For example, PhD's in some of the biological or medical sciences may be employed in medical schools; PhD's in economics may hold positions in business schools; and PhD's in the applied sciences may be hired by engineering schools or technological institutes. One other type of institution in higher education is the two-year community college, which also employs PhD's.

Colleges and universities may be private or public institutions. In either category there is a comparable range of quality of schools. Scholars producing significant research and publications are working in a wide range of institutions.

Within institutions, the center of activity is usually the department. Most teaching is organized along departmental lines, as are the numerous administrative responsibilities cited above. In a number of fields, time will be divided between the department and a research center or laboratory. There are also a burgeoning number of interdisciplinary programs. In addition, faculty members serve on university-wide committees that deal with the overall governance of an institution, and may hold appointments in more than one school within a university.

Beyond the university, faculty members are often active in professional associations in their fields, participating in both scholarly and administrative activities. Professional conferences and meetings take place locally, nationally and internationally. Scholars in many fields also travel and go abroad in order to do research — ranging from brief trips during the academic year, to summer stays, to living abroad for an entire year on leave or sabbatical. Travel is often an integral part of an academic career. In addition, a number of scholars put their training and experience to use in nonacademic settings.

WHAT ARE SOME OF THE STEPS ON AN ACADEMIC LADDER?

Academic positions can be divided into two main categories: a) tenured appointments — i.e., appointments for life, and b) non-tenured appointments. People in the first group are often referred to as senior faculty, with title or rank varying among institutions. Below the tenured level are a variety of ranks and titles and job descriptions. People at these earlier stages are commonly referred to as junior faculty. A separate category is the postdoctoral fellowship position, typically held by science PhDs as the first step on the academic ladder, and increasingly attractive to candidates in the humanities and social sciences as well.

Non-tenured appointments

Within this category, the most important distinction is between appointments that are tenure-track — meaning that there is a tenure slot available for which the candidate can be reviewed after a specified number of years — and those that are not. In addition, some institutions, including several of the Ivy League schools, offer entry-level appointments for which there is a possibility of a tenure opening and review, rather than an available tenure slot.

For most of the above positions, the PhD degree normally is a requirement. Some hiring departments in recent years have been stipulating “PhD degree in hand”; most require at least strong evidence that the dissertation will be completed by starting date of appointment. In addition, as noted, people in the sciences typically take

postdoctoral fellowships for one or more years before applying for entry-level teaching positions — a pattern which has increased in recent years.

In tenure-track positions, the number of years before tenure review varies among institutions. One standard pattern is a three-year appointment, renewable for another three years, and then a tenure review.

In non-tenure-track positions, there is an even wider range of contract possibilities — from one or two-year nonrenewable appointments, up to six years or more. In the sciences, most students take postdoctoral fellowship positions (for a period that can range from one year on the short side, to six years on the long side, or three years as a middle possibility), before taking a ladder position.

Almost all new academic vacancies and job descriptions are publicized — usually in the appropriate academic journals or employment bulletins put out by the various professional associations — in compliance with affirmative action requirements. The search for an academic job thus is highly structured, with announcements appearing early in the academic year, and with the job search basically confined to published listings. Unsolicited inquiries, if used at all, are helpful mainly for obtaining adjunct or part-time teaching positions or last-minute openings of a temporary nature. This path is particularly used by candidates with geographic restrictions or other needs. In academe, candidates apply for available vacancies, rather than seeking out the institutions or geographic areas of their choice. (A full discussion of the job application process occurs in Chapter Seven below; see also the separate discussion of applying for postdoctoral fellowships.)

The attainment of tenure

In some cases, a junior faculty member is offered tenure at the institution of his or her first employment, usually through a tenure review of a candidate in a tenure-track position. In other cases, the candidate moves one or more times before finding a school that makes a tenure offer. The tenure decision — whether it is in the original institution, or after one or more moves — normally gives consideration to both teaching and publications or other professional recognition, although the respective weight accorded to each will vary considerably among institutions. Academic service or citizenship may also enter into the tenure decision.

The bottom line on the attainment of tenure is that normally it comes no earlier than six years after the commencement of a teaching career, with a common scenario of one or more moves in the period prior to tenure.

WHAT ARE SOME DISTINCTIVE FEATURES OF LIFE IN ACADEME?

Rather than approach this question in the abstract, we will share some answers provided by faculty members at Harvard in a panel discussion devoted to this question. One speaker was an economist, another in history of religion, and the third in marine biology. As rich and as varied as their responses were, they also contained some important common themes.

One theme was a concern with false stereotyping about academic life, especially the notion of a scholar as an isolated figure working in a rarified atmosphere, on nothing but narrow and esoteric subjects. To the contrary, each speaker felt a sense of connectedness with others, and each had diverse interests. The economist, for example, said that her motivation to do research on Jamaica had practical implications. She herself was from Jamaica, and wanted to help solve problems of poverty in that country. Her goal was to be qualified to be able to find solutions. She also had a combined interest in labor and international economic issues, rather than just a single focus.

The professor in history of religion said she had resisted specialization all the way through graduate school. Eventually, she wrote a dissertation that was of sufficiently broad interest to be published by a major

nonacademic press. Her main point was that there is room in academe for people who do not have a life of scholarship as a single trajectory from the very beginning — there is a place for people who think of themselves as teachers and as generalists. She herself has continued to have strong interests in the world outside of academe, working as a consultant for the World Council of Churches.

The marine biologist described his connectedness with others as something that is built into the field. Biology is a very social enterprise. Team research is necessary — one cannot work in isolation. It requires people who enjoy working with others, people with a strong social dimension. Like the others, he came to the field of marine biology with very broad interests, including a fondness for California beaches. He started out as an undergraduate working in a lab in order to help pay his way through college. He soon discovered that the quality of the lab work offered a gratification of its own.

The speakers expressed similar views in regard to teaching. Their instruction is not just confined to specialized courses, and they all enjoyed teaching in the core curriculum. They stressed that although lectures have the greatest visibility, the bulk of teaching work is in preparing a course and designing the lectures. They also felt that having rapport with students was the most fun

Academe was also discussed in terms of its pros and cons as a career choice. All of the speakers emphasized that they loved what they were doing — that they were in fact being paid to do something that gave them pleasure. They also felt positive about the flexibility and freedom that characterize academic work, although one speaker not yet in a tenured position said that the absence of structure had disadvantages as well. There is a pressure to publish, but no fixed short-term deadlines. It requires self-motivation and discipline, a need to be organized in the use of time. On the whole, she thought the pluses outweighed the minuses; having the opportunity to design her own work schedule and to formulate her own priorities was what really counted for her. She could organize her research according to her own needs and preferences, and had the flexibility to travel if work required it.

WHAT ARE SOME THINGS YOU SHOULD KNOW ABOUT THE ACADEMIC JOB MARKET?

From all of the considerations that have been discussed so far, it should be clear that the decision to pursue a scholarly career is a highly individual one and cannot be approached from a statistical point of view. It is nevertheless important to be aware of past trends and projections.

According to a number of studies of higher education, the 1990's promised to usher in a rise in demand for new PhDs. There were even projections of a total reversal of the trends of the 1980's: Instead of a job shortage, there would be a shortage of PhD's to fill new openings. The historical background for this set of expectations goes back to the 1960's, when there was an expansion in higher education — primarily in response to the post World War II baby-boom generation that came of college age in that decade. Expansion was followed by a contraction in the 1970's and 1980's as the baby-boom generation completed their college education. The situation has varied according to field — with the humanities and some of the social sciences feeling the earliest and greatest contraction in demand for new teachers, but with the sciences eventually experiencing a similar effect. The shortage has been most severe at the level of tenured positions, since the dramatic expansion of the 1960's produced an abundance of tenured professors who were in their forties at the time. Many of these were expected to retire in the 1990's, and the expectation was that a sizeable number of openings would emerge — mainly tenure or tenure-track positions.

Now that the 1990's have passed, it appears that these projections, although based on substantial data and sound reasoning, have not materialized. Other factors influencing academic jobs were not foreseen or were overlooked — economic factors, for example, or the end of mandatory retirement, which now applies in academe (under the Age Discrimination in Employment Act). The present picture is considerably cloudier

than anticipated.

What does this tell us about the future? A principal lesson learned by forecasters is that it is very hazardous to make predictions. However, in a study just completed by the Graduate School of Arts and Sciences in the fall of 2003, we examined what happens to Harvard PhDs after they have been out of school for three years or longer. We investigated the current employment status of the Harvard PhD cohorts from 1996 through 1999 and compared those findings with the employment rate for these same cohorts at the time when they graduated and received their PhDs. What we found is that the employment rate improved dramatically over time: The overall employment rate, counting both academic and nonacademic employment, climbed from 69% to 96% in the humanities, from 74% to 93% in the social sciences, and from 36% to 80% in the natural sciences, where the norm of postdoctoral research at exit explains this more dramatic rise.

These findings, although extremely encouraging, do not provide us with any safe conclusions about the future. In the absence of any definitive sign, it is perhaps best to close with one item of certainty: THERE WILL BE A NEED FOR A NEW GENERATION OF SCHOLARS.

FACULTY SALARIES

A recent survey of academic salaries conducted for the American Association of University Professors provides figures for the academic year 2004-2005 (reported in the *Chronicle of Higher Education*, Almanac Issue, August 26, 2005). The average annual salary for assistant professors is the following: \$47,834 at 4-year colleges, \$51,339 at institutions offering Master's degree, and \$60,567 at institutions offering the PhD. For full professors at these same types of institutions it is the following: \$74,408, \$77,900, and \$104,411, respectively. It should be noted that faculty salaries vary not only according to rank and type of institution, but also according to field. In economics and many of the applied sciences, for example, salaries are generally higher; at the level of full professor, individuals in the field of economics earn an average salary that is 17.4% higher than their peers in English departments. (In addition, people in economics or the applied sciences are often able to supplement their academic salaries by working as consultants.) While the above figures do not put academic salaries in the same class with professions such as law or business, the rewards in academe are weighed by those who enter the profession in terms that go beyond salary figures. They value the intrinsic satisfaction gained from teaching, the opportunity to make a contribution through original research, the freedom to set one's own agenda, to travel, to seek a change of pace during the summer months, the built-in system of promotions usually accompanied by salary increases, and the eventual job security that comes with tenure. Many find that the end result is a satisfying lifestyle.

MINORITIES

Under-representation of minorities in academe, at both the graduate student and faculty level, has been and continues to be a problem. An overview of the situation is presented in a relatively recent study, *In Pursuit of the PhD*, by William G. Bowen and Neil L. Rudenstine (Princeton, 1992). While the authors note that there are important differences among diverse subgroups within broad racial/ethnic categories, they nevertheless cite figures that reflect the severity of the problem: "In 1988, Blacks received 3.9 percent of all doctorates awarded to U.S. residents in all fields of study; Hispanics received 2.9 percent; Asians received 5.1 percent; and whites received the remaining 88.1 percent" (p. 37). The authors also cite differences in representation by field in their figures for earned doctorates in 1988: Within the arts and sciences "the percentages of doctorates received by Blacks ranged from a low of 0.8 percent in mathematics to 1.6 percent in physics, 1.8 percent in history, 3.2 percent in economics, 4.2 percent in English and American literature, and a high of 7.1 percent in political science and public policy. Hispanics rank highest in the humanities, with . . . particularly large numbers of doctorates in Romance languages and literature and lower representation in English and American literature. . . . Asians are very heavily represented in all of the quantitative sciences; for example, Asians earned 16 percent of all doctorates conferred in engineering, as compared with under 3 percent in

history, English, and psychology.” No data was provided for American Indians, because of their small numbers.

In a more recent report sponsored by six Federal agencies and conducted by the National Opinion Research Council (reported in the *Chronicle of Higher Education*, Almanac Issue, August 25, 2005), the earned doctorates for minorities showed considerable increase over the 1988 figures reported by Bowen and Rudenstine: Blacks received 6.6 % of earned doctorates and Hispanics received 4.9 %. Whites earned 81 %. As for distribution by field, the report still showed similar tendencies noted by Bowen and Rudenstine for 1988. Within the arts and sciences, the highest field for Blacks was in the social sciences at 6.4 %, while the humanities were at 3.8 %. Blacks were low in the physical sciences at 3.2, while in the life sciences they were at 3.6 percent, with engineering seeing a modest improvement to 3.7 %. For Hispanics the largest field was also in the social sciences at 5.7 %, followed by the humanities at 5.4 %. Hispanics tied Blacks in the physical sciences at 3.2 percent, while life sciences were at 4 %; engineering improved to 4.9 %. Asians were lower in the social sciences, at 4 %, but higher in the sciences: in the physical sciences, at 6.5 %, in the life sciences, at 8.5 %, and in engineering an exceptional high of 11.1 %. It is difficult to make discipline-specific generalizations for Native Americans because of their small numbers (a mere 0.5% of doctorates went to American Indians and Alaskan Natives).

The under-representation of minority groups such as Blacks, Hispanics, and Native Americans among the earned doctorates in the arts and sciences has an enormous impact on higher education. Above all, since the under-representation carries through at the faculty level, it hampers the ability of colleges and universities to provide an encouraging learning environment for all of its students. Minority students often report feeling a lack of minority scholars as mentors. On still another front, there is a need for a diverse faculty in order to sustain and stimulate scholarly research on the diverse frontiers of knowledge, as well as in the traditional fields. Educational institutions increasingly have recognized these needs, and are taking active measures to attract more minorities into graduate school. Increased minority enrollment holds the key to a better learning and research environment for all.

WOMEN

The situation for women in academe is considerably different. According to the study cited above (Bowen and Rudenstine), the gender gap in doctoral education has closed significantly: Between 1966 and 1989 there was a steady and rapid rise in the overall percentage of doctorates awarded to women, starting from a low of around 10% and more than tripling during that period. Much of the growth occurred during the post-1970 period, but leveled off in the late 1970s. It should be noted that the scale and timing of increases have varied considerably by field, with the largest gains made in English, history and political science — and especially English (almost 60% in 1988). In mathematics, engineering and most of the physical sciences, however, the supply of women doctorates remains relatively low (in physics, which is the lowest, less than 10% of all doctorates awarded to U.S. residents in 1988 were received by women).

The more recent figures of earned doctorates (from the same *Chronicle of Higher Education* Almanac issue cited above) indicate that the gap between men and women earning doctorates in the arts and sciences is closing even further, although, once again, with considerable differences according to field. Women have overtaken men in the social sciences, at 55.3 % for women and 44.5 % for men, and in the humanities, at 50.7 % for women and 49.1 % for men. The physical sciences, however, while showing some growth for women, still indicate a relatively small supply of women doctorates, at only 26.6 % for women and 73.1 % for men; the gap is even greater in engineering, at 17 % for women and 82.5 % for men. The life sciences show a better balance at 48.2 % for women and 51.5 % for men.

There is further cause for concern related to the timing of the expansion of doctorates earned by women. Bowen and Rudenstine note that the first wave of expansion took place “during precisely those years (since 1970) when graduate education in general was contracting.” They add that “these women entered graduate

school and worked toward their PhDs during years (primarily the 1960s) when the women's movement and other broad social and cultural forces were expanding opportunities for women. These developments took effect at a time when other forces (the weakening of the academic labor market, for instance) were pushing in the opposite direction" (p. 34). What this means is that while the presence of women in academe is much greater than it was before the expansion of women doctorates, the opportunities for women still have failed to live up to expectations. There is still a sizeable gender gap, especially at the associate and full professor levels, across all fields.

CITIZENSHIP

The recent figures on citizenship for earned doctorates in (also from the *Chronicle of Higher Education* Almanac issue cited above) show that while US citizens are a clear majority, at 64.9 % across all fields, the figure of 26 % for non-US citizens on temporary visas reflects a growing trend in higher education (with an additional 4 % with permanent visas). Percentages vary according to field, with non-US students in engineering at 55.3 % compared to 36 % for US (the remainder was equally divided between unknown citizenship and permanent visa). The next highest is the physical sciences, at 38.1 % for non-US and 52.7 % for US. Next come the life sciences at 26.2 % for non-US and 64.9 % for US. The largest gap is in the humanities, at 14.4 % for non-US and 76.3 %t for US citizens. The social sciences show a similar gap, at 17.7 % for non-US and 73 % for US.

CHAPTER TWO

VIEWS FROM MINORITIES IN ACADEME

BUILDING FOR THE FUTURE, DEALING WITH THE PRESENT

This was the title of a panel discussion at Harvard, sponsored by the Graduate School of Arts and Sciences. Speakers were current graduate students and PhD's who were asked to share their experiences as minorities in academe. They represented different stages in graduate study or an academic career, different paths into graduate study, and different fields of intellectual interests: history of science, philosophy, romance languages, and government.

A number of important points were made during the session:

- Because of the intense and prolonged nature of graduate study, it is important for students to be clear about what they want to do. One speaker advised seniors who are uncertain about their goals to try to clarify them before applying to graduate programs. He observed that his own uncertainty and a desire not to feel left out led him to law school after college. It was like a strong gravitational pull for those who were undecided. When he got to law school, he discovered that he did not know why he was there and that there were too many bright talented people in law school who did not belong there and were unhappy. In his own case, he enjoyed his law education. He then entered a doctoral program in philosophy at Harvard, and still remains interested in the philosophy of law and public law.

His experience in the doctoral program includes both negatives and positives. In the former, there is very little structure, so that a student **must** be very clear on goals. This can be harder for minorities to do, since there are fewer people with whom to identify. Thus, the typical problem of graduate school becomes more acute for minority students — once again, making it more important for minorities to be sure what they want to get out of the program and why they are there. On the positive side, graduate study is stimulating and rewarding. It is a luxury to spend one's time studying a subject that one really cares about as a principal and legitimate activity. He noted that professionals such as lawyers or doctors often think of their undergraduate education as an oasis in their lives, where they could pursue their interests. He added that graduate school offers an extension of that opportunity.

Looking at the decision from still another angle, the speaker also stressed that it is important for more minorities to become scholars and role models. Having models in educational institutions is crucial, since education exercises the most profound influence on people's lives. If faculties are not integrated, then they cannot serve the goal of helping to create a more integrated society. At the same time, he added that a deficient pool for faculty positions is not the only problem, nor will increasing the pool be the sole solution. Instead it should be thought of as an important first step that is part of a long and historical struggle.

- A second speaker also emphasized the importance of clarifying goals. She had entered a doctoral program in science at MIT, but soon realized that she was not happy in that program. She got her M.A. and then went to work for a few years in computer consulting. She then decided to finish her PhD, but chose to do it in the history of science rather than science and entered the doctoral program at Harvard in this field. This decision was based on her realization that she would be less happy working in a science laboratory, and more fulfilled in teaching and working with people.

- A third speaker focused still further on the issue of minority representation. In regard to the Latino population in academe, the statistics are somewhat misleading, and are actually even more distressing than they seem. She noted that the Latino population keeps growing, but the number going to college or beyond does not reflect that growth proportionally. Other groups, and especially Black males, have actually lost ground.

On the intellectual side, there is also an exciting challenge for minorities — a need to re-examine the canons, perhaps to retell history. Her advisors tried to discourage her from specializing in minority issues too soon, warned her that she would be labeled exclusively as a minority specialist, that it would be disadvantageous to her career, and that it was best to wait. She nevertheless went through an intellectual evolution in her field of romance languages, from studying the literature of the Golden Age of Cervantes, to Latin American literature, to Central American and Caribbean literature, and finally, to U.S. Latino literature. The warnings against doing the dangerous “Chicano stuff” only whetted her appetite. She said that a dissertation must be about what really moves you. Minorities also need to learn about themselves, to appreciate themselves, to have ethnic studies and courses about themselves, and to have mentors. In dealing with the present, where there are still few minority role models, she said that minority students must take a role and work with one another for improvement, which in turn makes graduate school even more demanding and challenging for minorities. The university can be used for support and to facilitate action by minorities. Fellowships and financial support are particularly important, since there are so many extra demands and pressures on minority students. She considers the challenges enormous, but exciting.

- With a view to the future, the fourth speaker offered a preview of what it is like to become a minority faculty member. As might be expected, she noted that it compared very favorably to her experience as a minority graduate student, and that it provided far more personal autonomy. She added to the discussion on choosing a dissertation topic related to race, and observed that in her experience it did not hurt her career. In fact, in her application essay to graduate school she wrote that she would study Blacks. She was admitted to the school of her choice, but she too was warned that her study might be too “narrow.”

Some of her difficulties in graduate school also involved her family, since they had very little education and had difficulty understanding what she was doing. In the end, she kept in very close touch with her family, and found them an important support. She stressed that it is very important to develop friends and support outside the department, outside the University — especially since there are so few minorities within the University. She noted that among Black PhD’s there has been a tendency to teach at historically Black colleges. Because of the absence of minorities in greater number outside of Black colleges, she finds the issue of visibility a problem — there is a constant feeling of having to meet someone else’s standards. Minority students have described to her a feeling of having to learn a new way of communicating, a new way of thinking, and yet be expected to produce their own original scholarly ideas. It involves extra efforts, extra steps, that other students might not have to make. On a positive note, she concluded that teaching offers an enormous joy of sharing with students, and that this is a compelling reason for entering academe.

- Some further comments came from the audience. Another minority faculty member, teaching at MIT, offered encouraging news. In her experience, minorities are greatly sought after (she has had two job offers in one year), and that colleges and universities are greatly concerned about the under-representation of minorities on faculties. She also had encouraging news about faculty salaries. Academics may still be underpaid, but junior faculty are making considerably more than in the past. Also, as people move through the academic system, they get annual raises. Senior faculty receive very decent salaries. The overall picture thus is one with reasonable financial rewards.

- A college senior in the audience, who is applying to graduate school and intends to study minority communities pressed the issue further of whether she risked being labeled exclusively as a scholar on minority issues. Despite the many warnings speakers had received, there was a general feeling that she should do the best work possible in the field of her choice. The issue of minority topics will not go away — even when minorities choose not to focus on minority issues, it is always assumed that they are specialists in that area. They must therefore be strong in areas in the political mainstream and in minority concerns. The speaker on the Harvard faculty said that when she interviewed for jobs — and her topic was on minority issues — she did not find her specialization harmful to her career. Speaking philosophically, one panelist noted that the new is always resisted, so there is always some risk. At the same time, she emphasized that there is a desperate need for people who can teach about minority issues. The challenge and the difficulties cannot be denied, but that only makes the whole enterprise important and exciting.

CHAPTER THREE

THE DOCTORAL PROGRAM AND PROFESSIONAL DEVELOPMENT: PLANNING AND SETTING PRIORITIES

An underlying theme in this chapter, and in this publication as a whole, is that the doctoral program is a form of professional training -- a preparation for a career that will allow you to do advanced research, to teach, and to explore a range of career options. Thinking of the graduate experience as a form of professional development can also encourage you to engage in planning and setting priorities. Harvard offers a number of services to help with that process, over and above the ties that we hope will develop within your department, within your field. At the end of this chapter is a time line for engaging in professional development, suggesting how and when to use some of the principal services available to assist you in that process. The chapter itself is devoted to examining the various facets of the graduate program.

THE NATURE OF THE GRADUATE PROGRAM, ITS PRINCIPAL STAGES

At an orientation program for incoming graduate students to Harvard's Graduate School of Arts and Sciences (GSAS), the welcoming President of Harvard University at the time, Derek Bok, characterized the mission of graduate students in terms of two distinct processes: a) acquiring knowledge about the "state of the art" as it is passed on from one generation to the next; and b) creating new knowledge and cultivating one's own interests. The combined effect of the two, often with a healthy tension between them, was compared to the process of coming of age and rejecting one's "intellectual parents." Students were urged not to be intimidated by their professors and to think of themselves as professionals from the very beginning.

In this regard, graduate training was contrasted with undergraduate education. At the graduate level, education, as noted above, is a form of professional training. Student motivation and commitment are assumed as givens. Work is less closely monitored and feedback is more informal, with less emphasis placed on grades in measuring achievement. It was noted that while this greater freedom can be exhilarating, it can also be a challenge for students in providing their own structure and momentum.

The basic design of the graduate program is geared to the two goals of acquiring existing knowledge and creating new knowledge. Typically, there are two principal stages.

The first stage consists of course work and fulfilling other basic requirements, including Generals or Qualifying Exams, which are designed to test the mastery of a given body of knowledge. This stage in many departments lasts two years, although in some cases, it is longer.

In the natural sciences and life sciences, students are expected to gain admission to a lab or research group during the first year, preferably by the beginning of second semester, but no later than the end of the second semester. Many science departments offer lab rotations during the first semester in order to assist students in choosing a lab. Making this choice is such an important matter, that in departments where rotation is not offered, students have organized sessions to help inform first years on the qualities of the various labs or research teams. Eventually science students settle into a lab where they will engage in independent research that forms the basis of the dissertation, with the faculty head of the lab typically serving as the main dissertation advisor.

Science students who have gone through the selection process report that in choosing a lab for dissertation research it is important to consider the research environment that is fostered by the faculty member who heads the lab, and that this can be as important as the particular subject matter (although

subject matter may also determine the nature of the environment). Students cite the following factors to consider:

- Are you looking for a high-powered lab that seeks to compete with the corresponding labs at other major research universities, or would you prefer a more low-keyed lab?
- Are you looking for a lab where the faculty head provides lots of feedback and support over a range of issues related to professional development and future plans?
- Are you looking for a lab where you will be able to propose your own thesis project and a lab with flexibility about switching projects?

As you can see, the selection process for a science lab also requires self-assessment, being conscious of which type of research environment would work best for you.

In the humanities and social sciences, many students engage in exploring dissertation topics or doing preliminary dissertation research during the early stage. In planning your graduate career, and especially in exploring potential areas of specialization and potential advisors with whom to work, you should consult a wide range of faculty members or advanced students in your department. Asking them about their current research, making them aware of your interests and concerns, getting them involved in your plans — all these are useful and appropriate steps to take. Whatever you finally choose, you will find it beneficial if you can establish ties with a number of faculty members, junior as well as senior. There are so many different aspects to mentoring and professional development, that it is probably unlikely that all your mentoring needs can be filled by a single person, even if you are able to find an advisor with whom you have a close to ideal relationship. (See the section on mentoring below.)

Departmental requirements and individual choices

In most departments, students are asked to choose a major field for concentration and a minor or sub-field. These choices will partially determine course requirements and also the fields that will be covered on the General Examination. Most departments in the social sciences and humanities also have a required language competence test, and in some cases, a quantitative methods requirement. Science departments have analogous requirements related to the skills and training needed for particular areas of research.

Within the general framework of departmental requirements there are also individual choices to be made, and here it is wise to choose courses that may point to prospective dissertation topics. In the sciences, as noted, the critical decision concerns which lab or research group to join. Some students enter graduate school with a definite idea of their intended topic; others have only a tentative plan. Whether you are in the first or second category, course choices—or lab rotations in the sciences—should provide you with sufficient exposure to your potential area of specialization to enable you either to confirm or possibly to reassess your original plans. Such choices should also provide an opportunity for exploring new areas of potential interest and for developing alternative possibilities as you continue to assess your plans. In most cases, the department program is designed to permit exploration — including interdisciplinary possibilities — prior to commitment to a single area of specialization or specific topic. It is especially important to use the course work stage as a period of self-assessment.

Also to be noted is that the issue of balancing teaching and studies can be a complicated one. Participating in teacher training or teaching practica is often a department requirement that needs to be incorporated into the overall planning process. See below for specific advice on gaining teaching experience and using the Derek Bok Center to improve your teaching skills.

The second stage becomes more focused on the dissertation: formulating a topic, working on getting an approved prospectus, and then researching and writing the dissertation. The dissertation is expected to be a mature piece of scholarship that makes a contribution to the field. Many dissertations eventually are converted into publications. (See below for more details on the dissertation stage in the humanities and social sciences; also see the following chapter.)

In the sciences, students are commonly asked to submit an original research proposal for their qualifying exam. Ordinarily in the sciences, the dissertation grows out of research done in the research lab; it is usually a series of papers or write-ups of lab results that have been undertaken as original research.

Additional considerations for certain areas of specialization

There are some fields in the humanities and social sciences that have great scholarly significance, but relatively little demand for teachers. It is important to be aware of demand — of fluctuating conditions, as well as more stabilized ones — not so much to be dictated by them, but in order to plan a program that will help to counteract the effects of the market. While all students would be well-advised to plan a well-rounded program, this advice applies especially to people in fields with relatively low teaching demand. They should place even greater emphasis on developing strong secondary specialties, as well as other desirable skills. Students who choose an interdisciplinary program should be aware that the job market is still largely structured around individual disciplines, so it is important to develop sufficient strengths to allow you to apply to a single department, if necessary.

The length of time from entry into graduate school until receipt of the PhD varies considerably, from four or five years on the fast end of the spectrum, usually in the sciences, to eight or more on the slower end. Recently there has been a growing consensus among faculty and administrators in higher education that the doctoral program should be completed in a timely fashion, which means as close as possible to the six-year period. Attempts are being made to redesign doctoral programs, making them more streamlined, in order to make this goal a reality. Adequate funding also helps to speed the time-to-the degree, and attention is being given to the creation of new financial aid packages and/or fellowships that will further enhance this goal.

ROADMAP TO THE ADVISING PROCESS IN GRADUATE SCHOOL: THE FORMAL AND INFORMAL ROUTES TO HELPFUL ADVISING

The more formal part of the advising process typically has two different stages: first, as students enter a graduate program, the departments normally assign a faculty advisor to assist students with planning a program of study; second, as students reach the dissertation stage, the dissertation topic normally determines the choice of advisor or dissertation committee.

In the sciences, the faculty member who heads the research group or lab in which the student settles for dissertation research typically becomes the student's main dissertation advisor. In all fields, students are required to have 3 faculty members sign off on their completed dissertation, and two must be members of the Harvard Faculty of Arts and Sciences.

There is also a more indirect and ongoing process that can be thought of as the informal advising process (see also the discussion on mentoring below). In contrast to an explicit appointment for advising purposes, it occurs in a variety of contexts where a student seeks or is offered advice by a faculty member: graduate seminars, courses in which graduate students serve as Teaching Fellows, jobs as Research Assistants, and even briefer encounters in which graduate students request letters of recommendation -- as for example, for fellowship competitions. The faculty members are not necessarily confined to the graduate student's own department (and in some cases, the contacts may occur outside of a student's own institution).

Once you recognize these situations as opportunities for gaining advice, you can play a more active role in seeking it and in making the most of the advice that you receive. Here are some examples:

- Getting feedback on a seminar paper can lead to the identification of a dissertation topic; or it can lead to a scholarly presentation or publication.
- Similarly, getting feedback on teaching sections from the professor of a course can lead to improved teaching skills.
- Still another opportunity occurs when students apply for fellowships and request letters of recommendation from faculty members. Many students seek advice specifically on their proposals in making this request (this is over and above ongoing discussions that normally occur as students consult with advisors in selecting and formulating a research or dissertation topic). Students find that professors become more invested in the fellowship application process when their advice is sought specifically on fellowship proposals.

The more that you engage in these encounters and recognize them as a form of advising, the likelier that good mentoring relationships will develop — ideally with even two or three faculty members, depending on the size of your department. (See below for a discussion of mentoring and special issues for women in regard to the more informal processes of professional development.)

In the more formal or explicit advising contexts, it is helpful to know in advance what you hope to get out of the advising relationship. Graduate students who are still in the early program planning stage will want to consult with their advisors on the nature of departmental requirements, the nature of the General Examinations, and how best to meet requirements and prepare for the Generals. In most departments in the humanities and social sciences, students are asked to choose a major field for concentration and a minor or sub-field; in the sciences, as noted, students are asked to choose a lab or research team. These choices will partially determine course requirements and also the fields that will be covered on the Generals, and also the faculty member who is likely to be your assigned advisor.

At a panel discussion in which recent graduate alumni/ae in the humanities and social sciences shared their career experiences with current graduate students, the speakers were unanimous in feeling that close faculty ties had played a crucial role in their professional development, both during graduate study and beyond. They observed that it required some effort on the student's part, but made it their strongest recommendation. Two contrasting approaches were presented:

- In one case, a mentor relationship was established through a kind of apprenticeship — the speaker had joined a team research project run by a faculty member. It not only helped in getting to know the faculty member, but eventually provided a thesis topic and area of specialization as well.
- In the contrasting case, the speaker approached it in a more personal way. She took the initiative to engage in fairly sustained intellectual dialogues with faculty members. As she looked back on them, she found that she could evoke or “replay” these conversations in her memory, and that they had a greater impact on her intellectual development than reading alone had ever done.

At the same panel discussion, a faculty member who was present noted that the benefits were not all on one side: most faculty members find a sense of accomplishment not only in the books that they write, but in their students, who ensure continuity for the future.

AFTER THE GENERAL EXAMINATIONS: REFINING OR CHOOSING A DISSERTATION TOPIC IN THE HUMANITIES AND SOCIAL SCIENCES, MAINTAINING MOMENTUM

Maintaining momentum after the General Examination was an important theme that was emphasized in a panel discussion by recent graduate alumni/ae, especially in the humanities and social sciences. They all described the fairly common experience of inertia that sets in and the difficulty of getting started on the dissertation after the General Examination is passed and the more structured part of the program ends. They could offer no magic formula for regaining momentum, but they told of factors that helped in choosing a dissertation topic and getting started. Suggestions for choosing a dissertation topic and adviser and for completing the dissertation in a timely fashion will be taken up in the next chapter. (In the sciences, research, almost by definition, is an ongoing process starting as early as the first year, and in many fields, formulating an independent research project is part of the qualifying exam, so maintaining momentum tends to take care of itself, as does the issue of funding, which commonly is provided for through the student's research lab.)

Applying for fellowships for dissertation research: a question of timing

Closely related to maintaining momentum in the humanities and social sciences is the issue of timing for fellowship applications or the cycle of the application and awards process. In most cases, fellowship candidates must apply for research fellowships during the academic year prior to when support is needed — with many fellowship deadlines occurring during the fall of the previous year. Fellowship tenure roughly coincides with the academic calendar.

For many students, the task of writing a fellowship proposal that far in advance is a problem — even for those students who have chosen a thesis topic and done some preliminary research. (Indeed, most researchers will confess that the best time to write a truly accurate description of the project is after the project has been completed — the early timing of the fellowship application is a problem for most scholars.)

One way to deal with the problem is to recognize it as such, and to start planning fellowship applications as early as possible — as soon as a topic has been chosen and some preliminary research has been done. This also means becoming informed about possible sources of funding and fellowship deadlines as early as possible.

Equally important in dealing with the timing issue, is to recognize that a fellowship proposal is a projection of what you expect to accomplish, made on the basis of preliminary research. It is not meant to offer definitive conclusions. The task in the proposal then is to offer sufficient reason as to why the project is promising — why you think the project will make a significant contribution to the field. (See Chapter Five for a more detailed discussion of the fellowship proposal.)

PRACTICAL TIPS ON THE MENTORING PROCESS ACROSS ALL FIELDS, FROM A RECENT PANEL DISCUSSION

The panel was entitled “Mentoring: Defining it, Acquiring it, and Assuring Equal Opportunities for All Students.” The speakers represented a wide range of fields and an equally wide range of stages along the academic ladder, from graduate student to senior faculty. Each of them addressed the questions: What are graduate students looking for in a mentor? Do they view the mentoring relationship differently from the advising relationship, and if so, how? What was truly remarkable was that the speakers managed to present candid and extremely helpful suggestions in a collective fashion, listening carefully to one another, with dynamic interactions as they went along, while also sharing generously of their own individual experiences. Their responses to audience questions continued to show these very same traits. Faculty panelists included: Caroline Elkins, the Hugh K. Foster associate professor of African studies; Howard Georgi, Mallinckrodt professor of physics; Alyssa Goodman, professor of astronomy; and Dudley Herschbach, the Frank B. Baird

Jr. research professor of science. The panel also included advanced graduate students or postdoctoral fellows.

We realize that good mentoring is not something that can be legislated. Still, it is our belief that the more we publicize what can be expected in a mentoring relationship, the more that faculty members and students alike will absorb this and view it as the norm. Here are some of the major points that were made by this truly unbeatable team.

- Take an active stance as a student, rather than simply waiting for the right mentor to come along: Be alert to positive experiences with faculty or other members of the larger scholarly community, and try to follow up and build further on initial exchanges that were rewarding. It is extremely helpful to get to know several faculty members really well.
- Attend professional meetings as well as talks at Harvard with guest speakers, exchange ideas with people on panels where the topic is one you have been pursuing or perhaps are planning to pursue. Engage in follow-up correspondence. Scholars are usually pleased when interest in their work is expressed. Keep in mind that asking thoughtful questions is not a sign of what you don't know, but rather, how interested you are in becoming better informed. One panelist emphasized that a state of uncertainty is part of the very nature of research; there is a need to develop a tolerance for this state.
- Be aware that it is highly appropriate professional behavior to ask for feedback on work that you have written and that you plan to pursue further. Many scholars prize a mentoring role. One faculty panelist went even further and said that he felt sorry for those faculty members who are not interested in mentoring; he finds it truly a privilege. He added that serious researchers take their teaching and mentoring seriously; they learn by seeing things through the eyes of new students. All panelists agreed that making use of faculty office hours was one of the best ways of approaching faculty. They also suggested that it is helpful to find a happy medium, between sounding too desperate or too casual as you seek faculty advice. Best of all, try to avoid getting to a point where you feel desperate; don't wait too long before seeking advice.
- Another faculty panelist noted that you can get even get some degree of mentoring or acquire role models just by observing people, both those whom you admire and those whom you don't.
- Still another faculty panelist emphasized that a good mentor must be prepared to give good strong honest advice across the board, adding that the best advice is the tough advice. All the panelists were quick to add that it is important first to say something positive; a negative tone prevents the mentor from getting the point across. One panelist noted that if a research problem is not working, he tries to help the student to find a new problem as quickly as possible, adding that a quick initial success is great for morale; it helps to develop a sense of competence.
- A panelist at the postdoctoral stage said that she found accessibility to be one of the most important traits of a good mentor, someone willing to help with all kinds of needs. She also said that it was important to help the mentor with the process, even if it means openly confessing that you don't know what you are doing. She noted that she tried to be patient with herself, to accept where she was, even if she was stalled.
- A panelist at the graduate student stage defined good mentoring as someone willing to be pro-active in helping with professional development: networking for you at conferences, providing guidance on publishing opportunities, and continuing to stay in contact with former students after graduation. She added that such faculty members are likely to be greatly in demand and thus very busy. She suggested being strategic in your choice of mentors, seeking those who balance or complement each other. Her

department puts together a list of potential advisors and which students have worked with them, which facilitates getting tips from other graduate students in choosing mentors. She also noted that not all your mentors have to be in your department, that it can be very helpful to go outside and get a different perspective.

- Finally, an interesting paradox emerges from all the comments on mentoring: If it goes very well, then the mentor comes to think of the student as a colleague, which in a sense cancels the mentoring relationship.

SPECIAL ISSUES FOR WOMEN: ACCESS TO MENTORING AND OTHER CHANNELS FOR PROFESSIONAL DEVELOPMENT

The question of what is good mentoring, which is relevant for both women and men, acquires a special cast when discussed by women, since men have been the dominant presence in higher education, in both faculty and administrative positions, for such a long time. Within the GSAS Women's Group, open to women in all fields, mentoring has been viewed over the years as going beyond advising in two significant ways: one, it entails the concept of mentor as role model, with an especially strong interest in hearing from women in academe who have been able to combine career and family; and two, it views the mentoring relationship as going beyond specific academic issues, guiding the student through the various stages of professional development. It entails taking the whole person into account, conveying a sense of support and encouragement. Academic advising of course is a part of mentoring, but only a part of a larger phenomenon

GSAS women have reported varied experiences and preferences in their quest for a satisfying mentor relationship, with the following patterns emerging:

- Students in fields where women faculty are poorly represented – and this is particularly true in many of the sciences—have found it necessary to broaden their search, looking beyond their own department or even their own institution for women in science as mentors.
- They have also found it useful to come together as women and share ideas for improving the environment for women. It was in this spirit that the GSAS Women's Group was originally formed over a decade ago. And more recently, a new group has formed, Harvard Graduate Women in Science and Engineering (HGWISE), focusing on the particular needs of women in these fields. They have gotten off to a running start, contributing many valuable ideas that went into the report of the Harvard Task Force on Women in Science and Engineering. To keep up with the efforts of this very active group, see their website at: <http://www.hcs.harvard.edu/hgwise/>
- Since mentoring, as defined above, has several facets, many women have found ways of satisfying their mentoring needs by taking a composite approach, identifying particular faculty who provide encouragement and support, and others whose strengths are in providing academic guidance, and still others who provide guidance in professional development and inspiration as role models. Not all of these needs are gender-specific, and graduate women have found male faculty members who have served as splendid mentors.
- In the specific search for role models in fields where women are poorly represented, an important way of expanding the potential pool is to make contact with alums in your field. Harvard's GSAS maintains close ties with its alums; in our survey forms we specifically ask if they would be willing to act in an advisory capacity, and are creating a data base with the names of such people. More information on this database will be available at the HGWISE website. In addition, the Harvard Alumni Association offers a

university-wide database of potential mentors, called the “Professional Connection.”

- To make the most effective use of alumni/ae mentoring or networking opportunities, it is important to think in advance, not only about what you hope to learn from the contact, but also what you would like to convey about yourself, your own interests and priorities and goals. The PhD counselors at the Office of Career Services can assist you in the very important process of self-assessment. They can also provide further information on the “Professional Connection” database.

THE HARVARD TASK FORCE ON WOMEN IN SCIENCE AND ENGINEERING: RECOMMENDATIONS CONCERNING EQUAL PROFESSIONAL DEVELOPMENT OPPORTUNITIES FOR ALL GRADUATE STUDENTS

In the Report from the Harvard Task Force on Women in Science and Engineering, May 2005, the point was made repeatedly that one serious obstacle to equal opportunities for women in the sciences, where they are poorly represented, is that mentoring and other informal channels which play a significant role in professional development work poorly for women. In the words of the Report: “At all levels, leaving mentoring to informal channels often leaves women and underrepresented minorities with less support, and it is therefore important that formal plans be put in place for advising, tracking, and oversight of individuals at all levels of the pipeline.” (p. 13)

Whether it is networking or gaining access to special technical training that occurs outside of the formal curriculum, women, by and large, do not receive the same opportunities that are available to men; there is a common tendency for people to gravitate to people like themselves. The Task Force Report, emphasizing that all students must have equal opportunities, calls for a number of specific measures that could help to create a more level playing field: more departmental efforts at integration and collegiality, such as a formal departmental orientation, weekly department lunches or retreats at which students and faculty present research, inviting more women guest speakers, creating cross-field programs that promote a sense of community among women and underrepresented minority science students; making funds available to establish programs to train all members of a department in technical skills and equipment use. (For the full report online, including recommendations for pedagogical training to address gender bias, increased childcare scholarships, improved safety at night for lab scientists, improved recruitment of women and underrepresented minority faculty in the sciences, as well as specific issues for undergraduate women in the sciences, go to: <http://www.news.harvard.edu/gazette/2005/05.19/01-taskforce.html>.)

If you find yourself in a department where there is a need for more provisions that could help to equalize opportunities, there are a number of GSAS personnel who are actively engaged in helping with implementation of the Task Force recommendations, starting with GSAS administrative dean, Margot Gill, and with further assistance available from members of the GSAS Office of Student Affairs, as well as the Director of Fellowships.

ACQUIRING TEACHING EXPERIENCE AND IMPROVING TEACHING SKILLS

The range of teaching opportunities for graduate students tends to vary according to field. In preparing for a teaching career, it is in your best interest to be a Teaching Fellow in as broad a range of courses as possible: introductory and advanced-level courses in your department, including small tutorials where you can develop your own syllabi and reading lists; or courses outside of your department, especially in the non-concentration courses of the core curriculum. You may also want to broaden your teaching experience even further by seeking to give a guest lecture or to teach a course in another college or university in the local area or in the Harvard Extension Program. Candidates who enter the job market report that some hiring institutions express concern over the elite nature of this institution (see below, the section on job interviews and dealing with “the Harvard mystique”).

It is important to get feedback on your teaching and to polish your skills. In some courses — especially large lecture courses — it is standard practice for professors to observe and critique their section leaders. If this is not done, you can take the initiative and invite the professor to do so. Assisting in lecture courses also provides the reverse opportunity — that of observing and learning how others teach. (Both positive and negative examples can provide insights.)

Another important means of improving teaching skills and of showing your commitment to good teaching is use of the Derek Bok Center for Teaching and Learning. It provides a number of services, including the opportunity to teach class sections in the Video Laboratory and have them critiqued. The Center will also give you advice on preparing an effective teaching portfolio. Briefly, the portfolio consists of the items listed below. For a complete description of a teaching portfolio, see the Bok Center web site: <http://bokcenter.harvard.edu/>.)

- Statement of your teaching philosophy
- Description of past teaching and advising responsibilities
- List of courses taught (as a course head, Teaching Fellow, or Tutor)
- Committee on Undergraduate Education (CUE) scores by course accompanied by an explanation of how you interpret these results (Note: Be sure to obtain and save your scores and CUE cover sheets, as well as synopses of written student remarks, rather than having to track these down at a later date.)
- Description of efforts to improve one's teaching
- Letters of recommendation (by a course head who can comment on your teaching, advising and administrative abilities)
- Prospective syllabi (for courses you have designed and taught or for courses you are prepared to teach)
- Video clips documenting teaching (which the Bok Center will assist with)
- Sample student work with your evaluations (for example, a photocopy of a student paper that you have evaluated)

One aspect of the teaching experience that often begins at the Teaching Fellow stage is being asked by undergraduates to write letters of recommendation. For a discussion of this important task, see Appendix A.

In some of the science fields, there are few teaching opportunities and no teaching requirement (in virology, for example). Even in such cases, however, there is an opportunity to train younger grad students (and even undergraduates doing summer projects), which can be viewed as an integral part of graduate training. It also helps with managerial skills, which are crucial for eventually running one's own lab and mentoring students and fellows.

ENGAGING IN PROFESSIONAL ACTIVITIES:

Graduate education is a form of professional training. The sooner you become involved in professional activities, going well beyond the confines of your own university, the sooner you become a true member of the profession. The following are some suggestions for getting started:

Submitting a GSAS Research Workshop Proposal

There are now roughly 75 research workshops that bring together graduate students, faculty members, and occasional visiting scholars to discuss shared scholarly interests and individual work in progress. The aim of this GSAS program is to encourage the establishment of ongoing collegial settings for graduate students who are learning to conceive and write scholarly articles, thesis prospectuses, and dissertations. The workshops also offer faculty an opportunity to share drafts of their scholarly work with others in the field. (The GSAS Research Workshops Program, initiated in the fall of 1993, is now fully supported by GSAS.) Applications for workshop funding are equally welcome from sets of faculty and graduate students within a single department, and from inter-departmental groups of faculty and students. Full

details and application form are available online at
<http://www.gsas.harvard.edu/academic/workshops.html>.

Attending Conferences, Delivering Papers

- A seminar paper or a paper on a lab experiment may be suitable for delivery at a professional conference and possibly for eventual publication in a professional journal. (For the latter, see the more detailed discussion in the chapter on publishing.) If you have received positive feedback from a professor on a seminar paper or a lab report, you should seek advice on how to revise it and where it might possibly be presented as a paper or submitted for publication. Professional meetings provide scholars with
- the opportunity to share work that is still in progress. The ideas have to be well thought out and clearly presented, but they need not be a final statement representing a fully completed project. A graduate student who recently delivered a paper at a professional meeting observed that scholarly audiences are usually gentle with graduate students; they are pleased to see students make this effort, and are pleased to welcome them into the scholarly profession.
- Whether or not you are delivering a paper, it is beneficial to join the professional association in your field and to attend a meeting in order to become accustomed to this milieu prior to the job search. It allows you to meet people with similar interests to your own — at panel discussions, at meetings of various interest groups, at any of the receptions thrown by departments or publishing houses, and at other similar gatherings that occur at professional meetings — entry is often quite open. The exchange of ideas need not end with the meeting's end; it is increasingly common for scholars to stay in touch via e-mail. The sooner you become professionally active in this way, the likelier you will keep abreast of the latest developments in your specialized field.
- You can gain more frequent exposure to the profession at relatively little expense by attending on-campus or local conferences in your field, or local chapter meetings of the professional association. These are especially suitable forums for delivering papers initially, allowing you to proceed gradually to presentations for a wider audience. Keeping well-informed about campus or local events should become an important part of your professional agenda.
- If you wish to submit a proposal or abstract for delivering a paper, it is important to follow the required procedures for submission and to observe deadlines. These normally are described in the Bulletins sent to members of the professional associations — another reason to join.
- Finally, it is important to realize that pursuing any of the above avenues for sharing research with others in the field does not imply immodesty. It is an appropriate professional attitude.

ACQUIRING LANGUAGE SKILLS IN RELATION TO RESEARCH

Over and above specific language requirements that exist in many departments, candidates in the humanities and social sciences often find that they need additional language skills for their dissertation research. (The issue for scientists in acquiring special skills outside of the formal curriculum has been addressed in the preceding section.) In some cases, candidates are aware of these needs well in advance, and take the necessary steps to acquire sufficient language skills. It is not uncommon, however, for students to discover that their research requires language skills that they had not originally anticipated — perhaps a need for greater fluency, or a need for an additional language. Many seek to go abroad for a summer of intense language study.

GSAS is attempting to address these needs through summer tuition supplements for entering doctoral students in the humanities and social sciences and through Graduate Society Summer Fellowships for students in these

same fields, and also through an arrangement with the Harvard Summer School, whereby students may apply for tuition waivers for language study. Another source is the Foreign Language and Area Studies Fellowship (FLAS), which is specifically aimed at students undergoing advanced training in modern foreign languages and related area studies — East Asia, East Europe, and the Middle East. In addition, a few departments have funds available for summer research or study abroad, making it worthwhile to inquire. Finally, several research centers at Harvard that specialize in areas of the world offer assistance for language study. For full details on fellowship opportunities for language study, see *The Graduate Guide to Grants*, discussed in Chapter Five.

Another possibility is to enroll in language courses at Harvard during the academic year, as soon as you have identified language skills required by your research. Once again, the earlier you can anticipate those needs, the better.

PARTICIPATING IN DEPARTMENTAL ACTIVITIES

There are many opportunities for graduate students to become involved in departmental activities: attending or helping to organize colloquia, joining student-faculty committees, helping with the orientation of new students to the department, and participating in all informational meetings that are offered for graduate students. This allows students to interact with faculty members in a non-teaching situation. It is also a way of keeping informed of departmental policies of concern to graduate students and providing input on those policies. Most of these events are announced on department bulletin boards and on flyers posted around the department; another excellent source of information is the department graduate administrator. Try to make it a habit to keep well informed of events; faculty members sometimes get discouraged from offering further assistance or sponsoring events if students fail to respond. If you think that there are too few departmental events, you can suggest some that you think would be useful. The more you participate, the more you will have a chance to make suggestions for improvements and to work for them. One graduate student noted that she tends to keep in touch with fellow students after they finish the program, and in that way she has extended her contacts network to other schools as well.

SEEKING A POSITION AS HOUSE TUTOR, FRESHMAN PROCTOR, OR GSAS RESIDENT ADVISOR

There are still further ways of broadening your exposure to university life and becoming actively involved. They are also a means of acquiring academic administrative experience, with financial benefits as well. Responsibilities in these positions vary according to the needs of the different populations in the respective housing groups. Selection committees in general will choose applicants who can show that they have the ability to deal effectively with people in close living situations, are reliable, have varied interests or hobbies, and who have been active in community or extracurricular activities in the past. Information about applying is available in the GSAS Office of Student Affairs, Byerly Hall, second floor; 495-1814. Applications usually are due in midwinter. See the sample Application Letter for a House Residential Tutor Position on the following page.

BROADENING CAREER OPTIONS

The Office of Career Services offers a range of services to introduce GSAS students to career options within and outside of academe. It is wise to become familiar with these services early in your graduate career so that you can learn of options and start planning how best to prepare. There is also a booklet written by former OCS PhD Counselor, Margaret Newhouse, which is a guide to preparing for nonacademic jobs, *Outside the Ivory Tower* (copyright 1993 by the President and Fellows of Harvard College. It is available at OCS.)

SAMPLE APPLICATION LETTER FOR A HOUSE RESIDENTIAL TUTOR POSITION

Candidate's address and E-mail
Date

Master XXXXX
Co-Master XXXXXX
Address

Dear Master and Co-Master of XXXXX House,

I am applying for a position as a resident tutor in X House. My name is Sylvia Bassani and I am a third-year graduate student in Musicology. Although my first name may seem American, I was born in an Argentine family and grew up mostly in Italy and France. This explains the first half of my pluri-lingual thinking. I also hold a Masters Degree from the University of Pisa (Italy, the leaning tower . . .) in slavistics, and this explains the second half. I have a family disseminated all over the Terrestrial Surface, and I love traveling.

I am applying for a Tutorship, as either a linguistic Musicologist or a musical Linguist. I am currently a Teaching Fellow in a course on seventeenth-century music in the Music Department, and next year I hope to teach in a course on music in the Core Curriculum. I know fluently Italian, Spanish (the Latin-American version), French, Russian and Bulgarian, and I can understand Polish. I can also help with Latin (in Italy we have it as a requirement for eight years). I play the piano and sing in the Radcliffe Choral Society and in the Harvard-Radcliffe Collegium Musicum. I enjoy organizing musical and non-musical events, language tables; I try to participate as often as I can to the existent language tables and a musical table in a foreign language might be a nice idea.

I also love sports. I ride my bike in any weather, go to the swimming pool every other day and love downhill skiing (the skis are the first thing I put into the plane when coming from Italy). Another of my hobbies is working with my hands, other than on the keyboard. I like to build or construct whatever I need, paint, invent and so on. Half of the furniture and paintings in my Italian home were handmade by me. I generally like whatever is creative; I also enjoy photography.

Of course, being from Italy, I also love making pasta in hundreds of ways (never overcooked) and good Italian coffee (the second thing on the plane was my espresso machine and two kilos of real coffee). I sometimes organize with other Italians, gastronomic-cultural competitions for the Americans. I hope that you will be interested in having a pasta-maker in your house, a pasta-maker that comes with other positive qualities.

I thank you very much for your attention and hope to hear from you soon. Arrivederci!

Sincerely,

ACQUIRING LETTERS OF RECOMMENDATION AND SETTING UP A DOSSIER

A good letter of recommendation not only makes a statement of support about a candidate, but also presents a well-documented and informative evaluation of performance. Acquiring letters thus should not wait until your final year of graduate study and the job hunt. Often the moment is lost when professors can produce a well-informed letter with relative ease. In some cases, the potential letter writer is a visiting professor, which would make it even more difficult to get a letter after time has elapsed. Similarly, teaching performance is harder to document after some years have gone by, and most graduate students begin teaching well before the academic job hunt. (Some professors are reluctant to write letters too far in advance of the specific occasion for which it is needed, but others even offer to write as soon as they have read a paper that they consider to be of high quality, or have observed a strong teaching performance.) Be sure to stay in touch with professors who have written for you at an early stage — it is a good idea in general, and it will enable them to update their original letter with greater ease.

In making a request for a letter, it is best to ask in person, using office hours or by making an appointment. Even when making the request shortly after a strong performance, it is wise to bring along the relevant seminar paper or any other material that could help produce a vivid and informative letter. Also, make it clear to the potential letter writer that if there is any reservation about writing, you would prefer to know that.

You must decide in advance whether to waive your right to read the letters of recommendation, a right granted under the Buckley Amendment of 1974. The general wisdom is that letters have greater credibility if you waive your right to see them, but you must decide for yourself in each particular instance.

You may start a file with confidential letters at any time in your graduate career, using the central Dossier Service at the Office of Career Services. As your accomplishments grow, your dossier should change and grow as well. When the time comes for the job hunt, your active file — i.e., the file that goes out with your applications — should be a current one. You can always add new letters to your file and ask letter-writers to update old ones. If an earlier letter has been written for some other purpose — for example, a fellowship application or a letter in support of a House tutorship — it is important to have it adapted for the specific purpose of the job hunt.

COMBINING PERSONAL LIFE WITH PROFESSIONAL LIFE IN ACADEME

This was the title of another panel discussion for graduate students. An underlying premise in this discussion was that the quality of personal life has an important influence on the quality of professional life. It is noteworthy that those who chose to attend a discussion of this topic were exclusively women. (One of the speakers was male.)

The married speakers or those with partners discussed the two-career issue and the frequent need to juggle competing demands. Interestingly enough, the speakers felt that few of the problems came from their spouses or partners, but rather from the pressures and demands of the outside world, or from family members. Couples, it would seem, are ready to make compromises in order to achieve a balance. It is employers and the career ladder itself that make it hard to do so.

For those who have children or are planning to have children, the juggling and dilemmas are compounded. Starting too early can delay finishing the degree or slow down the publications necessary for a chance at gaining tenure. On the other hand, waiting until tenure is secured is too long a postponement for many. The speakers suggested that since there is no such thing as an ideal time, one that will work for everyone, the best thing to do is work this out on a highly individual basis. Perhaps there comes a time when you simply feel that you are as ready as you will ever be.

Single people were equally concerned about these issues. All agreed that at some point the pursuit of a career could pose a challenge to personal fulfillment, and that choices would have to be made.

The issues were given an added perspective by one of the speakers who is from Japan. She found that Japanese society is more rigid and that females have fewer choices — although there are some signs of change, and also somewhat greater flexibility within academe. On the other hand, the greater freedom in American society does not always produce liberation. One member of the audience described the restraints as coming from within; she had many exciting opportunities, but they were a source of both pleasure and pain.

By the conclusion of the meeting, the participants all knew that they had not solved any of these problems, but that talking and sharing seemed to be an important thing to do.

FOUR TIPS FOR GRADUATE STUDENTS FROM THE INCOMING DEAN OF GSAS: ORIENTATION, 2005

In her welcoming speech to a new group of entering graduate students, the incoming Dean of GSAS, Theda Skocpol, Professor of Government and Sociology and Director of the Center for American Political Studies, offered four tips that have an important bearing on professional development. Here is a somewhat shortened version of her advice that she tells us is based “on what I learned back when I was a graduate student at Harvard, and based on thirty years of working in partnership with wonderful students in political science and history and getting to know others in many fields.” She has generously agreed to share them for the present publication.

1. **GET TO KNOW AT LEAST THREE OR FOUR FACULTY MEMBERS REALLY WELL – AND LET THEM KNOW IN SOME DEPTH ABOUT YOU AND YOUR WORK.** Of course, you will want to develop a close relationship in due course with one primary mentor – with your lab director or your thesis advisor. But do what you can . . . to get to know more than one of Harvard’s remarkable scholar/faculty members really well. You can only gain by learning from multiple people, and discovering your own way to put together the many insights they have to offer. And, of course, you do not want to be completely dependent on one person for your future.
2. **REMEMBER THAT MUCH OF WHAT YOU LEARN WILL BE FROM—AND ALONG WITH—YOUR FELLOW GRADUATE STUDENTS.** You are not in zero-sum competition with one another. Some graduate schools bring in hordes of students and expect 50% or more to fall by the wayside. That is not how we do it here. You have all been picked as people we are sure can earn the degrees you have signed up for. We expect all of you to succeed. So team up with other students in your program to study for classes, prepare for general exams – and gossip about the foibles of the faculty! The friendships you make will buoy your spirits, and last a lifetime. You are getting to know the movers and shakers of the future. And you will learn a great deal from each other as well as from the faculty.
3. **HARVARD HAS LOTS OF FOOD – FOR THOUGHT, AND ALSO FOR THE STOMACH!** Colloquia, workshops, dinner-discussions, departmental and special interest gatherings are ubiquitous – not just in your department but all over the university. Pace yourself, but regularly attend some of them – including events outside of your immediate specialty. You will learn a lot, and meet key scholars and public figures from all over the world, because everyone who is anyone visits here sooner or later.

Not just that, but you will also find good food and drink at most of these events. . . . I learned this over the years watching grad students – and people from the Cambridge community – attend all kinds of events in the Government Department, eating their way eagerly through delicious sandwiches, nice fruit and cheese plates, healthy vegetable platters, sinful dissert trays – all while drinking good wines! . . . you can definitely save some money, avoid cooking all the time, and eat pretty well around here—while learning

and meeting and greeting at the same time. So dig in to the intellectual fare and chow down, too.

4. Finally, on a more serious note, realize that while your graduate years should be a wonderful time -- as well as a strenuous time of learning and achieving -- they are a prelude, not a lifetime. In June, I will stand before new MAs and PhDs in this same theater – at a time called “Commencement.” It is called that for a good reason: the receipt of the advanced degrees you have come here to earn is the BEGINNING of a mature life of achievement in the many careers for which you are preparing – in universities and colleges, in research laboratories and think tanks, in government and private agencies.

Before you get to the end of this first year of graduate studies – which may seem overwhelming at moments – step back and make a plan for yourself. Set out goals and guideposts to help you move STEADILY through your basic classes and examinations promptly, so that you can get into doing actual research and prepare ASAP to define your own thesis project. Keep in mind that absolute perfection is not your goal, but working hard and doing “well enough” at each step along the way. You are all so smart, that your “good enough” is going to be just fine.

Don’t be afraid to demand that your faculty advisors help speed you along the way. Don’t wait for them to ask you to meet milestones – set your own deadlines, along with your peers, and take the initiative. As soon as you can—by the second year or third year if possible—get involved in actual research and in writing papers to present at workshops and professional conferences. Make the papers you write for courses into realistic research contributions whenever you can.

BOTTOM LINE: You are here, not to study forever, but to become front-line contributors to the advancement of knowledge. And you want to have your degrees in hand as soon as possible. Graduate school is the road to commencement, not an end in itself – always keep that in mind! . . . Best of luck in the months ahead.

Professional Development Timeline

Phases of Graduate Program

Coursework					Generals (or Equivalent)		Dissertation	Dissertation Completion
GSAS Fellowships Office	Identify fellowship opportunities early (many fellowships must be applied for one year in advance): see <i>Graduate Guide to Grants</i> , online at http://www.gsas.harvard.edu/academic/fellowships/guide Seek advice on fellowship proposals and planning for professional development: GSAS Director of Fellowships as well as departmental advisors See winning proposals: <i>Scholarly Pursuits</i> , online and in paper at GSAS Fellowships Office Attend workshops on grantsmanship, publishing, gender and minority issues, finishing the dissertation							
Derek Bok Center	Attend teaching orientations (fall and winter) Seek classroom observations or videotape consultation Consider programs on: "Teaching in America"—Dudley TFs—Graduate Writing Fellowships—Senior TFs—Discussion Leading, etc. Consult on teaching, document teaching—Save CUE evaluations/syllabi, etc. Explore library & videos on teaching							
Office of Career Services	Explore OCS resources and programs Attend Career Development Workshops Consider a GSAS internship Choose summer and other employment for professional development / career exploration	Consult on academic career, weigh alternatives Develop academic and professional CVs Start acquiring letters of recommendation		Attend panels/workshops on academic job search Try mock interviews Attend job talks Assemble dossier for job hunt				
GSAS Office of Student Affairs	Consider becoming: Dudley fellow, freshman proctor, resident or non-resident tutor, GSAS resident advisor Seek tutoring in special areas of need Take ESL courses as needed				Attend professional conferences / meetings (seek funds: Grad Student Council & Departments) Request and save teaching evaluations Develop technological/computer proficiency (ICG workshops)	Join Dissertation Support Group (Bureau of Study Counsel) Join Dissertation Writing Seminar (Writing Center)		
Department	Map out strategic plan for studies with academic advisor (s) Participate in departmental training, orientations	Attend teaching colloquia See all announcements and job bulletins in field Observe faculty and peer teaching	Attend dissertation colloquia	Attend job search meetings Try mock interviews Give practice job talks Pursue postdoctoral fellowships				

This chart suggests a chronology for the use of the University's professional development services keyed to the general stages of academic progress. There is no one sequence that works best for everyone and professional development efforts must be weighed against the particular demands of your studies.

CHAPTER FOUR

FINISHING THE DOCTORAL DEGREE IN A TIMELY FASHION: THE DISSERTATION AS A KEY FACTOR IN THE HUMANITIES AND SOCIAL SCIENCES

During the more structured part of the doctoral program, when students are fulfilling course and examination requirements, problems of timing and maintaining momentum are more manageable, especially in departments where a timetable for exams is clearly defined. The dissertation stage for students in the humanities and social sciences is another matter: without structure and deadlines, students often flounder — in some cases, adding several extra years to the time to the degree. There is a growing recognition **of the need to improve the time to the degree in the humanities and social sciences**, with a special emphasis on the dissertation as a critical factor. Many departments are engaged in a search for new ways to tighten the advising and supervision of the dissertation process.

As has been noted earlier, **in the science fields, the dissertation research grows directly out of research projects conducted in the lab or as part of a research team.** Typically, the dissertation is an assemblage of a series of reports on independent research conducted by the student within the lab.

STAGES OF THE DISSERTATION PROCESS IN THE HUMANITIES AND SOCIAL SCIENCES

It is helpful to think of the dissertation in terms of the different stages in the process: a) **the stage of choosing a topic** (in some departments this begins even before Generals); and b) **the stage of research and writing, including the final dissertation year**; lastly, c) **the dissertation acceptance, followed by the defense.** Below are some of the measures that departments employ to assist students at each of these stages. If some are not available in your department and you believe that they would be helpful, it is appropriate to raise the issue.

The stage of choosing a topic and an advisor: The goal is to seek assistance in finding a topic that is well-defined and feasible, one that matches your interests and aptitudes and at the same time addresses important themes in the larger scholarly discourse.

- Many departments require a dissertation prospectus — in some cases, there is an early deadline for submitting an informal proposal, and a later date when a more polished prospectus is expected. A number of departments are discovering that the two-pronged approach provides more opportunity for giving students feedback during the formulation and early research stage.

Note: Once you have developed a dissertation proposal, it is also time to start preparing to apply for fellowships, since most fellowships must be applied for during the academic year prior to when support is needed — with many fellowship deadlines occurring during the fall of the previous year. (See the more detailed discussion on applying for fellowships in the following chapter.)

- A number of departments offer colloquia to assist students in defining a topic and preparing a prospectus.
- In some cases, a dissertation topic grows out of a seminar paper or out of a research project in which a student is assisting or collaborating with a faculty member. Many faculty members are alert to this possibility, and can often help to identify a seminar paper or research project that has this potential.
- At the dissertation exploration stage students often find a need to talk to people in a wide range of fields. Each faculty member is a potential dissertation adviser. Experienced scholars are conscious that it takes a lot of discussion and airing of ideas for their own research before a viable project is launched; ideally,

they should be prepared to make themselves available for students to engage in a similar airing of ideas. It may be the case, however, that the specialist in your potential dissertation field is more highly regarded for his or her scholarly achievements than for mentoring skills. It is important in this circumstance to work closely with at least one other faculty member as well — someone in a closely related field, and someone with whom you do feel that you have established a rapport. We would emphasize once again that different mentoring needs can be filled by different individuals; try to expand your mentoring relationships.

The stage of research and writing: Once you have chosen a topic and an adviser with expertise in relation to the topic — and possibly other mentors as well, including some outside of the department — your goal is to get detailed feedback on a regular basis. At this stage, students often find themselves isolated, both from peers and professors; many also continue to struggle with the problem of maintaining momentum in such an unstructured situation. The following are measures that departments employ to assist at this stage:

- Once again, a number of departments offer dissertation colloquia, this time with an emphasis on providing feedback on what has been written and providing support for maintaining momentum. In some departments, these are structured events, with designated writers making presentations at each session; in others the agenda is looser. The colloquia are not meant to replace advising on an individual basis, but are a helpful supplement.
- For advising on an individual basis, a number of students and advisers find it effective to schedule fairly frequent advising sessions in advance, regardless of the advisee's progress in the interim period. This may mean submitting work that is a very rough draft, if it exists at all; but at least it assures some communication on a regular basis. Other students and advisers prefer to meet mainly when the students feel ready to show something. This probably means submitting more highly polished work, and some students prefer this arrangement for this very reason, but it also runs the risk that there will be very little contact or monitoring of progress. It may also mean that students waste a lot of time and energy by making fairly lengthy excursions in unfruitful directions that might have been avoided with more regular adviser contact.
- Experience shows that there is probably no single correct advising system; students and advisers often experiment with various scenarios until the right one is found for the individual student. Whatever system is used, advisers find that they can provide the best feedback if they receive new written work sufficiently in advance of an advising session so that they have a chance to give it a careful reading.

The dissertation acceptance, followed by the defense: Once the dissertation is completed and is considered ready for acceptance by the dissertation advisers or committee members, they normally schedule a dissertation defense. While the defense can be considered as a formality, a number of departments do use this session to ask probing questions about the dissertation. This final step varies considerably among departments.

Note: Making effective use of the academic advising process can also be enhanced by making effective use of other counseling sources as well. A wide range of expertise exists among staff members in GSAS, the Office of Career Services, the Derek Bok Center for Teaching and Learning, The Bureau of Study Counsel, the Writing Center, and other offices that are here to serve your particular needs. All of these services may be thought of as part of a continuum, with the overall intent of helping you to make the most of your graduate experience.

THE DISSERTATION FROM THE STUDENT PERSPECTIVE

At a recent panel discussion entitled “Surviving the Dissertation,” the graduate students on the panel, all in the final stages of writing the dissertation, offered variations on the survival theme, such as, “Don’t Be a Perfectionist – YET,” or “Don’t aim for the Nobel Prize.” The panel also included the special perspective of Dr. K.E. Duffin, who works closely with dissertation writers seeking assistance at Harvard’s Writing Center.

Beyond the general theme of “survival,” the speakers offered the following helpful practical tips, maintaining a remarkable balance between candid realism, on the one hand, and reassuring optimism, on the other.

Choosing a Dissertation Topic:

Focus energies early on a potential topic, even if you arrive at only a rough idea of the topic. The speakers provided reassurance to those still engaged in the search by suggesting to them that they probably had a topic – at least a rough idea of topic—but didn’t realize that they had one. What the speakers meant is that when they looked back on their own selection process, they realized that many of their early seminar papers and even their undergraduate research projects tended to form a pattern, hovering around particular themes. In taking stock of what consistently interested them, what gave them pleasure, they eventually singled out a topic that seemed to promise to be the most engaging and one most likely to bring out their strengths. In this manner they capitalized on all of the work they had done so far; choosing was a form of self-identity.

Duffin placed particular emphasis on the positive aspects of the dissertation: if you choose something that truly engages you, then you can think of it not just as fulfilling a requirement, but as a privilege to be working on it. She also likened the ups and downs of the dissertation process to the ups and downs in entering a long-term personal relationship: at first you fear that you will never find that someone; then, when you do, you experience qualms and fear of commitment; then you readjust and make compromises; then you affirm your commitment.

Think of choosing a topic as really choosing a central question that drives your research, rather than a “topic” per se. Duffin emphasized that this is an important distinction. Scientists automatically think of the dissertation as a question or a puzzle, but it is more difficult for humanists to do so. Once you have a question, then you have to answer it; you enter an active rather than a passive mode in your reading and research. A central question generates sub-questions, allowing you to see a structure. The dissertation as a whole is one large question, while the chapters are the answers to the sub-questions. Without formulating a central question, as well as subsidiary questions and a structural outline, you really don’t have a do-able topic, but probably many do-able topics. This can be one of the biggest pit-falls for dissertation writers, so be sure to set limits and recognize that you can never exhaust a topic. Formulating a central question is a way of setting boundaries. The central question may not leap out at you immediately; but be aware that you are searching for that question.

Choosing Dissertation Advisors:

Work to your own strengths, know your own needs, and recognize that usually one person can’t fit all your needs. It is now a requirement in any case that three people serve on the dissertation committee. (For further details see the above “Roadmap” on the advising process, as well as the discussion on mentoring.) While it is helpful to have a famous senior faculty member on your committee, it is also important to have someone who can serve as a “cheer-leader,” and this might point to a junior faculty member. Talking to more advanced students in your department can give you an idea which advisors have a reputation for getting students out in a timely manner, which ones have a good student placement record, which ones are flexible and realistic enough to give students room for their own ideas. It is also important to know if the potential

advisor plans to stay at Harvard, at least for a while. The speakers strongly recommended supplementing the advising process by finding a peer group of dissertation writers who are basically at your stage – it can be as small as just two people. All of our speakers had in fact found peers who really got to know their work, and noted that they felt it was less risky to share a rough draft with a peer.

The Research and Writing Stage:

Since the dissertation is about communicating, start writing as early as possible, once you have identified a central question as topic. Duffin emphasized that writing and research should not be thought of as separate processes: the dissertation is about communicating your ideas. Each attempt at putting an idea on paper may make the next research step far more efficient, since you will have a better notion of what you are looking for, a better notion of the questions you wish to pose, a better sense of the central question versus the subsidiary questions. She advised students to imagine an audience, imagine that you are teaching about what you have found. If you think of it as implicitly engaging in dialogue with others, this can help to overcome the feeling that it is an isolating experience. She also noted that it takes many drafts to create one long argument and that most writing is actually re-writing and revision. The idea of thinking out the whole argument and even writing a very rough draft or diagram of the whole was strongly endorsed by a student panelist; she found that this helped to avoid a complete re-write of earlier drafts of single chapters which might have been necessary had she not allowed the subsequent development of ideas to come into clearer view.

Another speaker noted that at times she became absorbed with questions that didn't seem to fit with the rest. This absorption, however, is often an indication that a place needs to be found for the idea, which may require reformulation of the central question. On the other hand, it also can mean that it is necessary to discard an idea that no longer fits, even if it's an idea that you cherish. One speaker said she is making a collection of her favorite discarded ideas.

Another speaker suggested that keeping a notebook or journal and writing down ideas as they occurred was a great help in getting started with writing. It can also stem panic when you are stuck in a writing block by providing an alternative outlet. Another suggestion was to work on a small section at a time to avoid being overwhelmed. Keep in mind that you don't need to start at the beginning – start at an easy place and rearrange later. The speaker also suggested that to make writing as concrete as possible it was helpful to look for models in other dissertations. They don't have to be specifically in your field, they can still enable you to get an idea of the dissertation as a genre. It is also helpful to set deadlines and to avoid unmanageable hundred-page chapters. Map out on paper a vision of what your progress will be for the next year and have the end in sight.

Don't wait until you have read everything that you think you need to read. Again, this means avoid being a perfectionist; avoid a paralyzing “ideal.” A small fraction of the research that you do will make it into the dissertation. In order to avoid becoming overwhelmed by the secondary literature, Duffin suggested that it is important to skim and not immediately engage in taking copious notes. Once you have gotten a sense of what is relevant, you can go back and do a more careful reading and more thorough note-taking, which then becomes a form of writing. In a similar vein, she called for a separation between the creative process, which comes first, and the more careful process of carefully shaping your ideas on a page. In time it will be necessary to self-critique what you are doing, but some separation is essential. Being too critical can put a damper on creativity.

In connection with note-taking and handling the smaller details, one speaker emphasized that he wished he had paid attention much earlier to the importance of finding the most helpful soft-ware and being more systematic in entering data and recording bibliographic information. It was suggested that we perhaps should pool our discoveries of some of the more helpful tools and technology.

Don't wait too long to get feedback; figure out how to make that happen. Schedule sessions with advisors, sign up to give talks, talk with friends, and set up deadlines. In dealing with your advisor, be proactive. Some advisors micro-manage, others can seem to be negligent. Try to elicit the help that you need; submit a cover letter with specific questions along with your chapter; suggest a meeting date. Don't allow progress to be tied into your advisor's timing for response. Don't allow yourself to get paranoid and think the worst if your advisor does not respond; it seldom has anything to do with you. If you have trouble getting your advisor's feedback, consult others; don't stop working. When you do get feedback try to push advisors to articulate the problem as clearly as possible, distinguishing between fundamental structural problems versus a problem of grammar. One speaker offered the further suggestion that it is helpful to keep a record of dissertation meetings with faculty members. It can serve as a reference for the student in implementing suggestions, and also as a reminder for the advisor of earlier advice. The importance of communicating about the dissertation and maintaining momentum has been recognized by departments as well. Some have instituted colloquia in which students discuss dissertation ideas and progress with fellow students and faculty members on a regular basis.

Don't follow a strict order in writing chapters; don't write your first chapter first, but rather the chapter you feel most ready to write. However, when assembling what you have written be sure to state your central question early in the dissertation, even if you arrived at your final formulation late in the game. It is important to give the structure of your argument, rather than to give the order in which you made your discoveries (which many people tend to do). All the speakers emphasized that you need to stay motivated, keep writing, even if it's just a single page. Try not to procrastinate, don't keep finding excuses, such as "one more" book or article that must be read, or more preparation for the class you are teaching. Put the dissertation first rather than last.

Be flexible and even take a playful approach when confronting surprising research results. The speakers noted that research always entails the unexpected: if all the findings were fully predictable, after all, then the topic probably wouldn't be worth doing in the first place. You may know the big questions, but you cannot know all the questions in advance, and you will surely discover new questions that are suggested by the archival material or other sources of data. The formulation of the topic could be expected to change many times, since it is necessary to follow research findings where they lead. It is a good idea to think of the prospectus as a "proto" prospectus, rather than a definitive statement. One speaker in fact subsequently cut his topic in half, with the positive take that now his dissertation has become "more focused." Another positive take on changes that have to be made is to call it a "fruitful mismatch" between the prospectus and the dissertation.

Don't wait too long to apply for fellowships. The speakers strongly encouraged students to apply for fellowships, seeking help from the faculty and the GSAS Fellowships Office. They noted that winning a fellowship can make your own advisor look at you differently, and that once you win your first fellowship, that starts you on a good path to winning other fellowships. (More details on applying for fellowships are found in Chapter Five.)

Treat the dissertation as your current job. The speakers noted that being a PhD student could be an infantilizing experience—many of your nonacademic peers are already out in the "real world." In thinking of your dissertation as a job this means keeping on track, keeping procrastination to a minimum, even though all the speakers confessed to having engaged in various forms of procrastination. Interestingly, while the speakers said that conference talks could be helpful in creating deadlines that have to be met, they warned against becoming a "conference junkie." They explained that conference talks are NOT dissertation chapters and are usually considerably shorter. It is thus easier to convert a chapter into a conference talk than vice versa (an ideal dissertation chapter is around fifty pages, according to one speaker). They also added that in terms of preparing your dissertation for publication, the usual pattern is that the conversion process occurs

after you have received the degree—perhaps after you have taken your first job.

On Getting a Life:

During the dissertation writing stage it is important to have social activities built into your life and to be in contact with other people. Finally, when all practical tips had been exhausted, the speakers were unanimous in the feeling that it takes a huge amount of faith that you will prevail and finish the dissertation. We are all grateful for the many words of wisdom, especially from people who are truly in a position to speak from experience. Good luck on the dissertation to people at all stages.

THE DISSERTATION FROM THE FACULTY PERSPECTIVE

Additional insights for choosing a dissertation topic were offered at a panel discussion by faculty members (entitled “What Makes a Good Topic and How to Find It”). The professors were able to approach the subject from their experiences both as dissertation advisors and as scholars who have gone through the process of choosing research projects themselves. The speakers acknowledged that choosing a dissertation topic is a challenging process that can produce considerable anxiety. A student’s ego and identity are involved — it’s almost like choosing who you are.

They then devoted themselves to dispelling anxiety by offering a series of practical suggestions for choosing a good topic. They stated at the outset that they could not provide a strict set of rules. Topics are as wide as human knowledge; different fields have different criteria, different paradigms, and different methods. In the absence of a clear set of rules, the speakers proceeded instead to apply common sense and experience to arrive at helpful advice.

- Originality is a principal criterion of a good topic. You can be original in diverse ways. You may examine material that has never been studied before; or you can examine well-known material, but provide a new interpretation.
- Another way to view these different concepts of originality is to recognize that some topics are central to the field and that there is always new work being done; other topics are on the periphery and have been neglected.
- It is important to choose a topic that is congenial to you, that you think is worthwhile not only within the framework of the discipline, but on a personal level. It is not at all irrelevant to consider how much you like interviewing, computers, dealing with insects — or whatever it is that a topic demands.
- The specific topic that you study may have a personal and idiosyncratic origin. It is no accident that research on certain groups is likely to be pioneered by people of that group: women have often led the way in women’s history, Blacks in Black history, immigrants in the history of immigration.
- You should have a doable thesis that has boundaries; you have to be able at least to imagine where and when it would end. If it is hard to start a thesis, it can be even harder to end one.
- This means that you should be ambitious intellectually, but not too ambitious, think of it as a task that will enable you to get on with your career. Students sometimes ask if their dissertation should include A, B, C, and D. One speaker suggested first doing A and then see if that makes a dissertation. Students can then go on to B, C, and D after the dissertation is finished.
- One speaker put this idea in a different way. He suggested that instead of writing a dissertation prospectus it is best simply to write a dissertation chapter. He explained that what he really meant was

that it is best to do a little piece of research, think small. If it is interesting it will lead to a bigger problem. The best proposal is a pilot project; once you have picked a path you can add on different forks as you go along. He observed that everyone knows the BIG IDEAS, it is harder to do the little ones.

- Modesty is also helpful in choosing a manageable topic. Some students set out to write a dissertation that will change the world; others just want to write a dissertation. In terms of results, there seems to be no correlation between the quality of the dissertation and the ambitious nature of the topic.
- They noted that it is useful to make the dissertation separable into parts with short-term goals. Work on the dissertation often competes poorly with other tasks that offer more immediate gratification. Confronting the dissertation as a whole can lead to endless postponements.
- There was also a warning that dissertations seldom turn out as planned; it is important to hedge your bets and be prepared in case you do not find data that speak to the issue.
- A good dissertation topic should also allow you to say something that is convincing to other people. Each field has its own rules as to what is compelling evidence. There is always a logic of explanation and there must be interpretable results.
- One speaker suggested that topics that involve comparisons provide a more structured framework than studies of individual subjects. He also recommended building on the work of others. This does not mean replication, but rather looking for gaps or for ways to extend other investigations. He stressed that very few things start de novo. Having a framework, testing things that others have done is very helpful.
- To find out what it is you would like to do, it is helpful to be attentive to your reactions in your scholarly reading. If you find yourself saying “I wish I had written that,” you can use that as a key to finding something similar.
- Preparing a research design also requires conversation. Research is often a solitary activity, but designing research is an activity that should be carried out collaboratively. Decisions made at the stage of research design are so crucial to the value of subsequent labor that issues must be talked out thoroughly at the outset. Even highly experienced researchers often collaborate with colleagues, teach courses on methodology with them, or pop into each other’s office with a query twice a day. Rule number one for graduate students beginning their first large research projects is: engage in an extended conversation with your advisors. Even Jove, with his legendary powers, could not generate a good research design full-blown from his head.
- Looking to the future, the speakers addressed the relationship between the dissertation topic and job prospects. Both agreed that job considerations should be subordinate to intellectual interests. In any case, predicting the market is like “guessing in the dark.” A topic that is in the mainstream of the discipline might appear to be safer, but it may be in an overcrowded field. That problem is not completely solved by choosing a more peripheral topic, since there may be less demand. In general, you should avoid choosing a topic because you think it is fashionable. They also added that the dissertation topic does not necessarily identify your field that precisely — hiring departments tend to work by broad fields.

During the question period, several students wanted to know how best to choose a dissertation advisor — especially how to factor in problems of personality or accessibility versus area of expertise. Both speakers strongly recommended working with more than one advisor — it can be beneficial even if there are no conflicts. The arrangement would depend on departmental policies; in some cases it could be a formal dissertation committee; in others, it may be more a more informal consultation arrangement. It can extend to

faculty members outside of your department and even outside of the University. In general, it is wise to have a number of potential advisors in mind. Some of the most popular professors can be in too great a demand.

The speakers tried to reassure students that most professors care about their dissertation advisees — indeed, professors often find it a source of personal pride to be an active part of the process of training a new generation of scholars. They added that the faculty have an obligation to teach and advise graduate students — that it is what they are paid to do. The speakers urged students to be more active than passive in seeking an advisor, to be more aggressive in their outreach to professors. They strongly recommended that students work hard during their first year or two in getting to know the faculty beyond their classes — interviewing professors, and attending lectures or seminars.

Another student asked about the role of advisors in getting a job — he particularly wanted to know what to do if an advisor was planning to retire soon. The speakers responded that a professor's retirement need not pose a problem. He or she may even have more time to give to students. It is common for professors to continue to work with students after they have left an institution. It is important to talk frankly with a retiring professor about this issue.

Finally, a student asked why Harvard students seem to take so long in finishing the dissertation. The speakers observed that the problem arose from a combination of external pressures and internal factors. After exams, most students start teaching, which is a major distraction from the thesis. In addition, some topics take a long time. However, both speakers had the impression that students take longer than they have to, and that they are especially slow to begin. Both felt that this was a mistake and that students ought to plunge in as quickly as possible. It is very important to work hard enough during the first year of the dissertation to keep it alive even while teaching.

Timing of the dissertation was also discussed in terms of reaching a crucial point in the dissertation where the problematics become clear; you reach a conceptual breakthrough that allows you to imagine the end. The earlier that you reach this crucial point, the better. If you reach it during the first year of the dissertation work, then you can probably finish in two years, which in many fields is a respectable amount of time. You should be able to project even early in the dissertation what a reasonable amount of time would involve. There was a warning that people tire of dissertations. The ideal is to pick a congenial topic, work at a reasonable pace, and FINISH.

CHAPTER FIVE

GRANTSMANSHIP IN SUPPORT OF STUDY OR RESEARCH: WRITING A FELLOWSHIP PROPOSAL OR STATEMENT OF PURPOSE

As noted in Chapter Three, most fellowships must be applied for during the academic year prior to when support is needed — with many fellowship deadlines occurring during the fall of the previous year. (Fellowship tenure roughly coincides with the academic calendar.) This means that it is essential to plan ahead, both in terms of identifying fellowship opportunities and in thinking about the application process. For the proposal itself, it is important to keep in mind that a fellowship proposal is a projection of what you expect to accomplish in the future, rather than a statement with definitive conclusions. This should make it easier to write a proposal in advance. The task in the proposal is to offer sufficient reason for why your plans or project are promising — why you deserve support. The discussion of how to write a proposal will be dealt with in greater detail below, including the pre-dissertation stage as well as the dissertation stage. First, however, we must consider ways of gathering fellowship information and how to take the follow-up steps.

MAKING USE OF THE FELLOWSHIP SERVICES OF GSAS

The GSAS Fellowships Office provides a range of services to assist graduate students in their search for fellowship funding, as well as dealing with many issues related to professional development. The following services are available:

Individual Counseling: Fellowships Director Cynthia Verba offers individual counseling as the centerpiece of fellowship and professional development services. Fellowship advice includes: feedback on drafts of fellowship proposals, strategies for clearly articulating the significance of the fellowship project, identifying appropriate fellowship opportunities, and securing effective letters of recommendation and faculty advice.

Fellowship Publications: The following fellowship guides are available online, and can be accessed as indicated below.

- The Graduate Guide to Grants, available at: www.gsas.harvard.edu/academic/fellowships/guide.html. It provides a comprehensive list of fellowships and grants for graduate students, with information updated on an ongoing basis; searches can be done for the following criteria: citizenship requirements, stage of graduate study, research abroad, fellowship deadlines organized by month, and many others.
- The Harvard Guide to Postdoctoral Fellowships, available at: www.gsas.harvard.edu/academic/fellowships/guide.html.
- Fellowships for Harvard GSAS Students, available at: www.gsas.harvard.edu/academic/fellowships/harvfell.html. It includes descriptions and applications for some of the major GSAS fellowship competitions.

Professional Development Seminars: The Fellowships Office offers a series of seminars, featuring guest speakers and covering some of the topics covered in individual counseling: how to write a polished fellowship proposal; how to get published, with an editor from the Harvard University Press as one of the speakers; tips for surviving the dissertation—how to choose a dissertation topic, strategies for the research stage, strategies for keeping momentum going in the writing stage and finishing in a timely fashion. The seminars are announced in the GSAS Bulletin.

Fellowship Workshops Offered On-Site for Individual Departments: GSAS students or department administrators have arranged for the Director of Fellowships to come to individual departments to offer informational fellowships seminars. This allows the discussion to be more focused on the fellowship questions and needs of particular disciplines. To arrange a meeting, e-mail cverba@fas.harvard.edu or call 617-496-5277.

What you can do to prepare for a counseling session on your fellowship proposal: Prepare a draft of your proposal as early as possible. You should consult the written advice on proposal-writing and examine samples of winning fellowship proposals in the present chapter (see below).

- After receiving counseling on your proposal draft, keep polishing until it is a highly professional statement of purpose. If you wish further feedback on successive drafts, you can make additional appointments with the Fellowships Director.
- Throughout the process, consult faculty advisors and possibly seek advice from specialists in the field outside of Harvard.
- Attend grantsmanship workshops offered in the Professional Development Series—for dates, topics, and other information on fellowships, watch the Fellowships column in the GSAS Bulletin, mailed to all students and also available at the GSAS Website under "publications."
- If you wish to look at further winning fellowship proposals, they are on file in the Byerly Hall Dean's Office, 2nd floor.

A graduate student who recently used the services of the Fellowships Office reported that they nicely complemented the specialized advice she was getting from her dissertation advisor. She found that it was helpful to get feedback from someone outside of the field, since selection committee members may come from a range of fields. The student also felt much freer to make multiple appointments to get feedback from the Fellowships Office, since this is precisely the kind of service that the Office provides.

APPLYING FOR FELLOWSHIPS IN THE EARLY STAGES OF GRADUATE STUDY: THE PREDISSERTATION PROPOSAL

(see samples of winning pre-dissertation proposals at the end of this chapter)

There are fellowships, such as the National Science Foundation (NSF) Graduate Fellowships, which are intended for students at or near the beginning of their graduate study. At this early stage, fellowship application materials — letters of recommendation, transcripts, and Graduate Record Examination scores — will closely overlap those used for graduate admission. Writing the NSF Proposed Research Project or the Javits Proposed Plan of Study and/or Research, however, can be a more challenging task. First-year graduate students generally are not yet ready to write a detailed research proposal, and yet they must be prepared to write an informative and focused essay about their research and study plans and future goals. The question is how to do so — conveying interests in a concrete and even personal way — while still having perhaps only tentative ideas.

Much of your knowledge at this early stage may still be related to undergraduate research, or other research experiences in between college and the graduate program. It is considerably easier to present a focused and well-informed discussion on what you have already done, than on what you are about to do (a condition common to all proposal writers). In using past experiences in a Proposed Research Project, however, it is essential to present them in terms of their impact on your future direction. A discussion of your senior thesis or major seminar paper, for example, should not focus on the procedures or findings, (which in the NSF

application are already discussed in the essay on past research), but on what you learned from them that influenced or shaped your future goals for graduate study. The impact may have directed you towards new methodologies and issues; or, alternatively, it may have encouraged you to continue working on similar issues, using your graduate training to expand your expertise. Using concrete examples from the past is primarily of value in allowing you to talk about future plans with greater assurance and precision. As noted above, the NSF application has a separate question on past research experience. You should of course answer that question by discussing your most important research experiences, but do not hesitate to cite them again in your Personal Statement or Proposed Research Project. The main point is to discuss them in a new way in the Proposed Research essay — once again, focusing on how this past research determined your future plans. **Each essay should be self-contained; you should not count on the reader to remember what you said in response to the research question when you are answering the question on your study plans.**

In organizing the essay on Proposed Research, if you are one of the many people who are still uncertain about your precise research plans, the best strategy for writing a focused essay is to organize it around two or three major research experiences from the past (perhaps an important seminar paper, a research project where you assisted a faculty member, your senior thesis) and show how they led to two or three areas that you wish to explore in your graduate program. Even the most undecided people can name three potential areas of interest that they can then use to write a focused essay. If you choose this strategy, it is usually more effective to start with your most important experiences and then proceed backwards — a principal that works effectively in preparing a curriculum vitae. If, on the other hand, you already have a fairly precise idea of what your research future plans are, you may choose to organize your essay around a single culminating research project from the past (in many cases, that is the senior thesis). Whether you decide on a single project or a cumulative series of events, it is important to organize the material tightly and not to get too bogged down in descriptive detail. Each sentence or paragraph about past experiences should help to advance the single theme — your future goals and how they took shape.

A final point about the essay is that it is also an important display of your writing skills. You should be sure that it is a highly polished piece of work. When you have completed a draft, read it over and have others read it. With a final draft, be sure to have someone else read it for typographical errors. (See the end of this chapter for sample pre-dissertation proposals and accompanying NSF essays.)

WRITING THE DISSERTATION PROPOSAL IN THE HUMANITIES AND SOCIAL SCIENCES, SPECIAL CONSIDERATIONS FOR RESEARCH ABROAD

(See samples of winning dissertation proposals at the end of this chapter.)

Learning to write an effective fellowship proposal at the dissertation stage has implications that go well beyond the process itself; it is a skill that is essential to a scholar throughout his or her career. (As noted elsewhere, students in the science fields are commonly asked to submit an original research proposal for their qualifying exam, which then serves as the basis for the dissertation. Ordinarily the science dissertation is a series of papers or write-ups of lab result; it grows directly out of research done in the lab or on the research team.)

The Nature of a Proposal: How a Dissertation Fellowship Proposal Differs from a Dissertation Prospectus

A fellowship proposal is essentially a persuasive argument for why your project deserves to be funded. Most dissertation fellowships — and fellowships in general — involve a highly competitive contest, judged by an anonymous fellowship committee. This is in contrast to a dissertation prospectus, where you are simply asking your own department to decide whether your project is *acceptable* or not; this is normally an easier task, more like “preaching to the converted.” Many departments have their own rules as to what a prospectus

should be — how long, what to include, what format to use, and other requirements — but in general the prospectus is a fairly detailed explanation of your project.

In a fellowship competition you are asking an anonymous fellowship committee to decide that you deserve to *win* and — yes — that someone else deserves to lose. In this situation, it will not do simply to describe a project that is acceptable; instead, you must develop a highly persuasive and polished argument that will convince the reader that your proposed project will make an important contribution to the field, and that it deserves to be funded. The argument should be constructed so carefully that each sentence and each paragraph advances your contribution argument in the most tightly-knit and logically coherent fashion.

Constructing a Polished Argument for How Your Project Will Contribute to the Field: Three Possible Paradigms

Before you can construct a tightly-knit argument, you must first decide what your contribution argument will be. There are three possible paradigms — or three logical possibilities — for defining how a study will contribute to the field (See Appendix A for samples of complete proposals illustrating each paradigm):

Paradigm One: The project is a research topic that never has been done before. Almost by definition it will contribute to the field. The burden in this argument, however, is to show that the topic is indeed significant despite its neglect by scholars. Perhaps it has only recently acquired significance through scholarly developments, or perhaps there are other factors that have been overlooked that explain its importance. The main point in this paradigm is to show that the topic no longer should be neglected.

Sample Argument, Paradigm One:

“While thirteenth-century Venetian art has been studied in depth, the story of the fourteenth century remains to be written. Not only was this a period of extraordinary political and economic expansion and turning westward, but it was also a period matched by artistic transition, moving away from the prevalent use of Byzantine cultural models — once again in the direction of the West.”

Paradigm Two: (This argument is the opposite of Paradigm One.) The project will study well-known material that has been examined many times before, but you are making a reassessment of that material by looking at it in a new way, which will be your contribution. The challenge in this paradigm is to make a strong argument for the need for reassessment without denigrating all previous work. (Your readers may well include an author of one of those previous works.) The wisest approach is to stress that you are adding a new dimension, thanks to the work that has already been done.

Sample Argument, Paradigm Two:

“The rapid turnover in population in nineteenth-century cities and the chaotic ordering of their neighborhoods has led many historians to focus almost exclusively on the social dislocation and uprootedness that they felt urban life brought. This dissertation seeks to re-examine these assumptions . . .”

Paradigm Three: (This argument logically falls between Paradigms One and Two; it is where most research projects fall as well.) In this case, the project will contribute by exposing some new material, which in turn will call for some reassessment of what has already been done.

Sample Argument, Paradigm Three:

“While there have been some studies done on the Alliance’s activities in North Africa, there have been none on its work in the Ottoman Empire where most of its schools were located . . . By studying the activities of an organization which channeled Western values directly to a broad mass of young students, I hope to shed some new light on the process of Westernization at the local level.”

Discussion of the Scholarly Literature and Incorporating It into Your Contribution Argument: Should You Include Footnotes and a Bibliography?

You will note that all three paradigms have the advantage of allowing you to discuss the scholarly literature in the field, which is an essential part of a fellowship proposal. However, they avoid the potential monotony of simply describing a long list of works; instead they make the discussion of literature an integral part of your contribution argument. When you discuss the literature, the general practice is to keep the scholarly apparatus at a minimum within the proposal. Cited works can be presented in abbreviated form — author's last name and date of publication — and placed within the text in parentheses, rather than in footnotes. This is especially recommended when only a brief fellowship statement is required (of no more than six double-spaced pages). The proposal can be accompanied by a bibliography even if one is not required, but it should be limited to *selected works*, presenting only those items that are central to the proposal.

In some competitions, usually when a longer and more elaborate proposal is required (around ten double-spaced pages), you will be expected to have references and a bibliography. Cited works can still be presented in abbreviated form within the text, or you may use footnotes. In either case, this type of proposal should be accompanied by a bibliography. Once again, the bibliography should be limited to selected works that are central to the proposal.

Writing a Concise Introduction to the Proposal

Your contribution argument will have more meaning if the reader first has a grasp of the overall purpose of your project. An ideal way to begin a proposal is with an introductory paragraph that presents a clear and concise statement of the major goals of the project as a whole. If your topic concerns a particular time period and a particular location, this information should be included in the introduction. Similarly, if you are relying on a specific method or a specific kind of data, this too should be specified at the outset. The following are two examples of opening statements, with the first and longer example serving as an introduction to a longer a more complex proposal and research project:

- “The purpose of my proposed research is to explore the transformation of Mexican rural social relations from 1940 to 1958 by examining the increasingly dominant role of business in agriculture. I will focus on the Gulf state of Veracruz, known for a wide range of soils, climates, food crops, and social relations of production, as well as for the strength of its peasant leagues since the 1920's. My preliminary work indicates that the study of business interests and networks is the most effective way of understanding the nature and pace of change in rural social relations in modern Mexico. In this context ‘business’ may be broadly defined as the profit-oriented activities of individuals or companies with an interest in rural production — e.g., machinery, fertilizers, pesticides, seed, credit, and marketing. The main sources for my research would be company and private papers, business publications, local newspapers, community records, government and diplomatic documents, agricultural manuals and other specialized publications, and oral history or field interviews.”
- “I plan to study archival materials in Norway relevant to my doctoral dissertation. I hope to demonstrate through an examination of his personal papers, music, and publications that Grieg developed a unique style of composition based upon a personal aesthetic outlook.”

Significance of the Project in Broader Terms

Another important component of the contribution argument is to explain the significance of the project in broader terms, showing its relation to larger theoretical issues or to the larger scholarly dialogue. Since this is such an important part of the contribution argument, it could be included not only as you present your paradigm, but also later in the proposal, as you make your closing arguments. The following two examples

illustrate the use of broader arguments. Note in both cases, the use of active words, stating the potential significance in terms of expected or predicted outcomes (“The study will contribute . . .” or “must provide a significant test case”):

- “My work on the state of Veracruz, the first properly historical study of Mexican agriculture after 1940, will test the explanatory possibilities of this novel perspective, and will contribute new sources and fresh approaches to the fields of modern agrarian history and rural development.”
- “I could say, then, that my project is justified in that working out the intricacies of the Old Norse verbal system constitutes a formidable intellectual challenge. But I feel that much more is at stake than that. First, if the facts are as intractable as they seem . . . then they must provide a significant test case for the descriptive and explanatory power of current linguistic theory, and bring issues into clear view which have hitherto lurked in the background.”

Feasibility of the Project

The fellowship selection committee will want to know that the project is feasible, as well as of importance to the field. There are a number of important steps or issues to cover in your proposal that would help to assure the feasibility of your project.

Developing Specific Objectives

One essential step is to translate your major goals into a series of well-defined hypotheses or specific objectives, making sure that the specific objectives are a logical outgrowth of the major goals. For each stated major goal, there should be at least one corresponding specific objective. The feasibility argument will be stronger if you avoid having too many objectives or hypotheses — after a certain number of questions the project’s feasibility sounds less convincing. Similarly, it is important to state all of your specific objectives in a single place in an orderly fashion. If they are scattered (and there is a common tendency for writers to pile up new questions on almost every page of a proposal), then it is impossible for the reader to know exactly what is being proposed, and how or why it fits with the major goals or contribution paradigm.

Special Considerations in a Proposal for Research Abroad

- **Question of time required:** Bear in mind that in doing research abroad many tasks are more time-consuming than they might be in a more familiar setting, that access to research materials may have a number of constraints, and also that the unexpected is likely to occur. The fellowship selection committee will be concerned with feasibility in terms of whether or not your research objectives realistically can be accomplished during the fellowship period. Your proposal should indicate that you have done as much preparatory work as possible at home, so that you are ready to make the best use of your time abroad. If your goals in country are part of a broader set of research goals, be sure to explain the overall topic and how your research plans in country fit into the larger dissertation picture.
- **Question of political climate:** The selection committee will also be concerned with feasibility in terms of whether or not the research questions that you have formulated are compatible with the political climate of the country in question. It is important to frame things in a manner that does not offend political sensibilities. The best course is to consult with area specialists who have up-to-the minute information on the present situation and who can give you strategic advice. (More on that in the separate section below.)

Research Design

Closely related to feasibility is the methodology or research design of your project, and especially how closely it mirrors both your major goals and your more specific set of objectives. There is a tendency at times for the methodology discussion to veer off course, so that it does not closely match the stated objectives. (In extreme cases, the methodology discussion sounds like the introduction of a completely different project.) It is important to keep checking back to your stated goals, making adjustments as necessary, so that the WHAT you are doing and HOW you are doing it are perfectly matched. Once you have ascertained that your methodology and objectives are a perfect fit, the methodology discussion should include the following:

- Overall plan and why it has been adopted — once again, with an emphasis on how closely it reflects the stated major and specific objectives (your method may be comparative, longitudinal, qualitative, quantitative, participant observer, sample survey, a case study, an experiment, or some combination of these methods).
- Type of data to be used
- How data will be collected
- How data will be analyzed
- Timetable for implementation
- Available resources for implementation

Candidate's Relevant Background or Qualifications: The Biographical Essay or Fellowship Curriculum Vitae

Often the application includes instructions for discussing the applicant's qualifications as part of the proposal, or there is a separate essay question asking for relevant personal background, or a curriculum vitae is required. If there are no specific questions or requirements, it is nevertheless important to include some of your strongest qualifications or preparation for the project in the proposal itself, once you have described the project. This discussion also gives you the opportunity to convey a sense of your commitment and enthusiasm for the project. (Conveying your own enthusiasm may well generate a corresponding enthusiasm from the reader.) If there are no instructions, the following items should be addressed:

- How the project fits in with your long-term career goals
- Special background or skills or preparatory work for the project (languages or other skills mastered, prior fieldwork or research related to topic, etc.)
- Any other evidence of your promise to carry out the project successfully.

Some applications ask for a c.v. or seek a more extended biographical essay — for example, the Fulbright Institute of International Education application includes a c.v. in essay form that asks for such personal history as family background, intellectual influences, enriching experiences and how they have affected you. Whether it is a standard c.v. or a biographical essay, it is important to be selective and to present those aspects of your background that emphasize how well qualified and well suited you are for the particular fellowship. The essay is not the occasion to “tell the story of your life.” A good idea in preparing to write the essay or c.v. is to make a list in hierarchic order of what you think are your most outstanding qualifications and then

work them into a personal essay or a c.v. In organizing a c.v. it is common to list things in reverse chronological order, since your most impressive qualifications or experiences are probably your most recent ones. For the same reasons you might even want to organize your biographical essay in that fashion: you need not start from the beginning—it is possible to work backwards. (Samples of fellowship c.v.s, as well as biographical essays for fellowship purposes appear in Appendix B; job application c.v.s will be discussed in chapter six, and samples appear in Appendix D.)

How and When to Include Background Information of a More Personal Nature: Childbirth, or Other Circumstances, Such as Illness, That Have Affected Your Work

If some event or circumstance in your personal life has visibly affected the progress of your work, you might want to address that issue directly, rather than leaving it to the reader to speculate. One possibility is to ask a recommender to mention it, or you could bring it up yourself. Should you choose the latter, my main suggestion is to keep a clear line of separation between the proposal, which should focus exclusively on explaining the merits of your project, and your inclusion of personal information. You could accomplish this separation between the professional and the personal, either by adding a brief cover note, or by adding at the end of your proposal a transitional sentence that indicates you are shifting gears, such as: "On a more personal note . . ." Whichever you choose, you should try to emphasize that you are now basically back on track, and in fact have acquired considerable expertise at time management, now that it is such a compelling issue.

Who Serves on Fellowship Selection Committees—Will Your Proposal Be Read by Specialists in the Field, or by Generalists?

Most people want to know the answer to this question so that they can address their proposal to the appropriate audience. The problem is that even in competitions that are judged by people in your own discipline, you cannot or should not assume that they are fully knowledgeable about your own specialized topic. Indeed, even specialists need convincing, and may in fact view your proposal with a more critical eye. The safest course is to provide enough background in making your contribution argument, so that both generalists and specialists will view the background as a necessary and logical part of your contribution argument. It is also wise to avoid jargon or un-necessary technical terms.

Paying Attention to Fellowship Descriptions; Adapting the Proposal When Applying for Several Fellowships

It is wise to apply for as many fellowships as possible, as long as they are appropriate for your project. Most fellowship announcements include a description of the fellowship, stating selection criteria and providing some details about the type of projects that the granting agency seeks to support. You may find that there are a number of fellowships, which are appropriate for your project, but that the fellowship descriptions vary, both in large and small details. While it is important to pay close attention to the wording in the individual fellowship announcements, it is also important to write a fellowship proposal that presents the most persuasive and logical argument in support of your project, following the principles outlined above. How can you write a proposal that does both?

We would suggest that you first construct a "generic" proposal that presents your project in the strongest light. You can then adapt it, if necessary, to create individual versions that match individual fellowship announcements as closely as possible. This process involves, above all, careful choice of wording in order to incorporate key terminology from individual fellowship announcements. In some cases, it may also involve adding paragraphs that address specific questions asked by individual granting agencies.

Most projects can be described with a subtly different choice of wording, without distorting the true nature of

the project, and without disrupting the basic logic of the contribution argument. The main point is to get your arguments in place. Once that is done, then any tinkering with surface details will not weaken the basic structure of your arguments, which is ultimately what counts.

Writing an Abstract or Summary of the Proposal

In addition to the proposal itself, many fellowship competitions also require a brief abstract or summary of the proposal. It varies in length — ranging between 150 and 500 words. Most federal agencies require 200 or 250 words.

Although the abstract appears at the beginning of the proposal, it should be written last, after you have constructed your basic arguments. The abstract should consist of the most salient points in your proposal, linked with transitional sentences as necessary. You do not have to worry at all if your abstract contains repetitions from your main proposal. The abstract is intended to give a brief picture of what is in your proposal; it is not supposed to give an alternative picture. It is important to prepare the abstract carefully, since it is usually the first part that is read — and may be the only part read by some reviewers. (That is another reason why you would want to use in your abstract some of the most polished and carefully worded passages from your main proposal.) In addition, the abstract, along with the title, may be used in the various national computerized information systems, so major reference terms should appear in the abstract.

The following items should be included in the abstract, and can also serve as a checklist, to see that the essentials have been covered in the proposal:

- A concise statement of the purpose of the project (much can be drawn from your introduction)
- Reference to the major literature in relation to the basic paradigm of how the project will contribute to the field
- Significance of the project in broader terms
- Objectives and research design — no more than a brief outline
- Personal background of relevance

Writing a Budget

In some fellowships competitions, you will be required to include a budget. This can be thought of as a representation of the project expressed in dollar amounts of estimated expenses. Some government funding agencies have their own budget forms; most foundations do not. In addition to the budget itself, you may want to attach budget-explanation notes. The following are major budget categories for most research projects:

- Personnel costs — technical assistants, translators, etc.
- Travel
- Subsistence or *per diem* — housing and food
- Supplies and equipment — paper, tapes, notebooks, film, etc.
- Printing, postage

The Final Draft

When you have a draft completed, it is important to seek the advice of faculty advisors and colleagues in the field. Advice is also available from the GSAS director of fellowships (Byerly Hall, second floor, 495-1816). When the time comes for seeking letters of recommendation — most competitions require two or three letters — you should be prepared to show the recommenders a fairly polished draft of the proposal.

Acquiring Letters of Recommendation in Support of the Fellowship Application

A good letter of recommendation not only makes a statement of support about a candidate, but also presents a well-documented and informative evaluation. It also addresses the specific purpose for which it is written. When you seek letters of recommendation for a fellowship application, be sure to provide the letter writers with a close to final draft of the proposal and any other items that might prove helpful — for example, a curriculum vitae or a copy of the fellowship announcement.

Preparing to Conduct Research Abroad

Fortunately, most of the steps or qualifications needed for the effective implementation of research abroad are the same as those for becoming a strong applicant for a traveling fellowship in the first place: thorough knowledge of the country and its culture, the necessary language skills for conducting research, familiarity with the archival holdings or other forms of data that will be required for your project, as well as having feasible research goals. The following are further considerations or steps that will enhance the research experience abroad:

- **Attitudes and sensitivities that can make a difference:** One attitude that can greatly enhance your research experience abroad is to have a flexible mind set, a readiness to expect the unexpected and to take everything in stride. One speaker at a recent panel went further and suggested taking a creative and even playful approach to the many surprises that are likely to come your way.
- Still another helpful attitude is to recognize that when you go abroad you represent the country and/or institution that sponsors you. The Fulbright and other similar programs make US citizenship a requirement, and consider the program participants as playing an ambassadorial role. However, at a recent panel a speaker gently reminded the students that many who go abroad to do research are, like him, non-US citizens. Research universities are increasingly international communities. The issue of representation and identity is thus a complicated one: The best attitude, regardless of citizenship, is to be sensitive to cultural differences and to try to imagine how others may view you and how they may view the research that you seek to do. There are, in addition, some crucial steps that will further facilitate doing research abroad.
- **Procuring a research affiliation or making scholarly research contacts:** For some fellowships a research affiliation is a requirement, and in some cases, the granting agency actually arranges this. But even if an affiliation is not required, it has proven to be so helpful both in making a stronger application and in implementing a research project abroad, that all candidates are urged to start as early as possible in the application process to procure affiliation or at least scholarly research contacts in country. Once you do so, it is important to obtain in writing an invitation or an agreement for scholarly affiliation or participation and to include this invitation as part of your fellowship application even if it is not a requirement. Students often ask how they can go about making these contacts, which leads to the next step.

- **Utilizing the rich resources at Harvard, including the various area research centers and Harvard faculty members who specialize in areas of the world, as well as the many visiting scholars who come from abroad and then return to their own universities:** All of these people are in an ideal position to help arrange an affiliation or to put you in touch with someone who can do so. Students who are specializing in an area, almost by definition, are already working with Harvard scholars who can help with such arrangements, but all students planning research abroad should treat this as an essential step while they are still on campus and still in the application stage, doing so as early as possible. Be sure to make it clear in your communication with scholars abroad that you are not asking for funding, but simply an affiliation or opportunity to participate in scholarly discussions.
- **Procuring research permits and visas, as required:** Here again, students often ask how. Once again, the best course is to consult with those who have recently gone through the permission process for the country that is your destination – either students or faculty. Some fellowships make the necessary arrangements for their fellowship recipients; others do not. Be aware that these steps take time and that you should begin them as early as possible. In most cases, however, and especially in countries that have particularly intrusive bureaucracies, it is impossible to begin the permission process until you have been granted funding and can seek permission under the auspices of a particular granting agency — the Fulbright Program, for example, or other sponsors of fieldwork abroad. So all you can do is wait until the award is official and then proceed immediately in making the necessary arrangements. A striking example of practical advice given by someone who had recently gone through the permission process for a particularly difficult country was that it was easier to go to New York for the necessary advance paper work, since the Boston office was impossible in its dealings with people! Another crucial step when you get to country —often a requirement – is to touch base with the American embassy or consulate.
- **Getting a thorough up-to-the minute briefing on political conditions in country:** Conditions change so quickly that last year's information, or even last month's or last week's, might be out-dated. So be sure to use the rich array of research scholars on the Harvard campus and to get a thorough briefing on the current situation. If the political climate in a country is particularly volatile, extra precautions are needed. One area specialist on China, for example, recommends that you write out a summary of your research issues in the country language, being completely forthcoming about the topics of your inquiry, and present them to your potential informant before you ask for a commitment. This will allow the person to evaluate potential risk. Maintaining the anonymity of the informant is essential in writing up research once the interview is conducted.
- **Some smaller details that can make your life in country more comfortable and productive:** One of the best suggestions for productivity came from a student who not only kept in close touch with her dissertation advisor while in the field, but actually used each progress report to the advisor as an embryonic version of a dissertation chapter. In this manner, she had already started writing her dissertation before she had returned home. Another valuable suggestion for those doing fieldwork is to be sure to take thorough field notes that are legible, especially in contexts where it is not possible to use a tape recorder or a laptop. A number of miscellaneous suggestions as to what to bring along when doing research abroad include the following possibilities: copies of journal articles that would be of interest to particular scholars whom you plan to contact; Harvard Dean's letter attesting to your status; letters of introduction from professors that would help you gain access to libraries or collections or other scholarly resources; Harvard fellowship applications for the following year. These are only some possibilities. As you can see from these ideas, people are more than willing to share what they have learned from their research experience abroad. So be sure to take advantage and learn as much as you can about the current situation.

Project Review for Research on Human Subjects

Research projects that deal with human subjects, where there might be even a slight element of risk to the subjects, must be reviewed by Harvard's Committee on the Use of Human Subjects, the Faculty's Institutional Review Board (IRB). The review procedure is kept fairly simple and swift in borderline cases, which would probably apply to most student projects. Information about the committee, its fairly broad definition of "risk," its meeting schedules, and the committee application form can be found on the Web at <http://www.fas.harvard.edu/~research> by following the link on the use of human subjects.

Some Basics on Taxes and Fellowships

The information here is only of a general nature; students should seek professional advice from a qualified accountant or attorney if complicated tax situations are involved. (Harvard representatives are not permitted to give individual tax advice.) Generally, most students must file a U.S. return (i.e., their gross income generally meets the specified minimum). Note: The income tax obligations of foreign students differ from those of U.S. citizens and residents; foreign students should contact the Harvard International Office for further information.

The U.S. tax laws divide fellowships to degree candidates into two parts: a) a nontaxable part, which are those amounts used under the terms of the grant to pay for tuition and fees required for enrollment, or for fees, books, supplies, and equipment *required for your courses*; b) a part that is considered taxable income, which is any additional amount of the fellowship, such as a stipend for room and board or for travel expenses. Note: An IRS publication on Scholarships and Fellowships explains how these items should be reported on your tax form. You should retain any receipts necessary to support your reporting position. Also note: If any portion of your grant represents a payment for teaching, research or other services, that portion will be taxable even if all degree candidates are required to perform such services. This is the case for Teaching Fellows and Research Assistants, who will receive Forms W-2 reflecting the amounts paid as compensation, and will generally have amounts withheld for state and federal income tax purposes.

Federal tax forms can be obtained at the IRS offices in the JFK Federal Building at the Government Center in Boston or by calling 1-800-TAX-FORM. State tax forms can be obtained at the Massachusetts Department of Revenue. The post office also carries the forms during the tax season. A final note: Tax laws can change; be sure to bring yourself up-to-date when filing your income tax returns.

On Fellowship Outcomes: An Important Message

It is important to realize that the line between winner and non-winner in a fellowship competition is often very thin. So the primary message for those who did not receive a fellowship is that there is absolutely no reason to doubt your abilities, no reason for a sense of failure. As an applicant, you have been part of a distinguished group of graduate students, and you have reason to be proud of the efforts that you have made.

Above all, you should not give up — keep working on your project and your proposal, and try again in the next round of fellowship competitions. For most fellowships, it in no way counts against you to be applying for a second time. With further progress on your project, your proposal should improve, and your chances of winning next time should be considerably improved as well — just be sure that you do submit a new proposal. (You may also want to see if the fellowship sponsors will provide you with feedback from their readers; some make this a practice, but others do not.) **MANY STUDENTS DO WIN ON A SECOND TRY.**

SAMPLES OF WINNING FELLOWSHIP PROPOSALS

PREDISSERTATION FELLOWSHIP PROPOSALS

The fellowships in the pre-dissertation category are intended for students at or near the beginning of their graduate study. Most have the stipulation that first-year graduate students are eligible to apply as long as they have not completed more than twenty semester hours, with some allowing thirty semester hours of study following the baccalaureate degree at the time of application. (NSF in fact allows second-year graduate students to apply.) The essays by Ralph Waverly are for the NSF Graduate Research Fellowship Program. They include a Proposed Plan of Research and an essay on Previous Research Experience. Note that the essay on personal experiences and potential contribution was formerly two separate essays. For an example of a Proposed Plan of Research in developmental biology see the essay by Simon Graff.

The next two examples of pre-dissertation research proposals were written by first-year graduate students applying for the Jacob K. Javits Fellowship Program. The instructions they were given were the following: "Describe your proposed plan of study and/or research for the period covered by this fellowship. Explain how your intellectual interests and proposed studies will enable you to achieve your professional objectives. Please limit your statement to this page (front and back if necessary). Please type your proposal."

Proposed Plan of Research – Ralph Waverly¹

In the last several years I have developed two main areas of focus: I am interested in the history of scientific diagrams (including maps) as a combination of the history of visualization and theories of representation, as well as in the more physical spaces of science, including natural history museums, hospitals, and laboratories. Since the last years of my undergraduate degree at Rice, I have been interested in the intersections of science and architecture. I completed my BA in two major fields – architecture and civil engineering – and thus have a firm background in both the humanities and the natural sciences. Outside of school, I gained experience in both architecture and experimental physics. At no time did I try to separate my practical training in either field from my more scholarly interests in their overlap, and I have continued this inter-disciplinary interest by constructing a dual PhD program at Harvard, enrolling in both the History of Science and History of Architecture & Urban Planning programs. (I will fulfill the course and general examination requirements of both departments, and write one dissertation. My committee will include professors from both fields.)

One topic that particularly interests me is the development of American laboratories in the late nineteenth and twentieth centuries. Laboratories have existed in several contexts – from the work of individual inventors and corporate R&D to academic departments and governmental agencies – and their design has shown several changing influences, including industrial factories, high modernism, traditional campus planning, and even New Urbanism. I am interested in who or what has been responsible for the changing idea of what a laboratory should be: To what extent has laboratory design been aligned with the changing needs of science? How have laboratories influenced what it means to do scientific work and the persona of the scientist? How has their design been determined by changes in institutional and financial support? Have architects' ideas had a demonstrable impact on how scientists view their own work? These questions have no straightforward answers, and one of the goals of my work would be to investigate the overlaps and dialogues that challenge the assumptions of any purely scientific or architectural history.

I have already looked at a specific case in some depth: the design of the new laboratories for the National Bureau of Standards in the mid-1960s. Here neither the Bureau's decision to move to a new laboratory complex nor the specific design of the new buildings can be seen as the product of any one set of decisions. Changing management practices, huge increases in funds and personnel, national policies of industrial dispersion, and the specifically architectural ideas of the laboratory designers all combined in the eventual campus in suburban Maryland. The history of the NBS labs does not lend itself to any kind of internalist history (either scientific or architectural), and I thus became interested in the idea of a larger postwar military-industrial-corporate-academic complex – where “complex” is understood as both an institutional association and a physical place. Not only were the physical sciences expanding and becoming more connected with military funding sources like the Atomic Energy Commission or the Office of Naval Research, but the same architectural firms were designing similar laboratories for corporations, universities, and governmental agencies – I am particularly interested in the work of large firms like Voorhees Walker Foley & Smith or Skidmore Owings & Merrill.

My larger project would continue these kinds of questions, but expand them to include other important moments. In the late nineteenth century, the relationship between the first corporate labs and the development of national systems of standards seems especially important, as does the marriage between the German idea of the research university and the specifically American tradition of campus planning. In the twentieth century, I want to investigate the appropriateness of an idea like the military-industrial-corporate-academic complex, and explore the connections between funding, scientific pedagogy, specific architectural firms, and the various sites of scientific work. I am also interested in how the fragmentation of science in the 1970s and

¹ Note how this candidate is prepared to give considerable detail on one principal project, where he has already done some research, but also keeps the door open to a larger project and additional research questions of interest to him.

1980s is related to an architectural disenchantment with large-scale modernist planning.

Other scholars have approached the question of the laboratory, and my own project would build on this existing work. There is a rich literature in the history of science on experimental practice and the rise of laboratory authority from the seventeenth to the twentieth century. There have also been several studies of the laboratory design of famous architects like Robert Venturi, Eero Saarinen, or Louis Kahn, by both historians of science and of architecture. Detailed histories of specific laboratories, such as the Lawrence Berkeley Lab or the German Physikalisch-Technische Reichsanstalt, will also be important as models of institutional history. Yet almost all of this work has been situated either within either the history of science or the history of architecture, and has thus been divided in both focus and method. Since my goal is to bridge between architectural and scientific histories, my dissertation would involve a great deal of new archival research.

I would mainly use two types of archives: those of individual laboratories or institutions (both governmental and academic), and those of architectural firms who have worked on laboratory design. I will look for planning documents, correspondence between scientists and architects, and architectural drawings showing the evolution of design ideas. Announcements and reviews in the journals of both the scientific and architectural community will also be important. In analyzing these sources, I would use both techniques of textual analysis and the formal analysis used by historians of architecture and urban planning; an important part of my training has been learning to read drawings and photographs for the ideas and arguments they contain. My view of the laboratory as a joint project of both scientists and architects will impact my methodology – both texts and drawings will be important. This dual focus will be vital to understanding the military-industrial-corporate-academic complex as something more than simply a first-order effect of increased military funding: engaging different kinds of archives and types of sources will enable me to understand laboratory history as a larger cultural development with roots in several traditions, and I will be able to trace the consequences of its design into wider social contexts.

**Personal, Professional, or Educational Experiences as Preparation for Advanced Scientific Study;
Broader Impacts on Society, Such as Encouraging Diversity, Reaching a Broader Audience, etc.**

(formerly 2 separate questions, now combined as single essay)

Ralph Waverly

The most important influence on my decision to pursue scholarly work has been my professors. Several professors at Rice helped me refine my interests and focus my life goals, and since coming to Harvard the faculty have provided me with renewed motivation and a model for innovative scholarship. Both as an undergraduate double-majoring in architecture and civil engineering, and now as a graduate student dually enrolled in History of Science and History of Architecture & Urban Planning programs, my education has allowed me to take cross- and inter-disciplinary interests seriously and to look for non-trivial intersections between different intellectual traditions. And just as my own interests have been shaped by influences from several fields, I have learned how to view these fields (namely physics, engineering, and architecture) as internally diverse and mutually interacting, both in their everyday practices and in their use of metaphor.

At Rice, two professors were especially influential. Sanford Kwinter – whose work deals with architects’ use of scientific concepts, especially complexity theory and theoretical biology – introduced me to a wide range of scientific thought and the philosophy of science, and taught me how to interrogate design as a form of intellectual production. Conversely, Nana Last – who does similar boundary-crossing work between architecture, art, and philosophy (such as Wittgenstein’s design of his own house) – was greatly influential in showing me how architectural thought could lead to a serious study of things like scientific representation. It was in her class on the idea of measurement within architecture that I first became interested both in scientific diagrams and in the National Bureau of Standards. Between governmental science, architects’ ideas, and construction practice lay institutional and cultural contexts: I began to see ideas as embedded in multiple locations and specific institutions. Professors Kwinter and Last acted as two intellectual poles: the one provoking my interest in metaphor and the history of ideas, the other challenging me to situate those interests in design practices, institutions, and social contexts.

These cross-disciplinary interests were also stimulated in my professional experiences. Whether working as an intern for an innovative design firm in Los Angeles (Eric Owen Moss Architects) or as an architect for the well-known firm of Venturi, Scott Brown, and Associates (whose principals have all published influential books), I have been able to pursue my interest in how design fits within larger intellectual and social contexts. For example, working on designs for a laboratory complex at the University of Michigan, I encountered the interplay between the internal tradition of design and the need to satisfy specific programmatic requirements. Likewise, in my work at Caltech and MIT for the Laser Interferometer Gravity-Wave Observatory, I worked on both the physical and numeric sides of experiment, and saw how cosmology, control-system design, error analysis, and mechanical engineering all fit together as part of physics. In both disciplines, I also became interested in day-to-day material conditions: the intellectual work of physics or design was always in dialogue with the need to fabricate parts with a milling machine or make intelligible drawings for use on a construction site.

Since coming to Harvard, I have been influenced by a different pair of professors: my advisors Peter Galison and Antoine Picon. Professor Galison’s interests in the social and cultural embeddedness of physics, including its architecture, have been complemented by Professor Picon’s work on the social milieu of architects and engineers. Even though one looks from the point of view of science, and the other from the point of view of architecture and engineering, both have influenced my interest in institutions and the relationship between a given cultural context and the changing personae of scientists, architects, and engineers. Both have emphasized the importance of rigorous archival work, and led me to ground my inter-disciplinary interests in a common historical methodology.

My work will benefit society by showing how science and architecture have influenced each other; it will engage broad cultural themes that are relevant to a wide audience. My two main areas of interest – the history of laboratories, and the history of scientific diagrams, maps, and visualization – are an important part of the day-to-day practices of both science and design, and by presenting these topics as relevant to both disciplines I will show how each has influenced a larger history. For instance, several of the questions that interest me in the history of laboratories will reach beyond the immediate topic of my work: How did science come to require its own specially designed space? How has the physical location of scientists been related to their place in society? What role has laboratory design played in the relationship between science and war? Although the fields of the history of science and the history of architecture & urban planning have tried to address these kinds of themes, they have often been blind to the particular strengths of the other's historiography. A full understanding of "laboratory life" and its broader connections can only come with a deep understanding of both of the disciplines that lay claim to its development.

Beyond the specific example of laboratories, science and architecture have also played important roles in a broader social history of the last two hundred years. In the case of science, the transformation of natural philosophy into professionalized physics in the nineteenth century went hand-in-hand with the development of industry, international standardization, and the technologization of daily life. In architecture, the late eighteenth-century coupling of design, industry, and social reform began a tradition of seeing the design of the built environment as an intervention in society itself, both in urban planning and in individual buildings. By the end of World War II, nearly every important scientific or cultural space had become part of a larger discussion on the goals and structure of society as a whole. Yet the individual stories of science or design have obscured the ways in which they have interacted. One of the benefits of my inter-disciplinary point of view is that it can engage topics that have been peripheral to either science or architecture, yet are important as larger cultural forms – such as the relationship between statistical mapping and governmental planning, or the social nature of scientific work and its relationship to the image of the scientist (or architect) as a lone genius.

This kind of work is thus by its very nature non-hermetic: it will introduce scientific and technical understanding into new contexts and to new readers. Within academia, it will be relevant not only to professional historians of science or architecture, but also to historians in other fields, such as geography or American history. It will also engage a wider audience of practicing scientists and architects who want to understand how the historical development of their own profession has been related to other traditions; in the case of laboratories, it may also help collaboration between scientists and architects in the design of new lab buildings. Finally, general readers have shown an abiding interest in both science and architecture, and my work will provide an accessible account of both fields' influence in society. My research will deepen the public understanding of science, thus helping to interest people of diverse cultural backgrounds in pursuing careers in scientific disciplines.

My larger project is also by nature a marriage of research and education: I hope to pursue a career in academia, and I will develop my research within a pedagogical context and have it become an important part of my own teaching. This work would be equally appropriate in a department of History, History of Science, or History of Architecture – my specific project could act as a complement to the core teaching competency I will receive in these fields. My work will also engage the relationship of research and education as a historical question: both laboratories and scientific diagrams were important within the nineteenth-century research university, and both remain indispensable to modern scientific pedagogy.

Previous Research Experience – Ralph Waverly

In my undergraduate education, I received a firm grounding in both the liberal arts and the natural sciences, and was exposed to a variety of research methods. As a double-major in architecture and civil engineering, I was trained in both humanistic and technical modes of argumentation: I wrote several papers in history, art history, music history, and anthropology using close textual readings (in topics from the history of early modern cartography to radical French architectural movements of the 1960s), but also did technical research – such as an environmental audit of Habitat for Humanity and a literature review on the material properties of anodized aluminum. In these projects I learned to engage a body of literature and situate my own argument within it; I learned how to use different kinds of sources and how different disciplines make claims to proof.

Outside of school, I worked in both architecture and experimental physics, and gained a broad exposure to the practical, workaday research problems of these fields. This work was always collaborative, and involved changing roles and multiple competencies: I helped design a biological laboratory complex for the University of Michigan (with Venturi, Scott Brown, and Associates), and worked on thermal and seismic noise problems for the gravity-wave observatory at Caltech and MIT. (References to this work are below.) In many respects these professional research experiences informed the types of problems I have pursued in my individual scholarly work – I learned the importance of the processes (physical, intellectual, and institutional) behind published papers, and became interested in the way that different discourses can intersect even within a supposedly pure disciplinary problem.

My largest research project as an undergraduate at Rice was an analysis of the relationship between sound-reproduction technology and art music. (Publication information below.) It was both a history of musical technologies – in the use of such devices as the theremin, dynamophone, and magnetic tape by musicians like Pierre Schaffer and Karlheinz Stockhausen – and an exploration of musicians’ attitudes toward this “electronic music” and its implications for the repeatability and perfectibility of aural experience. By looking at the theoretical underpinnings of musicians’ use of technology and their relationship to theories of language and scientific studies of aurality (specifically, the Swedish school of Biomusicology), I argued that the continued marginalization of electronic music within mainline art music should be seen as a conflict between a semiotic understanding of sound and a more essentialist-materialist one. These two ontologies – the repeatable, signifying *objets sonores* of early tape music and the unrepeatable, immanent biomusicological impression implied in most “live” music – have developed in parallel for the last eighty years with little reconciliation, despite art music’s increasing use of technology for non-artistic ends. For this project, I used a variety of sources, from patents and musicians’ essays to historical philosophy and close listenings of electronic music.

I have continued this kind of multimodal work at Harvard, while becoming more firmly grounded in archival and historical methodology. During the past year I have taken methodological seminars in both History of Science and History of Architecture, and Harvard’s extensive library system has allowed me to become skilled at in-depth primary-source research, both in scientific and design archives. As indicated in my proposed research essay, I have been developing two main areas of interest: the development of technoscientific representation (such as maps, diagrams, and engineering drawings), and the history of laboratory design.

For the first, I have written a paper on the development of noise maps – maps which represent a sound environment (for example, around airports) as a single, mappable metric. Here I argued that various methods of representing noise are deeply embedded within specific regulatory and institutional contexts. Thus the lack of mapping in the city noise survey of New York in the 1930s is not evidence of a lack of representational sophistication, but becomes a logical part of middle-class activists’ drive to enact local anti-noise ordinances – a noise map showing aggregate, time-averaged data would be irrelevant for controlling individual noise

offences. In contrast, the extensive use of mapping in the 1960s and 1970s by the FAA makes sense as part of that agency's mandate to regulate at the scale of the country's entire air transport system and with regard to the needs of industry. I have also traced the development of measurement techniques and metrics, and shown how the seemingly transparent choice of units is also deeply tied to modes of representation and regulation. Thus despite the scientific debate over sound metrology from the 1930s to the 1970s, units were not standardized until the involvement of large governmental agencies using bureaucratic (rather than scientific) decision-making. I have been interested in how self-evident end results – maps, or dB(A) units – are tied up in larger institutional processes, and how regulatory decisions can have wide-ranging effects in urban planning, acoustic engineering, and sound metrology. I have submitted a version of this paper to a conference on architecture and science.

The second project has developed as a close look at the laboratory design of the US National Bureau of Standards from the 1940s to the late 1960s. (I present the larger scope of this project in my Proposed Research essay). And here again I have looked at how parallel narratives can intersect, relating the changes in NBS management structure in the mid-1960s to the agency's move from a site of individual buildings in Washington DC to an integrated campus in suburban Maryland. This move, besides fitting in with a national initiative to disperse key industries and agencies away from potential nuclear targets, also represented a shift towards the architectural design ideas of corporate research labs. The architectural firm used by NBS was responsible for many university research facilities and key corporate labs (such as Bell Labs and GE), and this firm developed a single design approach for all these projects, emphasizing the flexibility and expansibility of modular planning. These design ideas went hand in hand with the Bureau's new multi-tiered "matrix management" structure: both emphasized rapidity of change and the breaking down of disciplinary boundaries. This project still seems quite fertile, and I am making arrangements to visit both the NBS and National archives in Maryland.

Beyond these two larger projects, I have done research on a wide range of topics. For example, I have written seminar papers on the role of popular science books within scientific communities, the history of American urban development and professional planning in the nineteenth century, and the relationship between green architecture, the Green Party, and their common roots in the Alternative Technology movement of the 1960s and 1970s. And while my interests have been largely focused on topics in the United States, my reading knowledge of both French and German has allowed me to engage a larger circle of secondary sources – for example, there is a rich historiography in French on the development of statistical mapping. This is typical of my research experience: I have become adept at engaging various literatures and different kinds of sources, and using them to make well-grounded historical arguments.

Published Original Work:

"The Reification of Sound: Recording Technology and the Changing Ontology of Music," in *Trans: A Journal for New Music*, issue #1 (fall 2002).

Acknowledged Contributions to Others' Work:

P. Willems, V. Sannibale, V. Mitrofanov, and J. Weel, "Investigations of the dynamics and mechanical dissipation of a fused silica suspension," in *Physics Letters A* Vol. 297, No. 1-2 (6 May 2002): 37-48.

David Brownlee, David De Long, and Kathryn Heisinger, *Out of the Ordinary: The Architecture & Design of Robert Venturi, Denise Scott Brown, & Associates* (Philadelphia: Philadelphia Museum of Art, 2001).

Progressive Architecture Citation for Eric Moss's "The Spa" in *Architecture* 89 (April 2000): 132-133.

Proposed Plan of Research – Simon Graff

Two areas of investigation are currently of great interest to developmental biologists. The first being vertebrate early embryonic specification and patterning of the kidney and the second being the ability of various stem cells to obtain broad developmental potentials. Combining these two areas of interest, one would be able to ask two important questions: What types of stem cells have the potential to give rise to kidney and are there any stem cells that occur normally in the fully developed or adult kidney? The importance of pursuing these questions is to gain an understanding of the basic biology of kidney formation, from the first inductive events to the end point of tissue development. The questions are also important for exploring the potential use of stem cells (whether derived from kidney or induced to form kidney from other types of stem cells), for example, to repair damaged kidney tissue, either through transplantation or activation of endogenous cells to provide self-repair (Gage). In the long-term, an understanding of both these topics will have positive medical applications with respect to treating damaged kidneys or kidney disorders and will have advanced the current understanding of kidney development and stem cell differentiation.

As an organ develops, its varied cell and tissue types are formed from tightly regulated spatial and temporal induction events. These differentiated cell types are generated from one or more common precursors or stem cells. Stem cells maintain the ability to self-renew and contribute to all the differentiated cell types within the given tissue or organ, while committed progenitors are restricted to generate only a subset of cell types within a tissue (Panchision, et al). Beyond this, many recent studies have demonstrated that the potential of several precursor cells is greater than the cell types that they normally generate. Interestingly, these cells can be re-specified by their local environments to give rise to cells that are not part of their normal lineage (Panchision, et al, Gage, and Clarke, et al). Many researchers have documented the broad differentiation potential of neural stem cells. When frequency of chimerism in various tissues in chick and mouse embryos containing neural stem cell progeny was analyzed, these tissue types included the somites, heart, muscle, and both mesonephric mesenchyme and epithelium (Clarke, et al).

The specific aims of this proposal are to identify stem cells in the chick embryo that can give rise to kidney tissue, and to characterize the mechanism by which this differentiation to kidney occurs, using both kidney and non-kidney derived stem cells. The initial analysis of what types of stem cells can give rise to kidney will be with neural stem cells because there is existing evidence that neural stem cells can differentiate into both mesonephric mesenchyme and epithelium, a tissue that clearly becomes kidney in normal development (Clarke, et al). Previously in this lab, I investigated whether rat neural stem cells (responder tissue) could give rise to heart when cultured with the endoderm (inducer tissue) of a stage 5 chick embryo, using rat-specific primers to heart genes and reverse transcription polymerase chain reaction (RT-PCR) to detect expression of chick heart tissue derived from rat neural stem cells. Being already familiar with this technique, I could use RT-PCR to assay for induction of kidney genes in the chick embryo. The major difference in this assay is that the responder tissue will be quail neural stem cells, isolated and propagated as neurospheres, thus requiring the generation of quail specific kidney gene primers. The use of the quail-chick chimera is especially interesting and promising because within the lab there exists a quail specific antibody and use of this antibody would not only distinguish quail cells from chick cells, but also identify all progenitor cells that differentiated from the transplanted quail neurospheres. This would allow the lineage of the quail neural stem cells to be traced as the embryo continues to develop. Using immunohistochemistry, one would also be able to simultaneously identify cells that are expressing the quail antigen, and cells that are expressing an antigen to a kidney gene, such as Pax-2. In addition to RT-PCR and immunohistochemistry, one could also utilize *in situ* hybridization and look for expression of kidney markers, such as OSR-1 (the earliest known kidney marker), lim-1 and Pax-8 (Carroll and Vize). Future experimentation may also explore the differentiation potential into kidney of other stem cells, such as kidney side population (SP) cells. It has been demonstrated that SP cells exist in many tissue types, such as heart and hematopoietic cells, and are identified within that tissue type by the exclusion of Hoechst's dye, while the other cells within the tissue retain Hoechst's dye (Jackson, et al).

The isolation of kidney derived stem cells constitutes a new and important endeavor because there are no known stem cells that reside in this organ. As demonstrated for other types of stem cells, this involves identifying a candidate population of cells, isolating those cells, and lastly confirming that the stem cells are actually from kidney. The detection of stem cells *in vivo* involves the incorporation of the nucleotide analog, tritiated thymidine or bromodeoxyuridine (BrdU). This technique labels only dividing cells by incorporation of the nucleotide analog into replicating DNA. Stem cells are usually the slowest replicating cells, thus retaining the label for a longer period than any other cell type within the tissue. Designation of potential stem cells is therefore based on this characteristic (Taylor, et al). Once the region in the kidney that contains candidate stems cells is identified, the tissue will be isolated and disaggregated. The dissociated cells will then be exposed to high concentrations of mitogens, such as fibroblast growth factor (FGF) and epidermal growth factor (EGF) to keep the cells in an undifferentiated state (Gage) and culture conditions will be developed to maintain this undifferentiated state for each stem cell type. After a period of proliferation, the stem cells will then be allowed to differentiate by withdrawal of the mitogens. First we will assay if removal of mitogens alone is sufficient for the stem cells to differentiate into kidney. If this does not result in differentiation, we will then perform intraembryonic implants of stem cells into chick embryos. Analysis of cellular fate will be done by staining with antibodies directed against antigens specific to various kidney cell subtypes. Further characterization would also involve demonstrating that the identified stem cell has retained its ability to differentiate into all cell types found within the kidney, again using antibodies against various kidney cell subtypes. Another interesting experiment would be to sort the pluripotent stem cells from the restricted cells, exploring the use of a cell surface marker. If this cell surface marker is expressed in the stem cells but not in the more restricted progenitor cells, then Fluorescence Activated Cell Sorting (FACS) could be utilized.

Once these stem cells have been identified, isolated and characterized, they will be used to discover what tissues and molecules are required for kidney differentiation, utilizing intraembryonic implants and explant co-culturing of both kidney and non-kidney derived stem cells within the chick embryo. A knowledge of these key events will also advance understanding of normal cell renewal within the kidney and the repair of damaged kidney tissue.

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Pre-dissertation Research Proposal of James Shepherd²

My primary career goal is to teach and conduct research at a major university. My general research interests lie in integrating theoretical concepts with practical considerations in studying political institutions. My graduate program will emphasize American government and political theory. My focus field will be bureaucracies. Within this framework, there are three specific research topics of interest to me.

First, I am examining the political philosophies underlying the constitutional system of separate powers. As an undergraduate, my political science/philosophy double major led me to study the writings of the Federalists, Locke, Hobbes and others on this topic. In graduate studies at Harvard, I am pursuing a more comprehensive consideration of American constitutional theory and have just completed Michael Sandel's graduate course "Law and Political Theory." This spring I will enroll in "Social and Political Philosophy," taught by John Rawls, and "Revolutionary Constitutionalism," taught by Harvey Mansfield and Ralph Lerner. I will also serve as Professor Sandel's Research Assistant as he completes work on a new book, *Liberal Democracy in America*.

Second, I am researching the current practices of the branches of government and how they reflect the concept of separate powers. Specifically, I am considering the role of bureaucrats and bureaucracies in the power struggle between the executive and legislative branches. I recently completed Paul Peterson's graduate course "The Presidential-Congressional Nexus" which dealt with this subject.

Third, I am interested in studying ways bureaucracies can be more efficient in administering programs. Experiences from my tenure as administrator of a new government program will contribute to study in this area. This spring, as a continuation of my work in Paul Peterson's course, I will conduct primary-source research on the performance of the Bureau of the Budget during World War II. Many believe the Bureau performed as an efficient agency of government at that point in history. Due to the nature of the time, scant research has been done on this topic. In my research I will examine factors that may have contributed to the effectiveness of the agency. If my research should uncover aspects of the Bureau that performed poorly, it would surprise a good many professionals in the field. Either way, the project will produce a clearer understanding of factors that influence bureaucratic performance.

I also plan to continue my involvement in research related to deafness. In 1987, I authored a paper entitled "Telecommunication Access: An Issue That Should Not Fall On Deaf Ears." The paper contributed to the drafting and passage of a bill to provide telephone access for Minnesotans with hearing impairments. I was then hired by the state as administrator of the new program. In 1988, a colleague and I presented a paper to the American Speech-Language-Hearing Association Convention on our experiences ushering the proposal through the legislative and implementation processes. Portions of the paper will appear in the March edition of the journal *Hearing Instruments*. Recently, I was hired by Gray & Associates as a Research Associate for an impact study related to the program. Through these experiences and additional courses in quantitative methods, political theory and American government, I hope to polish my research skills for use in further projects and teaching.

²Note how the organization of this essay illustrates the strategy of choosing three potential areas for exploration in graduate school, using a series of major research experiences from the past and showing how they led to choices for the future. Note as well that since the applicant has already completed a semester of graduate study, he also includes some of these recent research experiences. In this fashion he manages to sound focused even though he has not really decided on a specific area for future research. The essay also illustrates the effectiveness of starting with the most important experiences and then proceeding backwards — a principal that works effectively in preparing a curriculum vitae. Above all, note how each sentence and paragraph about past experiences helps to advance the single theme — the candidate's future goals and how they took shape.

Pre-dissertation Research Proposal of Nelson Widner³

A Jacob Javits Fellowship would enable me to prepare myself for a career in university teaching and scholarship as a professor of French and comparative literature. French is my main national literature, and my comparative concentration is the novel in France, Russia and America. With a Javits Fellowship, I would further explore the notion of a “Jewish literature” in Europe as I continue my graduate program. I am interested in the kinds of claims that might be made for a community of writers who write in non-Jewish languages (i.e., not Yiddish or Hebrew) and are fully integrated into the culture of their own country, but who also consciously address Jewish themes in their work. Although in this country reams have been written about the so-called School of Jewish-American writers, almost nothing has been done on the notion of a community of Jewish writers in Europe. This topic has been inspired in large part by the in-depth work I have done this past term and summer on Albert Cohen, a French author of Greek-Jewish descent. Cohen’s alchemy of the French literary canon and Jewish communal traditions has led me to pose several broad questions: How have Jewish writers responded to dual and often conflicting cultural and contextual loyalties? How, in an age of increasing social atomization and declining religious observance, have secular Jewish authors become important sources for communal Jewish identity, both within a particular country and across national and linguistic boundaries? What is the relationship between Jewish and national literature? (Gide wrote of a “Jewish literature” in France “that is not French literature, that has its own virtues, its own meanings and its own tendencies.”) What are the formal and philosophical effects of the Holocaust on writers like Cohen, seen in the light of recent theoretical claims by Hartman, Lyotard, Derrida, Levinas, Jabes and Fackenheim?

With the aid of a Javits Fellowship, I would continue to consider these issues as I take courses and prepare for my general examinations. In French, having worked this first year in the eighteenth and nineteenth centuries, I would shift next year to the sixteenth and twentieth centuries. Two courses that are ideally suited to me are on the realist and experimental modes in the twentieth-century French novel, led by Susan Suleiman, who has helped me to define my program and research plans and will be my advisor next year. In her courses, I might coordinate my classwork with my research interests by writing a term paper on Patrick Modiano, Helene Cixous or Andre Schwarz-Bart. I would also take a course on Rabelais and Montaigne to become more familiar with that period and the Renaissance origins of the novel.

In the Russian novel I will have built a solid foundation in my first year with courses on Tolstoy, Dostoevsky and Pushkin. In the next two years I would take additional courses in Russian and Soviet prose with Jurij Striedter and Donald Fanger, either of whom I might eventually ask to advise me in later research. In these courses, I could begin to explore the questions I posed about Jewish literature in the works of Babel, Olesha, Mandelstam and Grossman. Finally, I would take a seminar on literary theory, especially as it applies to prose, as a supplement to this year’s seminar on theory and the lyric. If my schedule permits, I might take another seminar on American prose to complement Sacvan Berkovitch’s course this spring on Emerson and Melville.

A Javits Fellowship would enable me to spend a summer completing the translation on one of Albert Cohen’s books (begun in an independent study with Barbara Johnson), which I believe I could then publish. Most important, the fellowship would help me accomplish my professional goals by allowing me to devote myself full-time to my studies and to the first stages of my scholarship.

³ Note how this candidate focuses primarily on a single culminating research experience from his past and how well this works, since he hopes to continue working on many of the same issues. Note as well that since he has completed a semester of graduate study he also includes more recent research experience from that semester.

Pre-dissertation Research Proposal of Andrea Green⁴

A Jacob Javits Fellowship will enable me to pursue my goal of becoming a university professor and scholar of English literature. I plan to focus my studies and teaching on women's literature, particularly on texts which remain widely unexplored by literary critics. Having an extensive background in Renaissance women's writing from my undergraduate studies, in graduate school I plan to enlarge my focus to encompass the eighteenth and nineteenth centuries as well.

My interest in women's writing stems from a paper I wrote while on a semester of independent study at the Newberry Library in Chicago. Using the library's vast special collections, I researched the role of women Puritan preachers during the English civil war, many of whom were avid pamphleteers. I was able to follow up questions raised in this paper when I received a research grant to study seventeenth-century political pamphlets at the Bodleian Library, Oxford. Although my thesis for this paper was primarily oriented towards male authors, during the course of my research I was struck by the number of female-authored pamphlets I discovered that were uncatalogued and randomly stored in cardboard boxes. From these and other experiences, I began to realize that a large part of future studies of women's writings must entail "academic archaeology," uncovering neglected women's literature, much of which has disappeared from view because the often devotional or domestic subject matter were not of interest to nineteenth- and twentieth-century librarians and collectors.

In my first semester at Harvard, I have been avidly pursuing means of uncovering and exploring little-known women's texts. A seminar with my advisor Barbara Lewalski on the social context of Jacobean literature has directed me towards such texts and taught me the methodologies necessary to approach them in a critical manner; through my seminar paper on Jacobean mother's manuals, advice books mothers wrote for their children, I was able to put such methods into practice. A Javits Fellowship will enable me to spend my summer transcribing the diary of Lady Mildmay, a valuable example of seventeenth-century women's writing which currently exists only in the original manuscript.

In addition to the actual discovery of women's texts, another challenge currently facing women's literary studies is the formulation of an agenda of questions scholars can use to approach these non-canonical works. As women were frequently excluded from the political and social sphere in which men were writing, their concerns, audience, themes, and even genres differ significantly from those found in men's literature; thus many of the tools we use to explore men's writing, questions and theories that have been constantly evolving over the past century of literary criticism simply do not work for much of women's writing. Rather than focus on the ways in which a patriarchal system marginalized women, the traditional approach of those posed by such pioneering scholars as Ezell, Rose, and Dubrow, which will help us to approach and comprehend women's writing on its own terms. In order to give myself the necessary background in this field, as I prepare for my general exams over the next three semesters I plan to center my course work around classes which will give me a more solid background in feminist literary theory and women's literature of the eighteenth and nineteenth centuries. In my dissertation research, I will be concentrating on the function of religion as a source of authorization and validation for women's literary activities. A Javits Fellowship would greatly facilitate my studies by enabling me to devote myself full-time to these academic pursuits.

⁴This essay, like the preceding one, focuses on a single research experience from the past — once again, because she knows that she would like to continue working on women's literature in the future.

DISSERTATION FELLOWSHIP PROPOSALS

The examples presented here represent a variety of fields and types of research projects. Some fellowship competitions ask for relatively brief proposals, setting a page limit of around two to four pages double-spaced. Others ask for more elaborate proposals, and set a limit of up to ten pages double-spaced. Most of the samples here are the shorter type proposal, while the final two samples (of George Timback and Alex Boax) are the longer and more elaborate type.

In the present chapter, the discussion on writing dissertation fellowship proposals presents three possible paradigms for producing a polished and tightly-knit argument on how a dissertation will contribute to the field:

Paradigm A: It brings to light new material that hitherto has been overlooked by scholars.

Paradigm B: It studies well-known material that has been examined many times before, but calls for a reassessment by looking at it in a new way.

Paradigm C: It does some combination of the two — i.e., it exposes some new material, which in turn calls for some reassessment of what already has been done.

The examples on the following pages illustrate the use of the three paradigms.

Arlene Wang. *This statement illustrates Paradigm C. It uncovers new material, which causes a shift in how we might think about this topic.*

The Establishment of the Museum Institution in Nineteenth-Century Japan

While the establishment of the museum institution in Meiji Japan (1868-1912) has largely been understood as part of the mass implementation of Western culture and concepts, the idea of the museum as an instrument for the re-evaluation and re-presentation of Japan's own traditional arts has yet to be explored. My study, which will focus on the network of three Imperial Museums, installed in the cities of Tokyo, Nara, and Kyoto, respectively, centers on the premise that the museum of late nineteenth-century Japan forged its own direction in the adaptation of the Western museum typology; it distinguished itself from its foreign model as well as the nation's extant artistic practices, and acted as an essential force behind the creation of a newly defined national aesthetic that was being mobilized for Japan's self representation in the international arena. By examining the original documents, set of objects, and architectural designs that led to the physical and conceptual generation of the Imperial Museums, I hope to provoke a rethinking of the Japanese government's pioneering effort at defining a uniquely "Japanese" art.

In considering the first museums of Japan, scholarship has either overlooked or underemphasized the fact that the Imperial Museums were the product of the collaborative efforts of both foreign experts (e.g., Ernest Fenollosa, Josiah Conder) and Japanese academics (Okakura Kakuzô, Katayama Tôkuma). This international panel of specialists was responsible for shaping the new, modern perception of Japanese aesthetics, and their diverse visions melded to form the origins of our current discipline of Japanese art history. Because this legacy of written history, preservation initiative, and classification methodology still prevails today, it is significant to reexamine the unique circumstances and particular predilections that directed and propelled the initial creation of "Japanese art" as we know it today.

My preliminary study on this topic, which consists of two research papers and a three-month fellowship in Japan, indicates that in the establishment of Japan's first museums and the expression of its national aesthetic, some unexpected approaches were taken. First, unlike their European inspirations such as the Hermitage of Catherine II, the Imperial Museums were not constructed to house an *existing* collection of objects. Rather, the government held extensive, nationwide inventories of public and private holdings of culturally important objects, specifically for assembling them into a museum collection. Second, the set of objects eventually chosen for the Imperial Museums exhibited a strong bias toward ancient and Buddhist artifacts, rather than presenting a comprehensive historical and typological survey of the arts of Japan. Artworks such as those by artists belonging to the *ukiyo-e* and *buijinga* traditions that dominated the artistic landscape of the preceding Tokugawa period (1600-1868) were overlooked by the Imperial Museums, for both political and aesthetic reasons. Third, the exhibition environment and mode of display for the chosen objects made no reference to their original historical or religious contexts. This exhibition strategy signaled the creation of new meaning, especially for the Buddhist pieces whose removal to a secular environment from their original liturgical context was unprecedented.

Another crucial component of the Imperial Museums that has not been studied is their architecture. "Japanese art" was being defined by the choice of a particular set of objects as well as a particular architectural style for accommodating them. A primary design concern for the architects of the Imperial Museums, Josiah Conder and Katayama Tôkuma, was the creation of an architecture that visually symbolized both Japan's cultural lineage *and* its modern aspirations. Museum architecture, a major component in the visual and ideological construction of the new national aesthetic, exhibited a creative adaptation and interchange of the existing Western and Japanese conventions. An example of this cultural hybridity was the design of a prominent frontal entryway *a la* Western Neo-Classical protocol, and the virtual nonuse of it due to the Japanese custom of reserving main entrance spaces for exclusive imperial usage.

My work on the establishment of the Imperial Museums, the first study to consider the roles of both art and architecture in the defining process of a national aesthetic in Japan's modernity, will contribute a fresh perspective to the growing discourse on the re-definition and institutionalization of the arts during the Meiji period. To date, no Japanese or Western scholar has attempted to examine the museum as a total environment, a constructed ensemble of art objects and architectural space. Only by acknowledging the art and architecture of the museum as parts of an organic whole will one be able to understand the museological project as originally envisioned by its Meiji period creators.

The primary sources of investigation for this research will be the documents currently in the archives of the Tokyo National Museum, the Nara National Museum, the Kyoto National Museum, and the Imperial Household Ministry that contain the mission statements for the Imperial Museums. Another source of information will be the literature and exhibition catalogs published by the museums during their opening years. An examination of the language employed to describe and contextualize the artworks in the museum holdings will bring the contemporary perspective into clearer view. Papers and transcripts of lectures given by the chief directors of the Imperial Museums Kuki Ryûichi, Okakura Kakuzô, and Yarnadaka Nobutsura, and the architects Josiah Conder and Katayama Tôkuma will also be investigated.

For the architectural designs of the museums, access to the working and finished drawings of all three museum buildings will prove to be crucial. To date, no extensive documentation or study on these three buildings have been published, despite the voluminous number of extant drawings. (For the design of the Imperial Museum of Kyoto alone, 630 drawings by the architect Katayama still remain.) Architectural drawings and photographs will be especially vital for the Imperial Museum of Tokyo, whose original structure has been lost since the great Kantô earthquake of the 1920's.

For expert guidance on the architecture of the Imperial Museums, I wish to consult Professors Suzuki Hiroyuki and Fujimori Terunobu, both of the University of Tokyo, who specialize in modern architecture of Japan in an international context. Having been in contact with them since the summer of 1998, I have benefited greatly from studying their published works as well as speaking to them in person. As for expert guidance on the history of modern Japanese art, I hope to solicit the advice of Professor Sato Doshin of Tokyo National University of Fine Art and Music whose book *'Nihon bijutsu' tanjô: Kindai Nihon no 'kotoba' to senryaku* (The Birth of Japanese Art: Words and Strategies of Modern Japan) has greatly influenced this proposed study.

This project, an on-going research effort of two years, was developed in consultation with my advisors, Professors Cherie Wendelken and Neil Levine of Harvard's Department of History of Art and Architecture. It has evolved from a twenty-five page seminar paper ("Kyoto Imperial Museum: Visual Politics in Nineteenth-Century Japan", May 1998), to a fifty-page departmental qualifying paper ("Establishing the Imperial Museum of Kyoto: Containing the Past within the Present", April 1999); in addition, the Mellon I Fellowship and Reischauer Institute Summer Research Grant (summer 1999) allowed me to conduct a three-month investigation in Japan, through which I have been able to discuss my proposed project in detail with Professor Suzuki Hiroyuki of the University of Tokyo, and the curators Nakamura Yasushi and Hirano Yuki of the Kyoto National Museum.

This project, to be implemented in a twelve-month period starting July 2000, is indispensable not only to my doctoral dissertation research but also my future career in academia. This investigation of the origins of the disciplines of art history and architecture both challenges and justifies the work that I and my colleagues pursue. It will therefore be immeasurably consequential for my professional growth. Given the extensive preparatory work I have done at Harvard University and the relevant data and expertise in the United States that I have exhausted, the logical next step is to continue this study in Japan where I will be able to consult the much needed material and human resources. Having already conducted a short research trip to Japan and established contact with some of the experts in the related fields as well as with the museums of

my study, I am confident that I will be successful in carrying out this project to fruition.

Abigail Lieser. *This statement illustrates Paradigm A. It is dealing with material that remains largely unknown for the period in question. Note that in this case the concise description of the project is postponed until paragraph two, which is counter to the suggestion made elsewhere that this should be done at the beginning. In our view, this particular opening helps to arouse the reader's interest, which justifies the slight delay in getting to the important facts about the project. It could be considered an exception that proves the rule.*

Popular Religion and Politics in Andalusia, Spain, 1812-1872

In the seventeenth century, at a monastery near Segovia, Spain, the local populace finally gathered to take drastic measures against the locusts that had besieged its fields for two years. Appearing before a makeshift courtroom, three saints, represented by villagers and acting as prosecuting attorneys, indicted the grasshoppers for their vicious "crimes." St. Augustine and St. Thomas Aquinas served as impressive witnesses for the prosecution. The judge, the Blessed Virgin Mary, consulted with her advisors (St. Jerome and St. Francis) before handing down the guilty verdict: the locusts must leave town immediately, or face excommunication. Such was one way in which Spanish peasants attempted to influence their universe through self-designed rituals.

I am applying for a Fulbright to Spain in order to conduct research for my doctoral dissertation on Andalusian popular religion in the 1800s, a century of belief and practice virtually untouched by scholars. Although a good deal of research has been done on the institutional history of the Spanish Catholic Church in the nineteenth century, the history of popular belief in that period remains largely unexamined. This lack is only emphasized by the excellent analyses that exist for the early-modern era and the twentieth century. As these works have demonstrated, the study of popular religion can offer important insights into how "average" people conceived of, and attempted to influence, the world around them. By focusing on the nineteenth century, an era in which traditional beliefs collided with new ideas introduced by the Enlightenment, industrialization, and other forces of modernization, my study will help explain how the rural population of Andalusia made sense of the rapid changes occurring around it. Some manifestations of unorthodox belief, like the 1860 processions designed to solicit from God the rains needed to end a devastating drought, had their roots in centuries-old traditions. Others however, like the enlightened prophecies issued by a Sevillian nun in 1814, were shaped significantly by the tensions and ideas of the age. Indeed, preliminary archival research I conducted this past summer has convinced me that nineteenth-century popular religion effectively articulated collective concerns, both old and new.

But popular religion does more than merely express cultural and social anxieties. It is my contention that just as local devotions may have been used to solve natural problems like drought, so too may they have served as a means of political influence and resistance. In Spain, the nineteenth century was punctuated by dramatic clashes between Church and State, and frequent political upheaval. Manifestations of popular belief, like the apocalyptic prophecies that accompanied Napoleon's invasion, may be interpreted as forms of resistance—often the only ones safely available to subordinate social groups. Because its peasants and artisans were radicalized earlier, and more thoroughly, than in other parts of Spain, Andalusia makes an ideal region from which to study the relationship between popular religion and politics. In fact, some historians have suggested that the explanation for anarchism's early emergence and unusual coherence in Andalusia may lie with the popular religiosity of the region's rural population. Until now, however, no one has undertaken the research necessary to prove or disprove this contention.

An effective study of popular religion requires an interdisciplinary approach. I bring to my research an understanding of anthropological methodology and political science resistance theories. In fact, my

studies have prepared me well for such an undertaking. Coursework completed at the University of Cordoba with Professor Soledad Miranda, who has agreed to supervise my work while I am in Spain, introduced me to the problems that characterize modern Spanish history. My master's thesis, completed in May 1992, examined the apparition of the Virgin Mary at Lourdes in 1858. In it, I attempted to understand how, in a century normally characterized as one of steady de-Christianization, the event could inspire such fervent expressions of belief. I also explored the political implications of a religious manifestation that initially worried the Catholic hierarchy and outraged the French government.

Having already conducted preliminary research in Spain, I am convinced that this project can be completed in one year. I have identified the files in the National Archives with which I will be working, and examined catalogues of municipal holdings in Cordoba and Seville. Diocesan archives in these locations, with their records of pastoral visits and religious disturbances, prove especially rich.

It is my contention that popular belief can lend important insights into both the mentalities and the actions of rural populations. The events described at the beginning of this proposal, for example, raise significant questions about how believers conceived of their relationship to the world around them, how they dealt with catastrophe, and how they articulated their political and social anxieties. By asking these questions of an era marked by upheaval and witness to the forces of industrialization, de-Christianization, and modernization, my study will not only fill in the historical picture of modern Spain, but also contribute to our understanding of rural identity in a rapidly changing world.

Stella Kirsten. *This statement illustrates Paradigm C. It uncovers new material, which provides a new perspective on what is already known. Note how the applicant handles the need to use words that would be unfamiliar to many readers; she first puts the most helpful English equivalent and then the actual word in parentheses.*

Between Law and Society: The *Muhtasib* of Mamluk Egypt

In Bahri Mamluk Egypt (1250-1382), no individual represented the face of the law in society more so than the market regulator (*muhtasib*). Armed with a legal manual explaining the laws that he was to enforce—ranging from ensuring that merchants’ scales worked properly to preventing bakers from kneading dough with their feet—the *muhtasib* would travel the marketplace and enforce these laws directly and immediately wherever he saw a violation. Functioning under the Islamic legal principle of *hisba*—commanding the good and forbidding the evil—the *muhtasib* was more visible in society than the judge (*qadi*), who had to wait until a complaint was brought to him before he could take any action.

Standing at the intersection of law and society, the institution of the *muhtasib* offers the scholar of Islamic law the ideal lens through which to study how the Islamic legal system interacted with social, political and economic realities. This is one of the most fundamental issues in the study of Islamic law and society, yet it has been virtually ignored by scholars. Islamic law provides a wide spectrum of rules that govern Muslims in many facets of life and, as such, it is a powerful force for the regulation of society. Scholars, however, have tended to focus on isolated parts of Islamic law—such as Islamic legal theory as formulated by the jurists—and have failed to address the larger and more significant questions: How did the Islamic legal system function as a whole? What were the mechanisms by which the text was applied to the social, political and economic context?

Using the institution of the *muhtasib* as a case study, in my dissertation I will address this crucial but neglected issue of the application of the legal text to the social context. The Mamluk-era *muhtasib* is an ideal subject for this methodology not only because the institution embodies both law and society but also because a wide range of source material is available, such as chronicles, travelers’ accounts, and documentary evidence. One essential but under-studied source are the manuals written for *muhtasibs* to guide them in their work. These manuals were often written by former *muhtasibs* themselves. Based on the two published Mamluk-era *hisba* manuals, written by ibn al-Ukhuwwa (d. 1329) and ibn Bassam (d. 1300s), I have chosen three areas of the law that the *muhtasib* dealt with to focus my study on: (i) commercial exchanges involving usury (*riba*’); (ii) price fixing of commodities and hoarding of foodstuffs in the market; and (iii) use of public space in the market and its environs, such as the degree to which a merchant’s stall may encroach upon the public space of the market. In order to study the mechanisms by which the *muhtasib* applied the text to the social, political and economic context, I will analyze how these three aspects of marketplace life and practice are treated across a spectrum of sources, ranging from theoretical writings of the jurists to evidence of the *muhtasib*’s day to day practice.

Tracing the same three legal questions across a range of sources will provide insight into how the system dealt with local conditions and social realities and how the *muhtasib* used discretion in his decision-making. Some of the questions I will be asking are: Why was such an official needed to go out and actively regulate the marketplace? Did the social context require such active supervision by the *muhtasib*, and how was the society in turn shaped by it? To what extent was the decision-making of the *muhtasib* influenced by the policies of the Mamluk ruling elite? By local social and economic conditions?

In the first step of my work I will ascertain the manner in which the manuals written for the *muhtasib* instructed him to act with regard to the three areas of the law listed above. After understanding the instructions these manuals gave the *muhtasib*, I will focus on the theoretical end of the spectrum and compare the treatment of these topics in the prevailing *fiqh* works of the Mamluk era. I will examine how this *fiqh* was “translated” from the language of the jurists into the administrative terms of the

manuals, which were more conducive to the daily operations of the *muhtasib*. This is especially important since all *muhtasibs* were not necessarily scholars capable of independent legal reasoning (*mujtahids*) and needed more practical guidance. This focus will reveal much about the operations of the legal system and the process by which law was reformulated when it passed from the realm of legal theory to the manuals. My research will then use sources such as chronicles, travelers' accounts, and documentary evidence to focus on the day-to-day level of the *muhtasib*'s activities and examine how the *muhtasib* applied the law to the merchant or other participant in the marketplace. I intend to assess the forces that influenced his role as a regulator in general as well as the factors that he took into account when making specific decisions.

Source materials relevant to my research are located in the U.S. and Cairo, Egypt. Materials available in the U.S. consist of the published Mamluk-era *hisba* manuals, chronicles, and texts of Islamic legal theory, travelers' accounts and other narrative sources. I am currently making use of these sources. Conducting research in Egyptian archives is, then, the next step in my research and is essential to my project. Thus, I would use the Kennedy, Knox, Sheldon & Lurcy Fellowship to spend one academic year in Cairo. I intend to consult manuscripts in the Egyptian National Library (Dar al-Kuttub) that are related to *hisba* and the *muhtasib* as well as materials in the Egyptian National Archives (Dar al-Watha'iq).

The history of Islamic law and society is a fascinating yet neglected field that eagerly awaits scholarly attention. My dissertation will be a major step in the beginnings of the development of this field and I look forward to a scholarly career that advances our understanding of Islamic law and its application in societies both past and present.

Lincoln Stuart. *This statement illustrates Paradigm A. It deals with a subject that has never been examined. Note the strong case the applicant makes for the contribution this study will make. Note as well how clearly he defines the period covered in his study*

The Capuchins and the Art of History

My dissertation investigates the artistic imagery of the Capuchin Order of reformed Franciscans from their origins in 1525 to the advent of Baroque art around 1600. I will focus on Italy because the Capuchins were an Italian foundation and created most of their early art and thought in the complex cultural milieu of the late Italian Renaissance and Counter Reformation.

The significance of the Capuchins for the development of religious art in mid-to-late 16th-century Italy has never been examined. But my study of their artistic contributions—as creators, patrons, and even art historical scholars and theorists—will do more than provide merely another example of how a monastic order attempted to turn art to its purposes. Rather, it will recover the neglected but persuasive evidence that the Capuchins instigated one of the earliest conscious “medieval revivals”, clearly seen in Capuchin architecture and devotional painting, and asserted in Capuchin writings. After establishing this as the Order’s aesthetic, I will approach more subtle uses of the medieval legacy by investigating the controversial but crucial area of late 16th-century “reform art”, and the impact of Capuchin taste and vision on the stylistic reforms of painting by artists like Caravaggio, the Carracci, and Federico Barocci—all important contributors to the genesis of Baroque style. These two complementary aspects of my dissertation—study of the Capuchin “medieval revival”, and of its connections to the reforms of painting in Italy during the later 16th century—will ultimately offer a new approach to the culture of the late Renaissance and its complex views on the status and purpose of art, the nature of history, and the viability of a recovery of the past.

The Capuchin Order provides a fascinating opportunity for this sort of study because early Capuchin historians have left us explicit and copious definitions of the order’s artistic beliefs and practices. The solution the Capuchins proposed to the corruption and fragmentation of the church of their day was a return to an ideal 13th-century world—the world of Saint Francis. Since all direct links to this privileged past had been lost to the confusion of centuries, Capuchins were placed in a situation ironically similar to that of Renaissance humanists and antiquarians, who had labored to recover the lost Roman past. Realizing this, the friars adapted Renaissance historical methods to reconstruct a medieval “antiquity”. And like antiquarians, Capuchin researchers focused much attention on the study of visual remains.

Based on analysis of early Franciscan churches—including actual archaeological investigation of some ruined 13th-century shrines—the Capuchins created a “medieval revival” by building churches they believed Francis would recognize. Further, they appropriated nascent art history to examine medieval paintings and mosaics, and used their findings both to revive the Order’s original habit with its distinctive pointed hood—the central visual symbol of the reformers’ polemic for a return to Franciscan origins—and to create gold-ground devotional “portraits” of Francis that imitated the style of 13th-century images. Archaism was even incorporated into Capuchin altarpieces, and some artists used archaizing styles for Capuchins while their works for other patrons followed “current” styles. Altarpieces, however, present a special case. In creating archaizing churches and devotional images, the Capuchins were able to work through their own members. But large altarpieces were often gifts from wealthy supporters, and commissions were usually given to prominent, sophisticated artists who would not simply revert to a superficially archaic style. The Capuchins responded creatively to this dilemma by favoring—and furthering—the work of a group of artists including Barocci, the Carracci, and others, whose art was not overtly archaic but involved a sympathetic rethinking of the artistic past for the reformation of the artistic present.

Federico Barocci is especially interesting in this regard, for he was a Capuchin lay brother. His religious art is often seen only in the general terms of the “Counter Reformation,” or related to his admirers among San

Filippo Neri's heavily-studied Oratorians. But Barocci's spiritual world was formed by the little-studied Capuchins. His *Madonna del Popolo*, painted in response to a request for a *Misericordia* image, is a famous example of his brilliance at rethinking medieval imagery in modern style. And his *Stigmatization of Saint Francis* for the high altar of his Capuchin friends in Urbino is similar. The painting is suffused with a reappraisal of the *Stigmatization* tradition—but any overt archaism stems largely from the depiction of Francis' habit with pointed hood, and of Urbino's "13th-century revival" friary. Barocci used the power of Renaissance naturalism to convey the forceful presence of the old habit and the medievalizing church—significant symbols of Capuchin revival in any image, even one in a modern style. Capuchins themselves, as they moved around Renaissance cities in, their distinctive robes, were living "medieval pictures" in the modern environment. And such eruptions of the past into the present could effectively encapsulate the Capuchin message whether they appeared on a street or in an altarpiece.

But if the Capuchins appreciated Barocci's skill in conveying the reality and power of their medievalizing symbols, they also valued his ability to represent all aspects of the sacred event vividly. They referred to the altarpiece as "*bellissima*", and had it copied for another church. The positive links between Barocci's style and the friars' ideal of religious art have never been studied, yet they provide a way into the heart of the "reform art" of the late 16th century. Part of Barocci's success lay in his skill in representing the rich visual and visionary world of early Franciscan texts so valued by the Capuchins—a world too vivid and alive for a fully archaic style to convey to a society of viewers accustomed to naturalistic images. Strict archaism in painting was best for presenting "icons" of sacred power, such as the 13th-century-style "portraits" of Francis. For altarpieces, a sensitive mix of archaism's spiritual power and modernity's representational skill proved most effective for the dual Capuchin goals of returning to origins, and encouraging the faithful to follow. This mix of old and new in painting became part of larger Counter Reformation culture, and provided an underlying brief for the religious art of many important painters of the period. The final goal of my dissertation is to illuminate this reformulation of religious art, inspired in part by the Capuchins' bold experiment in "neo-medievalism".

To realize my project I require another year of intensive research in Italy. During a seven month trip in 1991, I defined the topic after a wider investigation of Franciscan reform and art throughout the Renaissance, and initiated visual and archival work. My preliminary investigations convinced me that there were many more untapped riches, both in visual and archival form, that must be analyzed to do justice to the fascinating legacy of early Capuchin art and thought. So little scholarship exists in this field that much of the work can only be done in Italy: but the buildings, paintings, and unpublished texts I have found thus far have amply confirmed the interest of the topic, and I am confident of success if I can simply have the time in Italy to complete the systematic Investigations that must undergird my assertions.

During this year at Harvard I am focusing on aspects of the dissertation that may be approached from this side of the Atlantic, and have immersed myself in the diverse and often polemical secondary literature on late Renaissance painting and the genesis of the baroque. Further, I am offering a seminar for undergraduates called "The religious image in 16th-century Italy: evolution and transformation" that will engage many issues upon which I must reflect in the course of formulating my theses. Finally, I am mapping out a detailed strategy for specific archival and visual research upon my return to Italy.

My fieldwork will center on Umbria and the Marches, the original Capuchin "heartland". Northern Italy will also provide a focus, for it witnessed the creation of important and idiosyncratic Capuchin architecture and superb Capuchin altarpieces, by the Carracci, Bassano, and others. In addition to my investigation of Barocci in Urbino, I intend to focus on Annibale Carracci's work for the Capuchins of Parma as one of the "test cases" for my conclusions. Finally, the area around Rome is of crucial importance for three reasons. First, its countryside contains several surviving early Capuchin churches with altarpieces by important "reform" artists. Second, Rome itself was a center of experiments in artistic historicism both in Capuchin circles and in the patronage of some learned ecclesiastics, such as the Cardinal Baronius who attempted to

restore his titular church of Santi Achileo e Nereo to its early medieval state, or Pope Gregory XIII, who demanded that artists reproduce decaying mosaics at Santa Saba with stylistic faithfulness. Gregory also endowed the Capuchin church at Frascati and commissioned a major “reform” artist, Girolamo Muziano, to decorate it. The church and its paintings survive, and provide me another example on which to focus my study. Finally, Rome is the best base for my Italian research, for its resources are better adapted to my topic than those of any other city. The riches of church history libraries such as the Vatican, the Angelica, and the Vallicelliana are incomparable. Rome is also home to the General Archive and the Historical Institute of the Capuchin Order, where I may discuss ideas with Capuchin scholars. And the Biblioteca Hertziana provides superb resources whenever I require references from secondary art historical literature. With Rome as a base for research and travel, I would be perfectly placed to probe the multi-faceted, crucial phenomenon of the 16th-century reevaluations of the Christian artistic heritage, and the reforms that created the pictorial and architectural realm seen, used, and partly inspired by intense friars in tattered robes, seeking to revive the art, as well as the spirit, of another age.

Charles Winslow. *This statement illustrates Paradigm A. It is dealing with material that remains largely unknown — the larger provincial unit, rather than the much studied city, in pre-modern Islam in the Middle East.*

A Social History of the Province of Khuzistan: From the Time of the Islamic Conquests to the Early 11th Century

Despite the efforts of generations of scholars, the demographic atlas of the pre-modern Islamic Middle East, its “geographie humaine”, remains largely unknown. That this is the case should hardly come as a surprise: confining himself to the narrow borders of the Nile to the Oxus region, the historian must somehow come to grips with an astonishing diversity of languages, religious traditions and ethnic groups, as well as with widely divergent social patterns of nomadic and sedentary populations. No wonder then that historians have long explored the interior of the “Islamic city”; not only does its alleged paradigmatic quarter system function to separate each community into discrete — and therefore more understandable — entities, but here the historian knows what he should be looking for: analogs to salient characteristics of Western urbanism such as “self-governing communes” and trade associations. Yet as the crooked and narrow streets of the city were charted, the larger provincial units, and in particular, the surrounding hinterlands which fed the cities, have largely been ignored. The thesis I propose to write will represent a modest correction. I intend to undertake a diachronic study of the social, political and economic life of the province of Khuzistan from the Islamic conquest to the Saljuq period.

Khuzistan has hardly been studied at all. Outside of a few largely geographic studies and highly schematic political outlines, virtually nothing has been written on the province. This represents a regrettable gap in our understanding of lower Iraq for several reasons. First, Khuzistan is an area of tremendous ethnic and cultural variation. I have referred to the province as Khuzistan, i.e., the “land of the Khuz”, who were considered the indigenous tribal inhabitants of the area. But the province is also commonly called Arabistan, “land of the Arabs”, since it is now primarily Arabic speaking; though an Arab presence predates the conquest, most of the Arabs came in its wake. Moreover, Khuzistan lies in present-day Iran, and in fact has been under Iranian cultural influence since at least the time of the Achaemenids. Finally, a highly cultured Nestorian Christian community has inhabited parts of the region since long before the Islamic conquests, teaching and studying in a medical academy and living in monasteries. Each of these different groups of course spoke its own language.

Yet not only was Khuzistan culturally interesting, it was also very wealthy. Al-Ahwaz, its capital, lies on an impassable section of the Karun river and thus functioned as an entrepot for goods heading for Basra as well as cities in Khurasan and Luristan. Supplementing this active trade was a rich agricultural economy. The many rivers of the province, often connected by irrigation canals, made for flourishing crops. The most important of these was sugar; it is in fact reported that all of the sugar consumed in Khurasan came from Khuzistan. Fruits were also grown. That these elements came together to produce a powerful economic unit is clear from the extant Abbasid budgets, as well as from explicit statements in the sources that describe the importance of the province.

Finally, Khuzistan was an exciting place intellectually. I have already alluded to the medical center at Jundaysapur. The story of the contribution of the Bakhtishu family of the Jundaysapur to the translation movement in Baghdad and thus to the full-scale introduction of Aristotelian thought into Islam need not be repeated here. Yet Khuzistan was more than just a channel through which knowledge flowed, for it also acted as an incubator for one of the most influential of the early religious/political opposition movements, the Mu‘tazila. And the social milieu of the Mu‘tazila remains a mystery.

Clearly, then, Khuzistan merits serious investigation. Two questions should now be posed. What will be my line of inquiry? Is such a study feasible?

In my thesis I will attempt to clarify what we may term here, strictly for the purposes of explanation, two interconnected sets of relationships, i.e., the geographic and the social/political/ economic. My task will be to try to sort out the various ways in which the cities related to their surrounding hinterlands and to each other, and the ways in which the province related to neighboring provinces and to the central government. May we speak of Khuzistan as one economic unit? In what ways was their economic power translated into political power? Answering this question will of course require an understanding of the social groups of Khuzistan. How did the Khuz (their notables?), the *dihgans*, the Arabs, the Nestorians and finally, the slaves from East Africa who worked on the sugar plantations, relate to each other socially and economically? What were the consequences of the conquests, the Mu'tazili presence and the Zanj rebellion of the mid-ninth century? Finally, and perhaps most importantly, what conclusions may we reach regarding the Islamization of this culturally, linguistically and ethnically diverse area?

That my task is a difficult one is self-evident. The sources rarely package and present information conveniently. Rather, they contain scattered bits of data, sometimes systematically (as is the case of the geographers), but more often not. Furthermore, having been written in the major cities, our texts reflect not only a general urban bias, but also one of the central government; thus they seldom provide dependable information on the economic relations between the cities and the hinterland. It is furthermore regrettable that there is no local history of Khuzistan or of its capital, al-Ahwaz. Yet these problems are surmountable. What the Islamic tradition lacks in documentary sources it compensates for in geographies, chronicles and prosopographical works. The last of these three genres is especially informative regarding the social ties of the educated urban elite, and historians have only begun to exploit it fully. Yet the other sources are valuable as well, and in this connection one should note a recent work that has shown that the absence of a city history of Kufa did not preclude a highly detailed study of its political and social institutions. Finally, Khuzistan is not only quite small in comparison with nearby Khurasan and Fars, but unlike many provinces, has only one major city. The province, despite some geographical variation, thus represents a manageable historical unit.

The project is both ambitious and realistic. I have chosen to study a small, yet dense and diverse province, over a comparatively long period of time. It is my hope that this approach will not only elucidate more fully the key political and environmental changes, but also the more subtle and gradual evolution in social, political and economic life. In other words, it is my hope that through this thesis at least one small corner of the Islamic world will be repopulated.

Kenneth Benitor. *This statement illustrates Paradigm B. Focusing on a work of Dante that is already well known, it calls for a reassessment of the work — viewing it as an aesthetic work in its own right, rather than merely as an interpretative tool for reading Dante’s other recognized masterpieces.*

Dante and the grammar of humility: Anxiety in the ‘De vulgari eloquentia’

“I am amazed that commentators of the ‘De vulgari eloquentia’ have treated this product of medieval culture as a mere doctrinal work stuffed with boring Scholastic elements, while neglecting its artistic, humorous and autoironic qualities . . .”

a. Leo Sptizer, 1953

I propose a rereading of Dante’s “De vulgari eloquentia” (“On Eloquence in the Vernacular,” henceforth Dve) that offers an aesthetic appreciation of the treatise in its own right, not merely as an interpretative tool for our reading of the *Comedy*. My reading aspires to remind *dantisti* that the Dve, too, is the product of an extraordinary and singular poetic imagination. The poet’s quest to seek out and define an “illustrious vernacular,” an Italian national poetic idiom, makes for a fascinating and, at times, troubled narrative. My reading will give close consideration to the narrative voice, the ways in which it establishes and undermines its objectives, its telling digressions, and the rich and sometimes bizarre metaphors it produces.

Critical debates over Dante’s attitude towards language have tended to focus upon apparent contradictions in his texts, contradictions regarding the origin and nature of human language before the Confusion of Tongues. It is my contention that such textual incongruities betray a basic tension in the poet’s thinking. In its most generic articulation, this is a tension between unity and diversity. On the one hand, Dante laments human linguistic fragmentation as the sorry legacy of Babel, God’s punishment of human presumption; in his attempt to reconstruct an “illustrious vernacular,” he emulates a linguistic ideal that recaptures the language of Adam, by which signified and signifier are once again bound together in unambiguous union for the entire human family. The Dante of the Dve (written ca. 1304, some fifteen years before the *Paradiso*) appears, at least on the surface, to espouse such a prescriptive attitude.

And yet, there is another Dante who not only accepts linguistic differences as the necessary condition of history, but seems to embrace this diversity as a vehicle for God’s love on earth. This latter Dante revels in the myriad dialects of the Italian peninsula and of human society at large; he is excited by the dynamism of a linguistic cosmos in which he is an eager participant. This more descriptive Dante comes to the fore in *Paradiso* XXVI, where Adam reveals that all human language has always been, and will always be, subject to continual change.

Critics’ attempts to resolve the contradictions in Dante’s linguistic attitudes have generally neglected the subtlety and richness of this dialectic in their search for the “definitive” Dante. They have largely dismissed the longing for unity apparent in the Dve as representative of an immature stage in the poet-linguist’s thinking; Thomas Greene, for instance, feels the poet takes comfort in the Dve by excepting Latin and Hebrew from the law of variability.

Yet the Dve is anything but a comfortable text. It is a text brimming with doubts and anxieties that will find only partial resolve with the mournful lessons of Adam in the eighth sphere. What my rereading of the treatise aspires to add to the critical terrain is a fuller appreciation of these tensions, as a way of bringing to light personal and poetic dimensions of the text heretofore overlooked by the critical literature.

A first section will consider the treatise’s placement within the medieval grammatical tradition while focusing on the poet’s use of the word itself, “gramatica”. I will demonstrate the ambiguous semantic potential of the word as Dante conceived of it and reveal this ambiguity as a primary source of narrative anxiety. A second section will demonstrate the intimate connection between the political and linguistic

assertions of the treatise and suggest that the poet was engaged in a kind of self-allegoresis in terms of the Babel event. A third section will consider Dante's metaphorical use of gender in the Dve as a reflection of personal psychological anxiety (here Freud and Lacan may be of help). I will give considerable attention to the poet's unprecedented elaboration of the mother tongue metaphor, particularly his implicit equation of the vernacular to mother's milk.

A final section will reconsider the dominant metaphorical imagery of the Dve — a hunt through the leafy (linguistic) forest — from the perspective of *Paradiso* XXVI, 64-66, Dante's reformulation of St. John's discourse on Charity (John 15,1). My reading of *Paradiso* XXVI asserts that Dante's use of St. John's branch and leaf images provides a Scriptural justification for his acceptance of linguistic variability. I will demonstrate that this same imagery is present in the earlier treatise and thus be in a position to suggest that the very conceptual framework of the Dve works against the poet's intentional propositions; the dominant imagery is constantly undermining the grammarian's prescriptive agenda; metaphor is at odds with doctrine, poetry with intellectual pragmatism.

By insisting that a "minor" treatise deserves our aesthetic attention every bit as much as the *Comedy*, I see my project as participating in other recent critical attempts to challenge such notions as "major" and "minor" as they figure in the canon of "Great Works" (cp. Harrison, *The Body of Beatrice*). I feel my reading of the Dve can provide us with a greater understanding of medieval linguistic sensibilities, as well as make us more sensitive readers, not only of the Dve, but of Dante's universe in general. I will hope to have portrayed the Dve as the textual battleground upon which the (Christian) poet carries out a highly personalized struggle with his own over-intellectualized self.

My dissertation will represent the outcome of a long-time personal enthusiasm for Dante, who has remained a primary academic focus since I first encountered the *Comedy* as a senior in high school, and a major step towards what I now envision as a lifetime career as a *dantista*. I am already familiar with much of the critical literature relevant to my topic and have written a formal prospectus that takes much more detailed account of the criticism, as well as my own critical arguments. I have already written much of the first and fourth sections (these four sections will eventually be divided into smaller chapters).

Although Professor Dante Della Terza is my formal thesis advisor, much of my thinking on Dante has been influenced by Professor John Freccero of Stanford University, where I was an Exchange Scholar in 1986-1987. Professor Freccero has also written a letter in support of my application. My extraordinary teaching load at Harvard during the fall semester has put me in a financial position to work full-time on the dissertation until July or August 1989; I hope to produce at least three solid chapters in that time. Were I to receive an additional year of support from the Whiting, I am confident that I could then bring the project to completion.

Ned Hall. *This project statement illustrates Paradigm C. It will provide new data that will cause some shift in our thinking. More specifically, the candidate proposes to collect corroborative archaeological data, which will help to settle a current division among scholars as to the relative success or failure of Rome's experiment in empire building.*

Roman and Native Interaction in the Roman Alpine Provinces

My present research concerns the nature of culture contact between empires and indigenous peoples conquered by them, especially those groups who were geographically isolated from the powerful cultural influences of imperial towns and highways. It uses as a central case the interaction between the Roman Empire and the ancient peoples of its alpine provinces and is designed as an interdisciplinary study of ancient literary sources, ethnohistoric accounts, and contemporary frontier studies, bolstered in large part by the archaeological record.

Scholarship is generally divided between those who would view Rome as successful in maintaining its empire, a process which was helped along by a fair degree of native acquiescence, and those who see in the literature a history of revolts which constantly threatened the fabric of the empire. In the absence of corroborative archaeological data one might quite reasonably adopt either point of view. The principal question asked by this research concerns the relative success or failure of Rome's experiment in empire building and maintenance.

The implementation of such an interdisciplinary project is unusual in its emphasis on both classical and anthropological methodology, but it is in keeping with a new body of classical inquiry which attempts to derive from the Latin literature a semblance of objective truth concerning imperial policy, Roman racial attitudes, and the tribal response to conquest. These scholars rightly call for the testing of their hypotheses, yet the archaeological work remains to be done. Consequently, the value of my research is that it draws upon a wide array of classical and historical scholarly resources and ties them to the archaeological record in order to develop a more complete picture of what happened in history.

This research has thus far been developed under the supervision of my advisor, Professor Peter S. Wells, Director of the University of Minnesota Center for Ancient Studies and formerly Assistant Professor of European Prehistory at the Peabody Museum. It has also been monitored by Professor C.C. Lamberg-Karlovsky, Director of the Peabody Museum, and David Gordon Mitten, Loeb Professor of Classical Archaeology at Harvard's Fogg Art Museum, both members of my dissertation committee.

In bringing corroborative archaeological data to bear on the various hypotheses of the success or failure of Roman empire building and maintenance, the study relies heavily upon information gathered from ancient burials and settlements. Burials usually constitute sealed cultural contexts representative of a single moment in time. Material objects signifying social status, group affiliation, or those utilized as protective talismans were placed by the living alongside the deceased in keeping with local customs and beliefs and provide an intimate glimpse into the perceptions and self-image of indigenous populations.

Still, burial data may often represent the 'best' a given culture had to offer its deceased and, used alone, are potentially misleading indicators in cultural historical reconstructions. In order to broaden my base of inquiry, and also to control the validity of information derived from native burial contexts, I have drawn upon archaeological materials excavated in a number of high mountain habitation sites. More representative of daily life, these data offer an insight into the nature of domestic ceramic production and use, house construction technology, stock raising practices, and commercial exchange mechanisms. Combined with information derived from grave goods they proved a clear comparative base against which to view processes of culture change over time.

For the past year I have lived in Northern Italy as a Fulbright Fellow and a Harvard Sinclair-Kennedy Scholar. In my examination of alpine archaeological materials, the quantity of objects of Roman origin appears to diminish slightly as the distance from imperial centers and roadways increases. Yet from the outset of the Roman occupation in the Central Alps, one finds overall an increasing number of Roman goods in native burials and settlements, even those quite far removed from direct Roman control.

In native burials, imported Roman materials become increasingly common over time, but I view this phenomenon as more closely tied to status acquisition and fashion demands than to a situation of profound culture change. Mountain burials, when viewed comparatively with those excavated in the more 'romanized' lowland centers, are actually quite poor and lack the glass and high quality ceramic luxury goods found regularly in Roman urban contexts. What we see instead is a mixture of occasional pieces of fine Roman tableware, local imitations of Roman vase forms, and some ceramic pieces of alpine Iron Age tradition. Roman bronze *fibulae* are a regular import item, but their placement in burials indicates a continuity of pre-Roman costume traditions. There is also an occasional nativistic treatment of Roman materials.

Such archaeological evidence could nonetheless lead one to accept the relative success of the Roman Empire in 'converting' its native alpine populations. Yet a closer look at the data suggests instead a surprisingly strong continuity of indigenous lifeways. In the high mountain settlements, ceramic styles often mirror those in use in late prehistoric times, and 'Roman' vase forms are generally poor local imitations of Mediterranean styles. Animal husbandry, as viewed in the faunal record, followed a pattern established as early as the Bronze Age, regulated by the harsh conditions imposed by the alpine environment. Local house construction techniques, especially when compared with the Roman models then employed in the administrative centers of the principal river valleys, also point to a continuity of prehistoric lifeways. Ultimately, we do see an increase over time in the presence of Roman import goods in indigenous settlements, but quantitatively these are vastly inferior to materials of local tradition and manufacture.

In regard to the various scholarly hypotheses for explaining the presumed patterns of Roman-native culture contact, the alpine archaeological information points clearly to a situation in which the lifeways of peripheral populations were often maintained throughout the imperial period, largely in the absence of either extreme conflict or total assimilation. A further proof of this continuity is seen in the renaissance of traditional mountain craftwork and cultural practices in the early Middle Ages after the withdrawal of Roman administration from the region.

For the next five months in Italy I will continue my inquiries into the archaeological record of the Central Alps. I also intend to enlarge the ethnohistoric aspect of the overall research as it has so far been extremely useful in offering new insight into the archaeological material. Upon my return to the United States in the Spring of 1989, I envision a limited period of research into anthropological and ethnohistoric examples of analogous culture contact situations from other world contexts. This will be followed by an intensive period of writing in which I will compile the data gathered here in Italy as well as background materials (core-periphery studies, Latin literature, and the historical assessment of Roman policy) I have already collected. I will complete the project by June 1990.

From 1980 until 1982 I lived on a farm in the Italian Dolomite Alps and commuted to lectures on Roman archaeology at the University of Padua. During that time I became keenly aware of the tremendous retention of traditional culture in the mountains versus the more progressive cultural reality of the Venetian Plain. What, I wondered, would have been the reaction of ancient mountain peoples to the commercial presence and subsequent conquest by the Romans? Since beginning this research in 1986 I have been impressed by the potential for applying a multidisciplinary approach to the study of imperial-native interaction in other parts of the world. Completion and publication of my PhD thesis will not only frame the general debate on the concept of Romanization but will also stimulate archaeologists and historians to reconsider accepted views of culture contact.

The Whiting Fellowship will enable me to publish my dissertation at a time when imperial-native studies are becoming a much-debated topic in the academic world.

James Scott. *This project statement also illustrates Paradigm C. The project is in the Natural Sciences, and like most in this area, it proposes to provide new data — in this case new computations — which call for adjustment of existing theory. This statement also illustrates a scientific proposal aimed at a fellowship committee consisting of generalists rather than specialists. Note how the opening explains the project in accessible language suitable for such a committee.*

Condensed Matter Theory

One of the major obstacles confronting condensed matter theorists is the difficulty involved in describing the enormous number of particles present in solids. Frequently, theorists formulate sophisticated models, then carefully adjust unknown parameters until the theory best agrees with the experimental data. However, due to the recent increases in computational power, it has become possible to make first principles *ab-initio* calculations, calculations which do not use any experimental results as input and which contain no adjustable parameters. We can then make a direct comparison between theory and experiment, and for many quantities the agreement is excellent (~1.0%). Moreover, using these techniques it is often possible to gain information about physical properties which are difficult or even impossible to measure directly.

In this spirit, my major research interest is directed towards making realistic calculations, in the context of the local density approximation, of the structural and electronic properties of materials. For the past year, I have been working with Dr. David Vanderbilt here at Harvard University. The major thrust of my work has been the study of semiconductor surfaces. I am in the midst of a minimal energy calculation of the Germanium (111) surface. This calculation will predict the atomic positions and the macroscopic surface stress of the relaxed slab geometry. I will soon extend this study to include various adatom decorations of the surface, geometries in which 'extra' atoms sit on the surface. Because slab geometries involve large unit cells, these calculations are very complex; they are typically 64,000 times more time-consuming than the equivalent bulk calculations. Fortunately, I have had the opportunity to use the Cyber 205, a supercomputer located at the John von Neumann Supercomputer Center in Princeton, N. J.

I have also developed a continuum elastic theory of surface energies. This theory may provide insight into strain-mediated interactions between adatoms on surfaces and between surfaces in slab geometries. I also intend to calculate the microscopic stress tensor for semiconductor surfaces. This quantity, which has never been measured or calculated, would provide considerable insight into the reconstruction of these surfaces.

Even though physics is my primary interest, I also enjoy doing computational work. I have found that the process of writing programs which implement physical theories exposes one to details of those theories which otherwise might be overlooked. Conversely, I also believe that a thorough understanding of physics allows one to devise clever means to perform computations which otherwise might be considered intractable.

George Timback. *This project statement is another example of the longer more elaborate proposal. Note the effective division of the longer proposal into sub-sections, which help to produce a clearly organized presentation. The project statement illustrates Paradigm C. It is dealing with a subject that has received some attention, but is providing a new perspective. References are provided in a Selected Bibliography which he candidate submits as an attachment at the end, which is common when longer proposals are required. Note as well that references are cited within the body of the text, rather than in foot-notes; this is also common in proposals.*

Minamata: Power, Policy, and Citizenship in Postwar Japan

PURPOSE

I propose to study power, policy, and citizenship in postwar Japan by examining the responses to the tragic mercury poisoning of the city of Minamata. The period from the 1950s through the 1980s encompassed the outbreak of the epidemic of “Minamata Disease,” conflict over its causes, media advocacy, demands for restitution by victims and their supporters, the rising activism of citizens’ groups, responses by the private sector and the government, major legal decisions, and finally the fading of the issue from national consciousness. In the context of Japanese history, Minamata is more than the site of one of the world’s worst cases of industrial pollution. It is also the locus of the development of new forms of civic action, of contending and evolving relationships among society, corporations, and the state, and most important, of an ongoing redefinition of citizenship in postwar Japan.

SUBJECT AND STRATEGY

Minamata is a factory town surrounded by fishing villages in Kyushu, the southernmost of Japan’s four main islands. The Chisso company began producing acetaldehyde using a mercury catalyst there in 1932. The city, and Chisso’s production, grew rapidly in the early 1950s, and fish, seabirds, trees near the shore, and even cats were already dying. By 1956 there was an epidemic of a “strange disease,” mainly among fishing families in outlying villages. What was soon called “Minamata Disease” caused symptoms ranging from sensory loss to paralysis and death in adults. Congenital poisoning caused 38% of the children born from 1953 to 1960 to be mentally handicapped and many others to be physically deformed. Over 1,200 people have died so far. The cause—conversion of inorganic mercury in factory waste into organic mercury—was suggested by 1958 and proved by 1962, but Chisso continued to discharge mercury until 1971. In part because “solatium agreements” committed the company to making payments to victims beginning in late 1959, no victims filed suit against Chisso until 1969. They won in 1973, though there are still cases in the courts concerning compensation and other issues.

Minamata generally appears in the Japanese literature as a study in victimization: a struggle by citizens’ groups fighting for social justice against the Chisso company and the government, whose concerns were power, profits, growth, and the enforced social peace that made these possible. Relatively little has been published in English, although W. Eugene Smith’s powerful photographs of the victims’ twisted bodies brought the tragedy to world attention in the 1970s. There are sections on Minamata in books by specialists in pollution and public health (None Huddle and Michael Reich), political science (Margaret McKean), and law (Frank Upham); a translation of a novel by a victim (Ishimure Michiko); and a few articles, most of them published two decades ago.

As a historian, I believe that Minamata ought to be told as a complex but coherent story. Its political, economic, social, and scientific aspects need to be brought together and placed in their historical context. It is certainly a story of victimization, but it is also a case study of the many forces that shaped postwar Japan and the contemporary world. The civic response in Minamata reveals how the Japanese defined citizenship, after having been imperial subjects for most of a century and subject to feudal lords for hundreds of years before that. The flexible, evolving, and generally effective response by corporations and by the national and local governments helps to disprove the myth of a monolithic state or an all-powerful “Japan, Inc.” Many social scientific works on Japan, such as Chalmers Johnson’s MITI and the Japanese

Miracle, are studies of “successes” that focus on the top levels of government and business. Minamata requires attention to complex responses that sometimes succeeded and often failed, but which linked the highest levels of bureaucracy with the smallest local communities. A historical study of Minamata should broaden our understanding of Japan in the past four decades, and at the same time further the study of postwar Japan as history. No longer need the nearly half century of postwar history be confined to the domain of sociologists and political scientists. Historians elsewhere have long studied such subjects as the US civil rights movement, the Cultural Revolution in China, and the cold war. It is high time that Japan’s postwar past become a similar object of historical inquiry, and that postwar developments be connected to their prewar antecedents.

A comprehensive study of Minamata requires the examination of a broad cross-section: the victims, the company, the media, support groups, the local and national governments, the ruling and opposition parties, and the courts. The responses of each of these groups were a blend of old and new, as indeed was postwar Japan itself. The government sought to regain control of methods of dispute resolution, as it had in the case of the prewar labor movement that Sheldon Garon has analyzed, although with Minamata the situation was more complex. There were links to pre-Meiji Japan as well, for it was perhaps as difficult for citizens to decide to sue the company that was the economic mainstay of their city as it had been for Tokugawa peasants to rebel against their lord. In the postwar period, however, it was possible to gain nationwide and even worldwide publicity and support that would have been unimaginable earlier. These and other changes in historical context will inform my attempt to sort out the old and the new and to analyze Minamata as something more than a tragic case of industrial pollution.

I will approach the issue of Minamata from several perspectives. The first looks at the forms of civic action that evolved as the Japanese experimented with new freedoms and gradually became conscious of the costs of rapid industrial growth. I will examine, for example, the Mutual Aid Association formed by victims’ families in 1958, and the Minamata Disease Study Group, founded in 1969 by lawyers, professors, doctors, and members of the media. This group wrote a report that became the basis of the suit filed in 1969. I will look also at the “one-share movement,” in which victims and supporters bought one share each in Chisso. This enabled them to attend and disrupt the 1970 shareholders’ meeting, which was broadcast on national television.

Second, I will examine the responses by business and government. The goals of the conservative coalition were to stay in power, restore social peace, and regain control of dispute resolution, but the government and corporations were by no means monolithic and unchanging. They reacted flexibly, as had many of their predecessors earlier in the modern period. The ruling Liberal Democratic Party responded to the threat with a rapid policy turnabout culminating in the legislation passed by the “Pollution Diet” of 1970 and the establishment of the Environment Agency in 1971. Questions about the central government’s relation to local institutions must be addressed as well, since the changing relationship between national and local politics is one of the main stories of the postwar period. In this case, I will be dealing with prefectural as well as local initiatives. The national government funded a medical research group at Kumamoto University, but cut off its funds soon after its preliminary report blamed the disease on effluent from the factory. (The research was subsequently funded for three years by the US National Institute of Health.) Another example of interactive response is the split of Chisso’s Minamata union into two, one supporting and one opposing management. Several members of the anti-management union joined the Minamata Disease Study Group and supplied it with confidential inside information from Chisso, which was later used by the victims in their suit. Minamata, like postwar Japan, was by no means a Manichean drama in which the forces of an interlocking elite battled a coalition of victims and activists. Instead it was a series of interactive responses by three collective actors: citizen, corporation, and state.

Third, and most important, I will seek to understand Minamata as an effort to define and create new forms of citizenship in postwar Japan. Citizenship is a political question, but one that is often resolved in Japan in a social rather than parliamentary context, as the experience of Minamata confirms. The victims of the pollution were mainly poor fishing families living on the outskirts of a town whose single smokestack industry had brought

them all a boom in the 1950s, and their relationship to the factory remained ambivalent. The options available to them in the late 1960s were to accept government mediation, to join the “trial group” and sue Chisso, or to join the “direct negotiation” group advocating confrontational tactics. I will analyze the conflict between modes of civic action and how it was resolved in favor of the trial group. The victims’ plight attracted reporters, lawyers, and environmentalists from all over Japan, and linked them to other antipollution movements in Niigata, Toyama, and Yokkaichi. Minamata in fact lent its name to the Niigata case, where the victims suffered from “Niigata Minamata disease.” The citizens’ groups supporting the victims developed patterns of social citizenship which were later reflected not only in the environmental movement but also in anti-nuclear activism and the consumer movement, and indeed in a changed relationship of ordinary Japanese to their socially defined polity.

LITERATURE

Although Minamata has not been studied in the way I propose, there is a huge volume of sources already assembled, and in many cases carefully organized. This should make it possible to complete my research in Japan in one year, spending about half the time in the Tokyo area and half in Minamata and Kumamoto (the prefectural capital). In Tokyo, Kumamoto, and Minamata there are court and government records, newsletters, photographs and films, tapes and transcripts of interviews, and records of citizens’ groups, unions, and fishing cooperatives. The historian Irokawa Daikichi, who has written on Minamata, has agreed to sponsor my studies. He recommends that I work with him at Tokyo Keizai University, and with the Minamata study group at Kumamoto University, which includes Harada Masazumi of the medical school and Maruyama Sadami of the faculty of humanities. I will also make use of the materials at the Minatabyo Rekishi Koshokan in Minamata.

PREPARATION AND PLANS TO SHARE FINDINGS

I plan to take my comprehensive Ph.D. examinations in May 1993 and spend a year doing research in Japan beginning in August 1993. In preparation, I have compiled an extensive bibliography and consulted US scholars who have studied Minamata, among them Michael Reich of Harvard’s School of Public Health, Frank Upham of Boston College Law School, and Margaret McKean of Duke University. I met with Ui Jun, author of many works on Minamata and industrial pollution, during his visit to Cambridge this fall, and he will be a valuable source of advice and ideas.

My conclusions will be shared with both the American and Japanese scholarly communities. The research will result in a Harvard Ph.D. dissertation, which I plan to complete in 1995. It will be copyrighted, abstracted in Dissertation Abstracts, and available through University Microfilms. I will present copies of the dissertation to the institutions and scholars with whom I work in Japan. I will also develop one or two papers from my research and present them at scholarly conferences, and plan to write a book based on the dissertation.

I see Minamata as a lens through which to view larger questions of democracy and civic action, relationships between citizens, corporations, and the state, and the meaning of social citizenship. Japan’s experience is not unique. My study also offers possibilities for comparison with the experience of other countries in redefining democracy and citizenship in the second half of the twentieth century. I hope that a study of Minamata may help to reattach postwar Japan to earlier Japanese history and also to relate the Japanese experience to developments elsewhere in the world.

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Alex Boax. *This is another example of the longer more elaborate proposal. It too makes effective use of subdivisions to give shape to the longer statement. The project illustrates Paradigm C. It introduces some new material and concepts, which in turn cause a reassessment of the topic. Note the use of foot-notes, in contrast to the preceding longer statement, which incorporates the references into the body of the text.*

Beyond “Agrarian Reform”: Agriculture and Business in Rural Veracruz, Mexico, 1940-1958

Purpose

The purpose of my proposed research is to explore the transformation of Mexican rural social relations from 1940 to 1958 by examining the increasingly dominant social role of business in agriculture. I will focus on the Gulf state of Veracruz, known for a wide range of soils, climates, food crops, and social relations of production, as well as for the strength of its peasant leagues since the 1920s. My preliminary work indicates that the study of business interests and networks is the most effective way of understanding the nature and pace of change in rural social relations in modern Mexico. In this context “business” may be broadly defined as the profit-oriented activities of individuals or companies with an interest in rural production — e.g., machinery, fertilizers, pesticides, seed, credit and marketing. My work on the state of Veracruz, the first properly historical study of Mexican agriculture after 1940, will test the explanatory possibilities of this novel perspective, and will contribute new sources and fresh approaches to the fields of modern agrarian history and rural development.

Subject and Strategy

Students of rural Mexico have traditionally distinguished between “agrarian” and “agricultural” questions, and have kept them separate. “Agrarian” histories chronicle the social and political struggles waged by rural communities over land and water rights, reflected in rebellions, revolutions, and legislation going back at least to the Spanish conquest and culminating in the Mexican Revolution and in the Agrarian Reform of the 1930’s. The work of historians thus far has been predominantly “agrarian,” concentrating almost exclusively on issues of land tenure and government policy. “Agricultural” studies, often influenced by contemporary theories of “development,” have focused on technology, productivity, economic geography, and State-led “modernization,” but seldom from an historical perspective. Both approaches share an overriding concern with institutional or structural change and tend to privileged the role of the State in bringing it about. As a result, the internal dynamics of rural social relations have been neglected and the importance of private interests has been played down. Essentially, we do not know how and why changes have taken place. My aim is to construct an alternative account of rural transformation by emphasizing social relations, in particular those involving agricultural production. The conceptual premise behind this project is that research into the history of agricultural business activities is the most effective way of identifying the various social forces that determine the direction of modern rural change.

Mexican rural history since 1940, which my proposed research seeks to outline for the first time, is particularly suited for this conceptual innovation. Mexican agriculture underwent momentous changes after 1940: large and small irrigation projects; new crops; altered patterns of cultivation; modern technology in tools, machinery, fertilizer, pesticides, and seed; new market structures and credit mechanisms — these all spread unevenly through the countryside. An account that hopes to make sense of these developments and their effect on rural social relations must reach beyond the confines of traditional “agrarian” history. It must take note of the historic growth of opportunities for business in areas broadly related to agriculture. By 1940, there existed for the first time a potential for profit in each component of the cycle of agricultural production.

There are many crucial questions to be addressed from this perspective: Who represented the machinery companies in Veracruz and at the local level? What was the background of these people? How were decisions about improvements in irrigation and communications made? Who got the building contracts? What was the effect of these projects? How was the production and distribution of fertilizer organized? How did land use change? What groups were interested in new crops and why? How were those changes

implemented? What was impact of all these initiatives on rural communities and *ejidos*? How was the making and implementation of agrarian policies affected by private interests? Many more could be formulated. The central point is that information can be obtained, and it is an essential component of any persuasive explanation of the process of rural change. Without it, one cannot hope to make sense of the development of agriculture in Mexico after 1940. This broad insight guides my proposed research on the history of agriculture in Veracruz.

This is not to say that legislation and government policy are unimportant; rather, the point is that it is misleading to assume that rural transformations can be explained as a function of state action or inaction. In this respect, I expect that my research will provide a novel perspective from which to re-evaluate the significance of agrarian legislation and policies.

As has been mentioned, I will concentrate my research on the state of Veracruz, on the Caribbean coast of Mexico. There are many reasons why it is well suited for this project. The total volume and value of the agricultural production of Veracruz during the period in question are among the highest of any Mexican state. Important cattle-ranching regions are also a part of Veracruz. Moreover, the variety of soils and crops cultivated is impressive and unmatched by any other state. Mexican soils are classified according to altitude as *tierra fría*, *tierra templada*, and *tierra caliente*, and all are found in Veracruz. Besides corn, beans, and chile, Veracruz produces rice, tomatoes, plantains, pineapple, citrus, vanilla, apples, rice, cotton, various vegetables and tropical fruits, and some wheat. Coffee, sugar cane, and tobacco are also very important crops, especially given their link to industrial activities. The systems of land tenure and the social organization of work under which rural production takes place are no less varied: there are villages, plantations, ejidos, haciendas, ranchos, and colonias. In addition, in 1940 30% of the municipalities of Veracruz still had a sizable number of inhabitants (over 25%) who did not speak Spanish, and another 18% also had some. The main ethnic groups in such municipalities were Nahuas, Totonacos, Huastecos, Popolocas, and Otomíes.⁵ Because of this rich diversity, research on Veracruz might shed light on the process of rural change in other regions of Mexico. Finally, the fact that Presidents Alemán (1946-1952) and Ruiz Cortínez (1952-58) were previous governors of Veracruz makes the choice of this state additionally interesting, since they were both ardent promoters of agricultural business.

I have selected the years 1940-1958 because they seem to constitute a distinct period of Mexican rural history. 1940 is a sound point of departure not only because it marks the end of Lázaro Cárdenas' presidency and of his radical agrarian policies, but also because the Second World War set in motion global forces that would significantly increase the opportunities for business in agriculture. Likewise, 1958 seems an appropriate cutoff point for this project because the Cuban Revolution of January 1959, upset prevalent notions about the implications of rural change and hastened the spread of "development" and technical assistance programs into the Latin American countryside. These new programs and the changed political climate appear to mark the beginning of a new phase in rural history.

Intellectual Background

Scholarship on modern rural Mexico reflects the peculiar intellectual trajectory of agrarian issues in twentieth-century Mexican political ideology. One of the best known armies of the Mexican Revolution (1910-1920) fought for the explicit purpose of defending village lands from encroachment. By 1915 these men, led by Emiliano Zapata, had come to demand far-reaching changes in the laws and provisions that governed the most varied aspects of rural life. In the words of their historian, they were "country people who did not want to move and therefore got into a revolution...Come hell, high water, agitators from the outside, or

⁵An excellent source of information on Veracruz during this period is Moisés de la Peña, *Veracruz Económico*, 2 vols., México, 1946. Two studies of agrarian movement in Veracruz during the 1920's and 1930's are: Heather Fowler Salamini, *Agrarian Radicalism in Veracruz, 1920-1938*, Lincoln, 1971 and Romana Falcón, *El Agrarismo en Veracruz, 1928-1935*, México, 1977.

report of greener pastures elsewhere, they insisted only on staying in the villages and little towns where they had grown up, and where before them their ancestors for hundreds of years had lived and died in the small state of Morelos, in south-central Mexico.”⁶ Fragments of their vision of land tenure and agrarian welfare found their way into the Constitution of 1917. Those who emerged victorious from a decade of armed conflict, not “country people” themselves, gave official status to a rhetoric that enshrined the years of upheaval as primarily, if not essentially, a struggle for agrarian justice for (and often by) villages and peasants. Succeeding national governments made a habit of portraying all rural change as the gradual fulfillment of this revolutionary legacy. Scholarly studies of the Revolution by and large concurred.

For years, the agrarian interpretation of the Mexican Revolution cast a long shadow over the Mexican countryside. Historians studied rural change almost exclusively from the perspective of legislation and government policy, and the reform of land tenure systems was their principal concern. The history of the countryside was essential regarded as the conflict-ridden process of implementing the promises of the Revolution. This is the “agrarian” approach mentioned above.⁷ Since 1968, a series of political and economic crises have shattered the credibility of the “agrarian revolution,” and interpretations of rural change that relied on a revolutionary mandate are no longer acceptable. Historians are now faced anew with the task of identifying the forces that have shaped post-revolutionary rural society. My research project proposes to do just that for the period after 1940. By focusing on the business of agriculture in rural Veracruz, I seek to establish a new conceptual framework for the study of modern rural history.

Theories of “economic development” have also influenced the study of modern agriculture. Although historians of rural Mexico have not yet ventured past the 1930’s, other social scientists have written on Mexican agriculture after 1940. These are the “agricultural” studies mentioned earlier. However, much of this literature on modern rural change has been dominated by the assumption that there is a general concept of “agrarian reform” able to explain seemingly concerned attempts to alter both rural land tenure systems and “traditional” patterns of cultivation and technology. “Agrarian reform” has thus meant a “complex process of directed change” in which a “government,” “state,” or “planner,” prompted by possibly contradictory yet discernible objectives, sets about to implement policies designed to transform selected aspects of rural society.⁸ The fact that Mexico underwent a lengthy process of “agrarian Latin America”⁹ — and that the first international technical assistance program in agriculture was implemented there, made the country a compelling case study for social scientists interested in the theory and experience of “development.”¹⁰ Thus this second type of scholarship has also tended to focus on State action, in this case aimed at achieving “modernization” or “development.”¹¹

⁶John Womack, Jr., Zapata and the Mexican Revolution, New York, 1968, pp.ix. Also Arturo Warman, ...Y Venimos a Contradecir: Los campesinos de Morelos y el Estado Nacional, México, 1976, Ch.3.

⁷A notable example from the 1930's is Eyler N. Simpson's The Ejido: Mexico's Way Out, Chapel Hill, 1937.

⁸This standard terminology is taken from Elias H. Tuma, "Land Reform and Tenure," *Encyclopedia Britannica*, 15th edition, pp. 558-565.

⁹Steven E. Sanderson, The Transformation of Mexican Agriculture, Princeton, 1986, p.7

¹⁰Mexico was the birthplace of the "Green Revolution." In 1941 the Rockefeller Foundation sent a team of scientists to Mexico "to examine the condition of Mexican agriculture at first-hand" in order to "help improve the production and quality of its basic food crops." The Agricultural Program of the Rockefeller Foundation, the first venture in what has been called "cooperative agricultural development," began in Mexico in 1943. See E.C. Stakman, Richard Bradfield, & Paul Mangelsdorf, Campaigns Against Hunger, Cambridge, Mass., 1967, pp. vii-viii.

¹¹See, e.g., Cynthia Hewitt de Alcántara, Modernizing Mexican Agricultural "Socioeconomic Implications of Technological Change, 1940-1970, Geneva, 1976. Also Centro de Investigaciones Agrarias, Estructura Agraria y Desarrollo Agrícola en México, México, 1974. The anthropological literature merits separate consideration. It has made

In this regard, I believe that our understanding of the transformation of rural social relations and of agricultural in Mexico since 1940 will benefit from research that does not take for granted the concepts and analytical premises that form the basis of “development” thought. Post-1940 rural history must instead seek to explain the origin and impact of these new modes of analysis and intervention, themselves a product of the period in question. Historical research must provide a context within which those developments (in every sense) can become more readily understandable. In particular, this requires moving beyond the concept of “agrarian reform” as described above. I believe that my project can contribute to this task. Agricultural business picks up dramatically during the presidencies of Avila Camacho (1940-46) and Alemán (1946-1952), precisely when the notion of having rural development strategies and programs for countries like Mexico is being articulated for the first time.¹² This is not likely to be merely coincidental. It is my intention to document and analyze the links between these simultaneous phenomena, opening up the topic for future research.

Methodology

My research strategy has two parts: first, to draw a detailed picture of the actual conditions of agricultural production — land quality, water resources, tools, social organization of work, seed, crop selection, credit, agricultural calendars, etc. — and of land tenure systems in Veracruz as these change during the period in question. The main sources for this would be government and diplomatic documents and statistics, community archives, newspapers, agricultural manuals and other specialized publications, anthropological studies, and field interviews. The second part is to reconstruct the agricultural business networks in the state during those years. Here the sources would be company and private papers, business publications, local newspapers, community records and especially oral history. Once this is completed I should be able to outline the role those business interests playing in determining the trajectory of rural change. This would be illustrated by means of case studies of communities, private farms, and the lines of business selected on the basis of the information I am able to gather.

The sources for this study are located in Mexico and the United States. I am now working with the U.S. materials, which include company papers, documents from the Departments of State and Agriculture, the Rockefeller Foundation archive, technical studies commissioned by international organizations, and a vast secondary literature on agricultural science and technology. The Mexican sources I wish to study are located in Mexico City and in Xalapa, Veracruz. Preliminary research conducted in these cities over the last three summers has given me a very concrete idea of the range of available material. Thus I am confident that the work I would need to do in Mexico can be completed in a twelve-month period.

My plan is to spend four months in Mexico City consulting the archives of the Ministries of Agriculture and Agrarian Reform; presidential and private papers housed in the Archivo General de la Nación (e.g., the Gonzalo Robles archive); contemporary newspapers at the Hemeroteca Nacional; records from national chambers of commerce; the specialized collections of the libraries of the Banco de México and the Escuela Nacional de Agricultura-Chapingo; and possibly the archive of the Confederación Nacional Campesina.

In July 1990, I worked in the Biblioteca de Cuerpo Consultivo Agrario of the Ministry of Agrarian Reform, set up to assist lawyers handling agrarian reform cases. With the assistance of the librarian, Lic.

valuable contributions to the understanding of rural social relations at the community level. As such, many village studies, ethnographies, and analytical essays on modern rural Mexico are useful references for historical studies such as the one I propose to undertake. In this respect, the works of Arturo Warman and Paul Friedrich are particularly noteworthy.

¹²It is interesting to note that the Food and Agricultural Organization of the United Nations was officially founded in October of 1945. See, e.g., Gove Hambidge, *The Story of FAO*, New York, 1955. The United Nations Economics Commission for Latin America (ECLA) was created in 1948.

Mercedes Espíndola, I was able to consult useful documentation, including a complete collection of the Diario Oficial. Particularly noteworthy was the “Perfil Agrario de Veracruz,” an unpublished statistical study of all agrarian reform activity in Veracruz since 1915. It provides rich and detailed information on every municipality in the state, and should be of great assistance during the first part of my research.

While in Mexico City, I would be affiliated to the Centro de Estudios Históricos of El Colegio de México as a visiting student researcher. Dra. Alicia Hernández, director of the Centro, and Lic. Mario Ojeda, president of the Colegio, are familiar with my project and have pledged the support of their institution. I look forward to discussing my ideas on a regular basis with the faculty of the Colegio and with other scholars residing in Mexico City. In particular, Dr. Enrique Florescano and Dr. Arturo Warman have expressed their willingness to talk about my work and offer advice along the way.

For the remaining eight months I would be based in Xalapa, Veracruz. My stay in Veracruz would be devoted to archival research and to fieldwork. The holdings of the recently constituted Archivo General del Estado de Veracruz include documents from the Department of Agriculture and the Governor’s Office, as well as legislative records and a complete collection of the state’s oldest newspaper, El Dictamen. During my visit I was able to see considerable documentation for the period after 1940, little of which has been consulted by scholars. I have discussed my project with the director of the archive, Dra. Carmen Blázquez Domínguez, who has pledged to assist me. The Comisión Agraria Mixta in Xalapa keeps records of agrarian reform activity in Veracruz and is open to scholars. I would also consult the archive of the Liga de Comunidades Agrarias del Estado de Veracruz. Olivia Domínguez is currently cataloguing it and will allow me to work with it. In addition, she has offered to help me gain access to some of the local archives of member communities.

I have made arrangements to be a visiting researcher at the Centro de Investigaciones Históricas of the Universidad Veracruzana during my stay in Xalapa. This is very important for the success of my research because the Centro brings together a number of historians of Veracruz. I have had conversations with Richard Corzo, Olivia Domínguez, and Abel Juárez, among others, and their familiarity with sources and local institutions has already proved useful. I expect the Center to offer me office space and photocopying facilities. Sharing my work with these historians would be one of the most rewarding aspects of my trip to Mexico.

Reconstructing agricultural business networks in Veracruz for the period in question will involve conducting research in the local chambers of commerce; locating regional trade publications; searching for private papers, book collections, and business records; and especially travelling around the state in search of oral accounts and testimonies. The aim is to identify people and organizations who were involved in business and to learn about their activities. This part of my work is especially important not only for the conceptual reasons outlined above, but also because it incorporates research strategies that future scholars, further removed from the period in question, will not be able to employ. The range of contacts I have established with local historians at the Centro de Investigaciones Históricas should prove very useful in this respect. Other scholars in Mexico City who are natives of Veracruz have also offered to provide contacts. To this end, I have also approached the Instituto Nacional Indigenista. Through its research director, Dra. Maya Lorenza Pérez Ruiz, I have arranged to share my research ideas with the staff of anthropologists at the INI’s Coordinadora Estatal de Veracruz. I would then be allowed to join them during field trips to the rural communities with which they work, thus getting an opportunity to learn firsthand about those villages and to investigate the role of business interests therein.

Preparation

This project has evolved from a long-standing personal interest in “development” studies and rural history, and had been approved as a dissertation proposal by Harvard’s History Department. It was formulated in consultation with my advisor, Professor John Womack, who specializes in modern Mexican history and is an expert on Veracruz. He has been especially helpful in locating obscure bibliographical

materials, and in suggesting research strategies. I have also benefited from the advice and encouragement of the rest of my PhD examiners: Professor John Tutino, who taught me colonial Mexican history; Professor Alfred Chandler, who taught me American business history; and Professor Thomas Bisson, who introduced me to medieval rural history and to the words of Marc Bloch.

Mexican rural history after 1940 remains to be written. My proposed work on business and agriculture in Veracruz between 1940 and 1958 will be a solid and innovative first step in that direction. It will demonstrate the necessity of incorporating business into the study of rural social relations. I am confident that the results will establish an agenda for modern agricultural history that subsequent scholarship would not be able to neglect.

Note: The candidate also included a one-page “Selected Bibliography.”

SAMPLE BIOGRAPHICAL ESSAYS FOR FELLOWSHIP APPLICATIONS

Some applications ask for a c.v. or seek a more extended biographical essay — for example, the Fulbright Institute of International Education application includes a c.v. in essay form that asks for such personal history as family background, intellectual influences, enriching experiences and how they have affected you. **Whether it is a standard c.v. or a biographical essay, it is important to be selective and to present those aspects of your background that emphasize how well qualified and well suited you are for the particular fellowship.** The essay is not the occasion to “tell the story of your life.” A good idea in preparing to write the essay or c.v. is to make a list in hierarchic order of what you think are your most outstanding qualifications and then work them into a personal essay or a c.v. In organizing a regular c.v. the typical procedure is to list things in reverse chronological order, since your most impressive qualifications or experiences are probably your most recent ones. For the same reasons you might even want to organize your biographical essay in that fashion: you need not start from the beginning—it is possible to work backwards.

The two examples presented here — both written for the Cultural Exchange Fulbright application — show how effectively the biographical essay can convey the unique qualities of a candidate. Note how the examples combine the requested personal history with some of the more standard items of a c.v. such as scholarly or other professional achievements.

Biographical Essay of Jorge Santez

Twenty-seven years ago my mother gave birth to me in Arecibo, a small town on the northern coast of Puerto Rico. My family did not, however, spend much time in Puerto Rico following my birth. Before my first birthday, my father joined the United States Air Force and we moved to South Carolina. Two years later we went to San Antonio, Texas, where we lived for two more years.

Apparently nostalgic for the tropical scene, my father successfully requested a transfer to the Air Force base in Ramey, Puerto Rico. We made Ramey our home for three years, until my father left the Armed Forces, honorably discharged. Already with a troop of his own — five children, a wife, and a mother-in-law — he moved to Guaynabo, Puerto Rico.

In Guaynabo, I experienced physical stability for the first time. I did not leave until nine years later to go to college. One of the most significant aspects of this period was my Jesuit high school education at Colegio San Ignacio de Loyola. The Jesuits, some of whom I still keep in touch with, instilled in me a passion for learning and community service.

I left home in 1979 to attend Harvard University, where I took a degree in economics and philosophy, magna cum laude. I wrote a Senior Honors Thesis under Robert Dorfman and John Rawls contrasting the philosophical underpinnings of Classical and Marxian economics. The thesis argued, more specifically, that the different understanding of what scientific concepts are in these two traditions contributes significantly to their divergence in approach and results.

Right after college I entered Yale Law School, attracted by its philosophical and interdisciplinary bent. At Yale, in addition to taking captivating courses and being a senior editor for the Law Journal, I was able to start teaching. I worked as a teaching fellow in the course “Civil Procedure” at the law school and in “Philosophy of Law” in the philosophy department. I met the law school’s supervised analytic writing (SAW) requirement with a paper under Owen Fiss on German philosopher Jurgen Habermas’ notion of rationalization of law and did clinical work for a New Haven public interest law firm. After law school, I took a one-year position as a judicial clerk for U.S. Court of Appeals Judge Stephen Reinhardt in Los Angeles.

In 1987 I joined the graduate program in philosophy at Harvard University. I pondered considerably my choice. In college and law school, my philosophical interests had centered around the so-called “continental” philosophers: Fichte, Hegel, Feuerbach, Marx, Habermas. During my law school days, I even began learning German in order to pursue this interest further. I opted for a department known for its strength in Anglo-American “analytic” philosophy, however, because I wanted to be well-versed in this rich and rigorous tradition. In fact, my research and writing will involve the two traditions. I want to study the philosophy of Hegel as well as its relevance to contemporary analytic political philosophy.

Given my area of specialty, studying in Germany is indispensable for me. Effective scholarship in Hegel requires mastering the German language. By the end of this year, I will have taken almost four years of German. The next logical step is to spend some time speaking and reading the language on a regular basis. In Germany, moreover, I would have wider access to the primary and secondary sources on Hegel and invaluable exposure to German students and professors dedicated to Hegel. A direct acquaintance with these material and human resources available will help me significantly not only with my doctoral investigation but undoubtedly with my future professional work as well.

As this essay has perhaps already suggested, I am committed to a career in academia. This aspiration has developed over many years. Throughout my life, I have encountered numerous situations and people that have taught me to love cultivating and sharing ideas, as well as investigating their practical applications. As a professor, I will be in a unique position to pass on this love to generations to come.

Biographical Essay of Ruth Kolman

One of the lessons I have learned at Harvard is how thoroughly I am a product of my West Coast upbringing. I grew up near San Francisco, privileged with good public schools, beautiful surroundings and a strong, devoted mother. When I was ten my parents divorced. On holidays I flew with my two brothers and sister, sometimes alone, to Catalina Island where my father, living with his wife and younger children, practiced medicine. Despite the emotional wear and tear, growing up in a divorced family made me independent at an early age and taught me how to adapt to new surroundings.

I first awoke to a world beyond California at fifteen when I spent a year as an exchange student in a small northern German town. All of my studies and travels since have been shaped by the curiosity that first introduction to a foreign culture and different national history sparked. Living in Europe, I was confronted with new, sometimes negative images of the United States. I instinctively defended my country and world view, but was often overwhelmed by my politically engaged German peers. I returned home with a strong desire to sort out the conflicting views of America I had encountered.

To better understand America's world role, I chose to study political science at the University of California, Berkeley. I spent my junior year at Goettingen, where I began reading twentieth century German literature to understand how the nation dealt with its National Socialist past and the problem of national identity. Curious about how American culture had been used to fill the cultural vacuum of the postwar period, I researched and wrote a paper on U.S. Armed Forces' German-language newspapers.

Moving to Japan to teach English I was instantly struck by the superficial similarity of the rebuilt urban environment with German cities. When I learned of Japanese customs and talked about cultural differences with students and friends I inevitably referred back to Germany. My personal experiences and studies of modern history have made it impossible to speak of one country without the other. The themes of my current research, specifically the social impact of war and occupation, and the production of memory, history and identity come from questions that arose while living in each country.

My earning a PhD is, in a sense, a result of both frustration and idealism. Growing up in the 1960's and 1970's in California left me wanting to change the world. I have been overwhelmed by the task. The possibility of teaching people to think critically, to recognize a multiplicity of histories and to challenge fatalism and passivity, however, has encouraged me to devote myself to academics. As a new graduate student from the West struggling to adjust to Harvard I often thought my communication skills were being wasted in the library stacks. Teaching discussion sections for Core courses on Japan has cleared up such doubts. I set off to research abroad with a new kind of idealism. I strongly believe that my dissertation will not only contribute to much needed scholarship on Asia but will be significant for future U.S. - Japanese relations.

SAMPLE CURRICULUM VITAE FOR FELLOWSHIP APPLICATIONS

ROBERT BRADLEY

Home Address
E-mail Address

Office Address

EDUCATION

Harvard University, PhD Political Science, expected June 1997

Harvard University, M.A. Political Science, June 1993

Free University of Brussels, 1990
Institute of European Studies

Middlebury College, B.A. *summa cum laude*, May 1989
Political Science/French
Junior Year at l'Institut d'Etudes Politiques, Paris

GRANTS AND AWARDS

Krupp Foundation Fellowship, 1993-1994
ITT International Fellowship to Belgium, 1989-1990

PUBLICATIONS AND PRESENTATIONS

Discussant, Panel on the "State and Social Regulation," Conference Group on Italian Politics, American Political Science Association convention, Washington D.C., August 30, 19—

"Rediscovering Les Patrons," French Politics and Society, Fall (19—): 35-40.

TEACHING EXPERIENCE

HARVARD UNIVERSITY

Teaching Fellow, Government Department and Core Curriculum 1992-1994

Conducted weekly discussion sections, graded research papers and examinations, and helped prepare examination questions in the following courses:

"International Conflicts in the Modern World" Spring 1994 (Core Curriculum). An introductory course on the causes of interstate conflicts. Topics include the 19th century balance of power, imperialism, the origins of World Wars I and II, the Cold War, nuclear deterrence, and international economic conflicts.

Robert Bradley, page 2

“U.S. Foreign Policy” Spring 1993 (Government Department). A survey of American foreign policy in the twentieth century towards the Soviet Union, China, Western Europe, the Middle East, Africa, and Latin America. Also considered were the Vietnam war, human rights, and the policymaking process.

“Political Development of Western Europe” Fall 1992 (Government Department). A comparative analysis of the economic and political development of Britain, Germany, Italy and France.

RESEARCH AFFILIATIONS

Graduate Student Associate, Center for European Studies, Harvard University, 1994-95

Co-Chair, Study Group on Monetary Policy, 1994-95

Visiting Scholar, Council for the United States and Italy, Rome, 1992-93

ACADEMIC SERVICE

Non-Resident Tutor, Lowell House, Harvard University, 1994-95

Serve as academic advisor to Government concentrators.

Assistant Head Tutor, Government Department, Harvard University, 1992-94

Responsible for advising undergraduate majors in Government and for administering junior tutorial program.

RELATED PROFESSIONAL EXPERIENCE

Assistant to Press Attache, U.S. Embassy, Belgium, December 1989

LBJ Congressional Intern to the Honorable Lee H. Hamilton, Summer 1989

FOREIGN LANGUAGES

French, German, Italian, Spanish.

CHAPTER SIX

PUBLISHING SCHOLARLY WORKS

PUBLISHING JOURNAL ARTICLES OR BOOK REVIEWS

“Publishing Scholarly Works” is the title of an annual publishing seminar offered by the Graduate School of Arts and Sciences. Below is a summary of the main points of the past few sessions. Speakers are faculty members who serve as editors or other guests affiliated with journals or a university press.

In the science fields, where publishing is by an large confined to journal articles, the submissions tend to be a team project growing out of work done in the research lab or a research team. Typically, the order in which authors are listed for a team project follows the well-established convention of putting the name of the principal contributor first and the head of the research lab last.

One point that was agreed upon by all the speakers on the publishing panel is that it is well worth trying to get an article published as a graduate student. A published refereed article is a powerful entree into the field. And all agreed that a seminar paper, or in science, a research write-up, is a good starting point. One speaker said he makes it a practice to urge students who have written a strong seminar paper to try to rework it for publication.

Another speaker took an even more extreme position on the goal of publishing as a student, and said that research and publishing are the same thing — that learning how to do the one is like learning to do the other. In each case, you are learning how to make your own points and how to relate them to the scholarly dialogue in your field; publishing is an advanced stage of research. When you write a seminar paper in the humanities and social sciences, you are fulfilling two goals that are also true of published articles: a) it has to be important to the world, and b) it has to contribute to the scholarly literature (although another speaker warned against the pitfall of trying to fill the famous “well-deserved gap” in the literature). If you fulfill both of these goals, you are doing more than just building your own career; you are also being a good citizen, a good teacher, and a good critic.

The close link between research and publishing does not mean that either enterprise is easy; students have much to learn in order to do good research. Almost everyone makes mistakes, and many articles get rejected. Nevertheless, students should make sure that professors know that they are trying to write publishable articles when they write seminar papers. Students should try to get professors to comment on seminar papers in terms of what is needed to make it a publishable article. This may not produce immediate results in terms of getting published, but that should be your aim with seminar papers. The published article should be your model.

Other speakers offered further advice on how to convert a seminar paper into a journal article. They stressed that the process requires reshaping and revision. An article must make an explicit and pointed argument; it must be a complete argument in itself. One speaker observed that seminar papers often convey ideas by indirection; a seminar has a shared sense of what the question is, and a communal vocabulary. For an article, the hidden “gems” of a seminar paper have to be brought out and polished. It must have better signposts as to where it is going and must locate itself very carefully as part of a larger discourse, making its claims very clearly. A dissertation chapter may work less readily as an article. It is a good idea to try to look at it from the reader’s point of view to see if it will work, but that can be very difficult for an author to do.

Another speaker was even more emphatic about the need to give an article a clear focus. He suggested two rules: a) an article should make only one major point, and b) an article should make at least one major point. He observed that learning how to shape material into one point is very difficult, especially because the early

stages of research involve dealing with the unknown. He stressed the need to marshal arguments, to force issues to a point, to develop a sense of logical progression — so that the result is not just a series of loosely connected sentences, but an argument with a profile, a shape, a contour.

All the speakers suggested that before making revisions on a seminar paper or thesis chapter the student should let it sit for a while. It is important to be able to externalize this piece of work, to allow some distancing, rather than having your ego completely involved. This is especially important if cutting is required; otherwise, it's "like doing surgery on your own arms." When you pick up the writing again, work on it as if you have never seen it before. Then, after a few drafts, get criticism from advisors and colleagues. Don't go too far without feedback; early help is best. Most professors will be supportive and actually enjoy this kind of participation. Finally, before you submit the article to a journal, get one last reading from a specialist in the field, preferably someone who does not know you personally.

Another point that was emphasized by all the speakers was the importance of selecting the appropriate journal — understanding the journal's mission, its audience, and what is expected of an author. They agreed that graduate students have a better chance of getting published if they avoid the major or high prestige journals in their field. They suggested choosing some of the smaller and more specialized journals, finding the special niche that might be closely matched with the work that the student was submitting — a journal that may have been used in the student's own research. One speaker stressed that there has been a proliferation in the number of scholarly journals in the last few decades. He noted that this was both good news and bad for students. On the one hand, students had more outlets for publishing; on the other, there was a greater expectation that students would publish which was accompanied by greater competition among students who were submitting articles.

The process of choosing journals for submission should involve asking professors and specialists in the field. It should also involve reading through the last several issues of potential journals, noting who the authors were, and the likely audience as well.

The speakers also gave practical advice on how to submit an article, and what steps occur after that. They all agreed that in submitting articles, it was best to send the whole article at the start, rather than an outline or synopsis. They also felt that cover letters can be used, but are not very helpful; nor is a cv (this is in contrast to book submission where a cover letter and cv and synopsis are advised — see the summary below of the book publishing seminar).

They suggested that an appropriate length for an article is between 30 and 35 typewritten pages double-spaced. They noted that each journal has its own written style sheet and guidelines for the format of a submitted article, so be sure to learn those before submitting. Another point that was emphasized was the importance of the initial impression of the manuscript; it is essential to avoid spelling or grammatical errors. One speaker said that a well-written paper is much more likely to be accepted than a poorly written paper even if the contents were the same.

The speakers were all emphatic that authors should not submit an article to more than one journal at a time. The production of scholarly journals is a service to scholars — in contrast to book publishing, which is a competitive business. Multiple submissions of journal articles would be considered unprofessional, and could be harmful to an author's reputation. (The speakers noted that many book publishers also object to the practice of multiple submissions, and authors who wish to do so should first inform publishers, who in turn may not wish to consider the manuscript under those conditions.)

Once an article is submitted, there are variations in evaluation procedures among journals. Normally, an article is read first by an inside reader and then submitted to outside readers for peer review — usually two readers who are specialists in the appropriate field. Many journals — especially the larger ones — have an

Editorial Advisory Board; articles are assigned to the appropriate Board member who then solicits outside reviews. Members usually serve on a Board for a specific term. In most cases, the author of the article remains anonymous; the outside readers may also remain anonymous, but need not be. If the peer reviews are encouraging, revisions will be suggested. The author then revises — it can be extensive, or just minor changes — and then the author resubmits. Outright acceptance is rare. Speakers warned that doing extensive revisions may not guarantee publication. You can try to find out what your chances are, but you may have to decide whether it is worth doing the work and taking the risk.

The speakers were candid that during the revision process, the relationship with editors was less favorable for students than for senior scholars; students in all likelihood would have to make suggested changes. One speaker gave the wise advice that even if a student strongly disagrees with suggested revisions, the student should keep in mind that the readers are part of the audience that has to be addressed. It is best to read negative comments constructively. Why not try to figure out what is really bothering the readers? There may be a need to restate a position in order to be sure it is correctly understood. After all, if one reader has had a misunderstanding, others might well do the same. Worded another way, the suggested strategy was that instead of meeting the objectionable force head on, go with the criticism some of the way — try to deflect it.

Timing for the reviewing process can take two months, but is usually longer; instant gratification is rare. For any journal, if there is no response after two or three months, it is acceptable to inquire — in all probability, a reader has unintentionally caused the delay. Once an article is accepted, it can take quite some time before it actually appears in print. Many journals, although not all, have a backlog, which causes further delay. If an article is rejected, an author can ask for the readers' comments. In most cases, a student will also have discussed the article with a faculty advisor, and it is helpful to return to the faculty advisor for further consultation. One speaker observed that chance has a lot to do with whether or not an article gets accepted. It depends on who the readers are, the competition for that issue, and how the various submissions balance one another.

On the subject of what to do if an article is rejected, two views were offered. One was to send it out to another journal immediately, operating on the assumption that you have done the best you can with the article. An alternative is to try to learn from the experience and to assume that you need to re-write and to make your point more clearly. Reviewers often can see what you meant to say, or what was in the back of your mind. Make sure that your article is not a "mystery novel;" set all your results up front, organize so clearly that even readers who have fallen asleep momentarily will know where they are when they awaken.

The speakers also addressed the possibility for students to publish book reviews. In most cases, senior scholars are asked to do book reviews, but senior scholars may suggest appropriate students for the assignment. Editors sometimes know of students working in particular fields and approach them directly. It is also possible for students to send their cv's to editors, so they might be kept in mind for the appropriate review. Submitting unsolicited book reviews to scholarly journals is not done — once again, because the journal normally chooses the book reviewer well before the book has appeared in print. One student asked how a student reviewer could deal with a book that deserved a negative review. The speakers concurred that doing negative reviews is a highly delicate and complicated matter throughout one's career. It can be just as difficult to write a negative review for a close colleague — and one acquires many close colleagues — as it can for a scholar who is more senior. It is possible to decline to do the review. In any case, a negative review should be honest, but never vicious. Reviewers should avoid being rash or intemperate.

During the question period, a student asked if there is a distinction between a seminar paper that is good enough to deliver at a conference and one that is good enough for submission to a journal. While the speakers did not have any consensus on this issue, they did strongly recommend giving papers, noting that it would help to demystify the whole process of sharing scholarly work. One speaker also stressed that editors are human, and that students should not be afraid to approach them and ask questions about their papers.

Another student asked if publishing a number of dissertation chapters as articles would jeopardize eventual publication of the dissertation as a book. The speakers agreed that if these chapters were good enough to appear as articles, then the dissertation would be viewed in a favorable light as well. They ended by urging the students once again to keep writing, to give conference papers, to be active as professionals in the field. They added one bit of cautionary advice — that time is scarce and that students should not interrupt their doctoral work for too long while trying to get published. One refereed published article was sufficient as a powerful entree into the field.

Note: Journals that publish articles normally supply the author with a number of article reprints. If you publish an article, it is especially helpful to send reprints to scholars with similar interests to your own, enclosing a brief cover note to express this shared interest. (Your list may include scholars in other disciplines, or who for other reasons, may not have seen the article.) Reprints are also valuable to use when applying for academic jobs.

PUBLISHING BOOKS

Below is a summary of the main points of the past few sessions. Speakers included editors from both trade publishers and university presses. **The advice below pertains almost exclusively to fields in the humanities and social sciences. Publishing in the science fields, as noted, is almost exclusively journal articles, reporting on research projects.**

A principal point that was agreed upon by all of the speakers is that publishing is a business; publishers want to sell books. This of course has important implications for how to submit a manuscript and where to submit it. Above all, it means that you cannot submit your dissertation as it is to a publisher — a dissertation is not a book.

A dissertation and a book serve very different purposes and have different audiences. A dissertation is your passport into the profession. You need only convince a small body of people that you “know your stuff.” A book assumes that you already have that knowledge; it requires a different tone. You don’t have to prove that you have read everything. In fact, you should streamline the book, omitting much of the scholarly apparatus of the dissertation. Eliminate scholarly passages that review the literature. Condense or eliminate footnotes, using endnotes instead. Make your style accessible to as wide an audience as possible, avoiding the formal tone or technical jargon or other characteristics associated with a dissertation. An editor of a university press thought that there might be a new trend emerging in which dissertations were being written more directly as books from the very start — a development that would require the support and even leadership of dissertation advisors as well. For a book that deals in greater detail with the traditional distinction between the dissertation and a book, see *The Thesis and the Book*, edited by Eleanor Harman and Ian Montagnes, Toronto University Press, 1976.

One speaker presented a hierarchy of types of publishers in terms of the size of their potential markets — starting from the smallest market: 1) subsidized series, 2) small university presses, 3) major university presses, 4) small trade houses, and 5) major trade houses. In submitting a manuscript, you should keep this hierarchy in mind and assess the nature of the manuscript in terms of the potential size of the market — i.e., consider how many people will care about the subject of your particular manuscript

Before you approach a publisher, you should pose some tough questions to yourself: What makes you think your book will be published? What makes you think your book will be sold? What is new or different about your book? What can you do to persuade someone who seems indifferent to the importance of your manuscript? Thinking about the answers to these questions — even thinking ahead about jacket copy — will

help you to prepare. He further suggested that understanding what is involved in selling a book is almost the same as understanding what is involved in writing a book.

When a book by a trade publisher is being marketed, a sales representative has approximately 15 to 30 seconds to persuade a seller to market it. If you have answered the tough questions above, you should be able to provide the persuasive “one-liner” that will capture attention. There are approximately 50,000 books published each year, and book sellers can be very skeptical about the potential success of a new book. Furthermore, bookstore chains now control much of the business, and most of the finer book stores are in serious financial trouble.

On the positive side, this speaker observed that serious nonfiction is “the hottest thing” in trade publishing houses, which can be seen from current best seller lists.

The editor is the point of access to a trade publisher, but he or she does not make the decision alone. There are editorial committees, and the decision is a group process.

Another speaker described the somewhat gentler world of the university press, although he too emphasized the importance of submitting your manuscript to an appropriate publisher, as well as the importance of making a polished presentation in all parts of your prospectus.

A major difference between a trade publisher and a university press is that books published by the latter do not get sold in book stores. Scholarly monographs are sold through direct mail sales, or are sold to libraries and wholesalers. Ads are also placed in professional journals.

There are over 79 university presses and 5 international ones. Since most presses are inundated with proposals by scholars, your chances of capturing attention will be enhanced if you do your homework and choose the most appropriate publishers for your particular work. The following suggestions were offered for making this choice:

- Network among specialists in the scholarly community for suggestions.
- Browse in book catalogues and in bookstores to see which publishers are publishing in your field. Note the visual appearance and overall quality of their publishing work.
- Smaller university presses may be more appropriate for research monographs. You can start at that level, and eventually work your way up to a larger press. Your work must conform with what a publisher does.
- In some fields, there are smaller presses that are more prestigious than larger ones.
- For a more systematic search for the appropriate university press, see *The Association of American University Presses (AAUP) Directory*, published by the AAUP, 564 Broadway, New York, N.Y. 10012. It contains a grid by subject matter and press. It also contains the names of editors and their departments or fields, plus the address and telephone number.
- Another source is the *Literary Market Place (LMP)*, an annual volume published by R. R. Bowker. An international version (ILMP) is also available. This source lists every publisher in the country. It gives skeletal breakdowns about the publishers, geographical location, and subject breakdowns as well.

Submitting unsolicited proposals to publishers is commonly done, and it is possible to submit proposals to more than one publisher at a time. Submitting an unsolicited manuscript should be avoided. If you receive an invitation from more than one publisher to submit your manuscript, you must inform each publisher before you make a multiple submission. Many publishers will not want to invest the time and energy required for reviewing a manuscript unless they have an exclusive option, and you need to know each publisher's policy before you take any action.

The proposal consists of four items: a cover letter, a table of contents, a sample from the manuscript, and a curriculum vitae. It is important to personalize this packet and to address it to a particular person. Anything that looks like a mass mailing will not have a good chance of being considered. The sources cited above will help you to identify the editor's name. You can also telephone a publishing house and ask for the appropriate name.

The cover letter should give a brief description of the book — a “one-liner” that presents the essential core of the work. It should emphasize what is new and unique about the work, who is the potential audience, and basically why it should be published and why you think it will sell. Bear in mind that editors are not specialists; be sure that your description is written in an accessible manner — above all, avoid jargon or technical terms that will discourage an editor from reading it. A good proposal will get read.

It also pays to do your homework about publishers. Show that you have given a lot of thought about why you have chosen this particular press; show that you know what they have published in your field, and then stress how your work fits in with their listings, noting how it differs from what they have already published in your field.

Your letter should also indicate the length of the manuscript, making it clear that you are willing to condense if it is too long — and anything over 400 pages, double-spaced, is long. If there are graphs, tables, or illustrations, indicate how many — once again, making it clear that you are willing to limit the number, if necessary. You should also include a copy of a few illustrations, and offer to provide camera-ready copy of illustrations. This is the author's responsibility — including getting permission for reprints and paying the fees.

Your letter should stress that the manuscript is not your dissertation, that it has been heavily rewritten. Avoid calling it a dissertation. You should show that you are aware of the distinctions between the two and indicate how your book differs from your dissertation. Dissertations, after all, are already available in libraries and on microfilm.

Mention well-established figures who have read the manuscript and responded positively. If any of the material has already been published, this should not be emphasized, since it would not be considered an added attraction for publishers (and in fact you will have to do some revision before it could be included in a new publication). In general, publishers will not want to publish it as a book if more than 50 percent has already been published, especially if published articles have appeared in well-known accessible journals.

Finally, the cover letter should look as good as possible, using letterhead stationery and a good printer. It should be no more than a single page, single-spaced.

For the table of contents, you can use an expanded type, which includes a few sentences describing the content of each chapter. Avoid long chapter titles with many colons.

A writing sample involves an important choice — you should not submit an entire manuscript. Like many writers, you may have left the introduction and conclusion for last, and thus cannot submit them as samples.

You can either choose an attractive and fairly self-contained chapter, or write an overview essay — between 20 and 40 pages. The sample should be double-spaced, done on a letter-quality printer. Once again, a polished appearance is essential.

Submitting a vitae is a common practice. It is not essential, but it can be helpful.

If an editor likes your proposal, you will be asked to submit your manuscript. You should receive a postcard acknowledging receipt of your proposal almost immediately, and you should hear within a few weeks if the publisher wishes to see your manuscript. Trade publishers often accept a book on the basis of a proposal — in many cases, before a book has even been written. This practice, however, applies mainly to authors with a strong track record.

For the review process, you are entitled to ask for a quick response, which is roughly within two or three months. Normally, there will be two or three readers for a manuscript. Some publishers send it out to all their readers simultaneously, which speeds up the review process; others prefer to see an initial review before sending it any further. A good editor tries to avoid sending a manuscript to an unsympathetic reader. You can suggest names of appropriate readers, omitting of course personal friends; even if none are selected, your list gives the editor an idea of who might be a sympathetic reader.

If the review is positive, the manuscript will go to the editorial board. Sometimes revisions are suggested and the decision is postponed. The reviews are submitted anonymously to the author, who is also given a chance to respond.

The next step is a committee meeting to decide on your book. If it passes that stage, the last hurdle is the Board of Syndics or Directors. At this level, they often do not read the manuscript, but simply the package of readers and editors' reports and author's response. A book cannot be published without their approval.

Finally, the manuscript is back in your hands for producing a final acceptable version.

If your manuscript is rejected by a publisher, do not be discouraged. All of our speakers stressed that this is a very human and subjective process, rather than a scientific discipline. Many rejection decisions are made apart from the intrinsic quality of a book. It could be a business decision; a similar topic may have done badly the previous year. Be persistent and try other appropriate publishers.

In some cases, there is an overlap between trade and scholarly presses — Norton or Basic Books, for example, are similar to scholarly presses. It is unlikely that scholarly credibility will be hurt if a scholarly press is not used. A number of scholarly works with broad appeal and an accessible writing style have been published by trade publishers. (The late Barbara Tuchman is an example of a scholar with this kind of appeal.) It is possible to write in an open and accessible style, without lowering standards or popularizing a work. If your book is on the borderline between a trade publisher and a scholarly press, you might even sell more books with a university press; it might be better to be "a big fish in a little pond."

Textbooks are another type of publication. They were described as the most profitable part of the business. In talking to textbook publishers, you should focus on course adoptions, indicating why it's appropriate for various courses, and discussing its advantages over its competitors.

Another speaker observed that while publishing indeed is a business, publishers are very committed to their author and publication lists. This is a commitment despite the fact that 80 percent of published books are unprofitable, with many unsold books landing back in the publisher's warehouse.

Also on the positive side, there has been much growth in the world of scholarly publishing, which may well continue. As the trade houses become more and more commercial and the number of them grows smaller, we may see a proliferation of small presses and increasing importance of academic presses.

In the area of trade publishing, one speaker emphasized that you will need a literary agent. There is a paradigm shift taking place, and agents have almost become first readers for editors. Agents are a good source of literary and editing advice — once again, replacing a role that editors used to play. They also know how to read publishing contracts. However, getting an agent is not an easy task — it is almost like getting a publisher. The agent paradigm applies mainly to trade publishing, and is seldom used for university presses. You can find a list of agents in the Literary Market Place, although names suggested by published authors that you know are an even better source.

During the question period, Publisher's Weekly was cited as another important guide to the publishing world. It reviews all kinds of books, and provides a good overview of what is being published and where. The New York Times Book Review is another good source.

For the student who wanted to know about getting short stories published, one speaker observed that both the New Yorker and the Atlantic will give stories a good reading, without the intervention of an agent. In approaching an agent or a publisher, a writing sample should be around five pages, carefully selected to show how well you write.

The normal financial arrangements in a trade publishing contract include an advance when the contract is signed, and then the remainder when the complete manuscript is submitted. Additional payments depend on the number of copies sold. Some sample figures are: 10 percent of the retail price for 5000 copies; 12.5 percent for 10,000 copies; 15 percent for over 10,000 copies.

You can only make a living on advance royalties if it is a trade book; it is out of the question with royalties from university presses, which pay relatively little. There is also not much point in negotiating royalties with a university press; they are fairly standard.

CHAPTER SEVEN

BEYOND THE DOCTORAL PROGRAM: APPLYING FOR TEACHING POSITIONS

ENTERING THE ACADEMIC JOB MARKET: THE DISSERTATION AS A KEY FACTOR IN THE DECISION

The dissertation is the item of greatest interest to most hiring departments, serving as the most important means of distinguishing among candidates. It is therefore essential to be far enough along on the dissertation when entering the job market so that you will be able to communicate about it effectively in all contexts that are connected with the job hunt: the dissertation abstract that normally accompanies the curriculum vitae, the cover letter, the interview, and the job talk. If you enter the market prematurely, before you are ready to make a strong impression, you risk running into trouble on the next round, should some of the same hiring departments have unfilled openings in your field. Although the progress of the dissertation can be unpredictable, if you really feel on top of your material, and if there is a chance that it would be finished in time for a June degree of the academic year of the job hunt, or even in time for a November degree in the following fall, then you should seriously consider becoming a candidate and discuss it with your advisor and with other key people. Most hiring departments will want assurances and strong evidence that you can complete the dissertation before the start of the new position. At the very least, you should be able to prepare a polished chapter to offer as evidence of good progress — which many hiring departments request in any case, and which could also serve as the basis of a job talk. (Having a polished chapter can also be helpful to your advisors in writing strong letters of recommendation — more on that presently.) Some hiring departments are even more demanding, and will not even look at a candidate without “completed dissertation in hand.” There is no hard and fast rule about the best timing for entering the job market; close consultation with your advisor and with others who know your work and who also know the market in your field is your best bet. In fact, entering the job market is something that must be done with the support of your advisor and your other recommenders as well, so keeping them well informed is important.

STEPS TO TAKE ONCE YOU DECIDE TO ENTER THE JOB MARKET; TREATING THESE STEPS AS AN INVESTMENT

Once you decide to enter the job market — again, in consultation with key advisors — you will need to get application materials into highly polished shape as early as possible: the curriculum vitae, cover letter, recommendation letters, and supplementary materials — such as a polished dissertation chapter, a syllabus and reading list from a course or two, teaching evaluations, article reprints if you have any published articles. Hiring departments may ask for specific supplementary materials, but you also may volunteer them (more on this in the discussion of the cover letter and accompanying materials). The order in which these application materials are discussed below suggests a logical way to proceed; however, you will find that you will be working on these items almost simultaneously, since they all must be ready as early as possible for the job hunt.

You should also register with the Dossier Service, if you have not already done so. Within the department, you should go beyond your dissertation advisor and make an appointment to see any faculty member who might be helpful with the job hunt. Many professors are available for advice and assistance, but you must seek them out. Also, the PhD counselors at the Office of Career Services are available to discuss all aspects of your job search. You will also want to consult the OCS publication, *Cracking the Academia Nut*, prepared by former OCS PhD counselor Margaret Newhouse (copyright 1997 by the President and Fellows of Harvard College).¹³

¹³I am grateful to Margaret Newhouse for suggestions as I was preparing the fifth edition of *Scholarly Pursuits*. The first edition came out around ten years ago, and was itself a successor to a booklet on academe that I had written in the early

Above all, we suggest that you think of the process of preparing application materials as an investment. All items should be given the utmost thought and care and unsparing effort, so that they are highly polished and reflect your strengths as effectively as possible. Once you have made this strong initial effort and investment, however, we would then urge you to try to proceed with the job hunt without letting it become an all-consuming process. The task of adapting and refining your cover letter and possibly other items to fit a specific position should be relatively simple if your preparation of the initial “generic” version — your investment — is thoroughly done. We realize how difficult it can be to eliminate the sense of pressure and of high stakes that the job hunt entails. Nevertheless, we do believe that preparing effectively at the outset can make it possible for you to engage in the job hunt and to go on with your life — including not only finishing the dissertation or getting close to completion, but also giving attention to other matters of high priority to you.

PERFECTING YOUR CURRICULUM VITAE

The presentation of academic credentials — whether in the curriculum vitae, the cover letter, or the dossier — has become a crucial part of the academic job hunt. A hiring system that once relied almost exclusively on the “old-boy network” has been altered by affirmative action requirements, giving candidates the opportunity to submit applications for all openings for which they wish to be considered. A growing practice in many departments is to place student vitas on the internet for even wider dissemination. It is therefore essential to prepare a strong curriculum vitae.

This step should precede or at least coincide with your becoming an active candidate. When you have prepared a draft, be sure to discuss it with the appropriate advisors in your department and with a PhD advisor in the Office of Career Services. The following are some suggestions on format and content:

- **The cv is a presentation of your academic qualifications in outline form.** Above all, it should be clearly organized, succinctly written, set in a format that can be scanned quickly for the essentials, and attractive in appearance as well (using good bond paper and a good printer). Note that some categories are identified as “optional,” and some are expected in particular fields and not in others.
- **In preparing a cv it is important to be aware of the norms in your field** — which means taking the steps already suggested, and consulting closely with key people in your department.
- It is also important to pay attention to your own individual strengths and to tailor some of the more flexible categories in a manner that best highlights those strengths. Categories should be arranged hierarchically, with your strongest qualifications first. Note as well that categories can be re-arranged and adjusted for particular positions — for example, in applying to large research universities, you might put research and publications first, while for small teaching colleges, teaching could be earlier.
- **The samples provided at the end of this chapter reflect this individualized process.** They have been chosen because they illustrate helpful points about how to proceed, with accompanying notes to explain those points. There is, however, no single model that will work for everyone, and it is important to keep

1980s — all of this in response to what we now recognize as a job market that would become increasingly competitive over the years. With each new edition, there has been a need to refine my thoughts and to “modernize,” paying attention to such innovations as the role of e-mail, the internet, and even improvements in word-processing and printing. As noted above, Margaret Newhouse's book on the academic job hunt is also a source you will want to consult; it is available at OCS.

that in mind when viewing the samples.

- **Below are the basic items that belong in an academic cv.** Note that the order of the first four items — through “Fields prepared to teach” — is fairly standard, as presented here. Beyond that point, however, the hierarchic order and choice of the remaining categories can and should be more individualized — based, as noted, on your strengths, with perhaps with readjustments for particular positions for which you are applying.
 - a. **Name, address, phone number, both home and office, and/or e-mail address:** It is crucial to have a reliable number where you can be contacted at all times (an answering machine or e-mail both work well for job candidates). This information always comes first in a vita; items of a more personal nature normally have no place in a professional vita: age or birth date, religious affiliation, marital status, children, etc.
 - b. **Education, including non-degree programs** — confined to the level of post-secondary school education: Give name of all institutions, degree dates, including the date when the PhD is expected, or dates attended for non-degree programs, with items listed in reverse chronological order. If you have received the college degree with honors (for example, *cum laude* or *phi beta kappa*), indicate that along with the degree; you can also include your undergraduate major and thesis topic here. Other college honors or prizes should be reserved for a separate category for honors and awards, along with subsequent honors.
 - c. **Dissertation topic, with advisors** — with an indication that there is an attached abstract (“See attached abstract”). In addition to the abstract, which should be attached at the end of the cv, some candidates include a two or three-sentence summary along with the title in the cv itself. In two of the samples (that of Helen Kuno and John Baker Gruff), the candidates provide a dissertation summary in the cv, roughly the length of a long paragraph, and omit a longer abstract at the end; the significance of their research, in these cases, could be presented effectively with this succinct treatment. For a detailed discussion of how to prepare the dissertation abstract, see the next section below.
 - d. **Fields prepared to teach or fields of specialization** — an optional category that is strongly favored in some fields, which often includes fields taken on the General Examinations: Once again, it is important to consult with experienced people in your field and learn about these norms. This category, if used, normally comes right after education.
 - e. **Publications and papers presented at professional meetings** — with the two commonly combined at this stage, especially if there are only a few items: Publications should also include works accepted for publication, with an indication of that status. If you have submitted a manuscript that is under consideration for publication, you can include that, but, once again, make that status clear. (Eventually, as your list of publications and presentations grows, you may want to place them on a separate page and also divide them into categories: books, articles, papers, reviews, etc.; or, you can place “Selected Publications and Papers” on the first page, and refer the reader to the attached “Complete List.”)
 - f. **Teaching experience** — to include information on both course content and the nature of the teaching responsibilities, plus any recognition awards for good teaching (more details on teaching to be discussed below).
 - g. **Honors and awards** — a category that might be placed earlier, if awards are your major strength

- h. **Research experience** — a category which is commonly expected for candidates in the natural sciences and which includes not only dissertation research, but additional projects and research interests, including future research plans as well. This category may be useful in other fields, especially if advanced research has been done over and above the dissertation topic; it can also include works in progress — with an indication of that status. If you have been selected by a faculty member to serve as a research assistant on a project you should include that in the cv, naming the subject of the research and the nature of the responsibilities. Be sure to note it if the project has resulted in a publication and if you are cited as a contributor in that publication. (If you are a co-author, it belongs under your list of publications.) In the fields of anthropology or archaeology, a special research category, “Field Work” is usually included.
 - i. **Academic service** — a category which you might label as “administrative experience”, or possibly “related professional experience,” depending on the nature of your experiences: This category would include serving as a House Tutor — be sure to define this title — or on a departmental committee, or as a conference organizer, or in student government.
 - j. **Languages and related skills** — with indications of your skill level; it can also include special technical or computer skills that are at a level that is worthy of note
 - k. **Pedagogical training** — a category common in the foreign language areas, but also may be relevant for others
 - l. **Special categories or experiences that are particularly relevant for certain fields** — for example, editing, translating, performances or recitals, museum curatorial experience, published creative writing, newspaper articles, work experience for a government agency, experience abroad, or possibly some special appointment or leadership position that does not fit in any of the above categories.
- **Hierarchic order also applies within categories**, which means arranging items in reverse chronological order, the most recent appearing first. Similarly, the hierarchic concept should be applied for horizontal reading as well, which would mean putting position titles and course titles prior to dates — contrary to what is frequently done.
 - **Avoid opening a category for a single item**; instead, try to make it fit into a closely related category, adapting the category title, if necessary, for a better fit.
 - **Good organization also means giving careful attention to typeface in the treatment of categories and items within categories.** Your typeface should reflect your hierarchy — making appropriate use of bold, underlines, upper and lower case letters, in order to make distinctions among categories and within categories in a systematic and consistent fashion. Consistency also is needed in the labeling and arranging of items — for example, if you opt for position titles first, then you should stick to that for each entry. Since the cv is meant to be an outline, you should word things as succinctly as possible, and avoid having dense paragraphs that would interfere with having a clear outline.
 - **Rather than following a rigid rule about length, you should make sure that the first two pages contain the most essential items.** With qualifications placed in hierarchic order and entries worded succinctly, the question of appropriate length for a vita is of less concern. If you follow that principle, then any remaining items that you choose to include will also have a good chance of being read. Be sure to number each page and place your name at the top of each page.

- **Teaching experience requires particular care, to maintain a balance between thoroughness and succinctness.** This entry can entail a considerable amount of information: the departments in which you have taught, including core courses, which are often of special interest to hiring departments; the subject matter of courses, either using course titles, if that suffices, or naming the subject yourself, if necessary; the nature of your teaching responsibilities, highlighting if you have been a Head Teaching Fellow or if you have designed your own seminar, or have given some lectures; note as well, if you have received a commendation from the Derek Bok Center for the outstanding quality of your teaching. Terms peculiar to Harvard, such as “Tutorial,” need definition or at least a synonym. It is especially important, for the sake of succinctness, to avoid redundancy: If you have taught the same course several times, just list it once and give all the dates; if you were Head Teaching Fellow more than once, just list the major responsibilities once, and refer back when it is applicable to another course.

If you are beyond the graduate student stage and have already had teaching positions in several institutions, then you should summarize even further. It might be better to list your teaching institutions first and then courses taught as a separate entry. If the latter is a very long list, perhaps group them in categories, or make it “Selected Courses Taught.”

- **It is best not to follow the common practice of listing your references on the vita.** By omitting reference names you maintain greater flexibility in choosing which letters to send out for each position. A number of candidates apply for different types of positions warranting different types of letters. The hiring departments in any case will know who your references are when they receive your dossier or individual letters of recommendation.

THE DISSERTATION ABSTRACT: DISCUSSING THE DISSERTATION’S CONTRIBUTION TO THE FIELD

As has been mentioned, the dissertation is the item of greatest interest to most hiring departments, helping them to distinguish among candidates. You will need to be able to discuss it effectively in several different contexts: the abstract, which should be attached to the cv, the cover letter, the interview, and the job talk. The abstract is the ideal place to begin; once you have developed a statement for the abstract (roughly one or two pages in length), you can readily adapt it for the other contexts.

Effective communication about the dissertation for the job hunt differs in function and style from the dissertation prospectus, which is often lengthy and detailed. In the job hunt you are not just seeking approval of your topic from your own department; your goal as a job candidate is to generate enough interest and enthusiasm about your work to convince a hiring department that you are their leading candidate. **The dissertation abstract therefore must be a persuasive argument, a clear and highly polished argument, of how your work contributes to the field.** Note that the discussion should be in the present tense — it’s no longer a matter of what you will do, but are in fact doing.

Elsewhere — in Chapter Five, in the discussion on writing a fellowship proposal for funding dissertation research — we suggested that in order to construct a polished and tightly-knit argument on how your dissertation contributes to the field, you must decide in advance what your principal contribution argument is. We suggested three possible paradigms for discussing the contribution to the field:

- It brings to light new material that hitherto has been overlooked by scholars (making it clear that the topic is important, despite this past neglect, and long overdue for consideration)
- It studies well-known material that has been examined many times before, but calls for a reassessment by looking at it in a new way (being careful to avoid suggesting that everyone else has gotten it wrong, but

rather, emphasizing that your study “complements the rich existing literature”)

- It does some combination of the two — i.e., it exposes some new material, which in turn calls for some reassessment of what already has been done (a generally popular paradigm).

Each of the paradigms has the benefit of allowing you to discuss how your dissertation relates to the scholarly dialogue in the field — one of the most crucial issues in explaining the significance of your topic. Once you decide on the paradigm and the principal contribution argument that you wish to make, then it should be argued so tightly, that each sentence and each paragraph advances the contribution argument; otherwise, it does not belong.

Choosing a paradigm by no means implies that there is only one correct way to describe your dissertation. It is mainly a device — one that helps you not only to structure a tightly-knit contribution argument, but that also helps you to step back and view the dissertation in the kind of broader and bolder strokes that are more helpful for the job hunt. Dissertation writers often get so close to their subject in all its minute details, that they find it difficult to formulate the topic in terms of the larger themes that can generate stronger interest and enthusiasm.

Another important consideration in writing the dissertation abstract, or in any discussion of your dissertation, is the nature of the potential audience. You should not assume that the members of a search committee will be fully knowledgeable about your own specialized topic, even if they are all in your own discipline — and that is not always the case. Indeed, even specialists need convincing that your project will contribute to the field, and may in fact view your project with a more critical eye. The safest course is to provide enough background in making your contribution argument, so that both generalists and specialists will view the background as a necessary and logical part of your contribution argument. It is also wise to avoid jargon or un-necessary technical terms.

By now it should be clear that writing a polished dissertation abstract is one of the major components of your initial investment in preparing for the job market: Work at perfecting it, seek advice from many readers, and polish it some more. Once you have done this demanding job, the point is to carry the fruits of your labors into all the contexts where discussion of the dissertation is required. **Above all**, do not worry about redundancy if you re-use the basic arguments and even some of the wording from your abstract in your cover letter, your interview, or even as a framework for your job talk. Bear in mind that members of search committees are probably looking at a large number of candidates; by the time they finish, they probably have trouble remembering their own name or their own research specialty, let alone retaining what they have read from applicants. Consider it not as redundancy, but as a form of emphasis and assurance of consistency. It is absolutely counter-productive to depart significantly from your strongest presentation in order to avoid redundancy, and may only confuse your audience. All application materials should re-enforce one another, and the best way to do that is to be highly consistent. (For similar reasons, you will want to have enough copies of your cv and abstract available to give to anyone who expresses interest, even if you have already given that person a copy; protect yourself from taking things personally or thinking they are not taking you seriously if they seem forgetful.)

WRITING THE COVER LETTER, ENCLOSING SUPPLEMENTARY MATERIALS

While the cv is a presentation of your overall qualifications, the cover letter provides an opportunity to respond more directly and in a more personal manner to the specific requirements of a given job. It is best to address the letter to a specific person, often indicated in the job description — if not, you can call the hiring department and ask to whom the letter should be addressed. (See the sample cover letters at the end of this chapter.) Before writing, you should find out as much as possible about the university or college, the department and the position for which you are applying. Catalogues are available in the OCS Career Library

and in Widener, and many schools have a home page on the internet; check as well with people in your field who may have some further insights into the particular opening and department.

The letter should convey a strong interest in the position, backed up by solid information that shows how suitably matched you are — that should be the main theme of your letter. In developing this theme you should pay close attention to the wording of the job description — and anything else you have learned about the position and department — and then highlight all of your qualifications that are particularly relevant for the position, proceeding in hierarchic order, just as you did in your cv. In fact, work very closely with your cv, utilizing the careful organization and wording that you chose — but now emphasizing and elaborating upon those points that are particularly helpful in showing you as a good match for this particular position. You should enclose your cv and refer to it as you point to particular qualifications. (Other possible enclosures will be discussed presently.) Once again, if there is an element of repetition between the letter and the cv, that should not be a cause for concern; re-using your best wording and then adapting it for each context of the job hunt is an assurance of consistency and emphasis — both of which are needed for the busy readers on search committees.

The opening paragraph of the cover letter is the most formulaic: State the job for which you are applying, as described in a particular source, name your department and university, area of specialization, and give the expected date for receiving your PhD (perhaps even indicating how much is completed, if helpful). You can also add to this paragraph a line that foreshadows the qualifications that you intend to highlight in the letter. In an ideal match, you might be able to cite a whole range of items that show that you are well suited for the job — including your area of specialization, dissertation research, publications, and teaching experience; it might seem as if the job description were written just for you. More often, however, you will have some qualifications that show a good match, while others are less relevant for the position. The art of a good cover letter is to emphasize those qualifications that clearly fit, and then do some further work for the reader by showing how some other items that might be overlooked also enhance your qualifications for the job.

The remainder of the letter should pursue these points, proceeding in hierarchic order and discussing your strongest and most relevant qualifications first. Be thorough, but be succinct. One paragraph should be devoted to your dissertation — again, working closely with your polished abstract, but highlighting how and why it works well for this position. Do the same for any publications that you may have. Another paragraph should present your teaching experience, highlighting the most relevant courses, citing any commendations in recognition of good teaching, and noting any special responsibilities you performed. If the job description is very general, try to show the general or broad themes you have dealt with in courses. It's always a good idea to stress that you have versatility. For all positions, not just those in small teaching colleges, emphasize your commitment to students and to good teaching, and offer evidence from your cv and background that shows this commitment.

Other topics are more optional. If you have some qualifications that are particularly outstanding — prestigious fellowships, or extraordinary academic service, or items of a similar nature, you might want a paragraph to cover those as well. **Pay careful attention to the length of the letter; word everything succinctly, and do not let the letter run over two pages single-spaced — keep it shorter, if possible.**

In a closing paragraph you should reiterate your strong interest in the position. If you have any special affinities with this institution — for example, it's in a region where you grew up, or you have family members who attended, or you yourself attended a similar school — this is a good opportunity to let them know that the job would have a personal meaning for you. Be sure as well in the final paragraph to note that you are having recommendation letters sent (unless requested not to in the job description), and mention any enclosures. Finally, tell them how you can be easily reached, and mention if you plan to attend the professional association meetings.

On the matter of enclosing supplementary materials in addition to the cv, you will of course need to comply with any requests made in the job announcement: They may ask for teaching evaluations or a writing

sample, perhaps a dissertation chapter; alternatively, they may specifically ask that no written materials be sent at this time. If no mention is made, you can voluntarily submit supplementary items, choosing among the following: article reprints if you have published, a dissertation chapter, or other writing sample. You might also choose to assemble a teaching portfolio, which consists of a statement of your teaching philosophy, course syllabi and reading lists, and summaries of teaching evaluations, accompanied by copies of the original forms (the Derek Bok Center provides advice on assembling such a portfolio; in some cases, a teaching video is requested, for which the Derek Bok Center will also assist). In regard to how much to submit as voluntary supplementary items, we would suggest the importance of being selective and basing your choices on the nature of the position and the school; it cannot be helpful to inundate a search committee with too many items. One other enclosure used by many candidates is a stamped self-addressed postcard for acknowledgement of receipt of your application.

KEEPING INFORMED OF VACANCIES AND CHOOSING WHERE TO APPLY

Almost all new academic vacancies and job descriptions are publicized — usually in the appropriate academic journals or employment bulletins put out by the various professional associations — in conformance with affirmative action requirements. Most professional associations now list job announcements on their web sites. In addition, letters with vacancy announcements are sent to many departments, or to individual faculty members in the field. These usually are more detailed, and appear earlier than the published announcements. Many departments maintain these letters in an open file or on a central bulletin board. Some departments send active candidates photocopies of openings in their field and increasingly are using e-mail for this purpose. Job listings on the internet will probably transform this whole system in the near future, so try to keep abreast of the use of new technologies as part of this process.

In addition to utilizing all departmental services, it is important for you to be systematic and self-reliant in keeping informed of vacancies. If it is not too expensive, it is best to get your own subscription to the professional employment bulletins (which may also exist in electronic form); also check the department regularly for new job listings.

The *Chronicle of Higher Education* is another important source, especially for openings in smaller schools or administrative positions. It appears weekly, while most professional bulletins are printed only four or five times a year. It lists job announcements on the internet as well, at “Academe this Week” (<http://chronicle.merit.edu/>)

In choosing where to apply, it is important to recognize that the academic market is highly structured: announcements usually appear early in the academic year, and the job search is basically confined to published listings. Unsolicited inquiries — if used at all — are helpful mainly for obtaining adjunct or part-time teaching positions or last-minute openings of a temporary nature. For this alternative path, used at times by candidates with geographic restrictions or other needs, you would write letters to department chairs, do follow-up calls, and networking as well. If you have no geographic restrictions, it is best to be flexible and open-minded in your consideration of vacancies. Taking a job at a less prestigious school than you had anticipated would not necessarily hurt your chances to move on to a better institution, should an opening arise. The main point is to continue to develop your teaching skills and polish and expand your scholarly research. If, on the other hand, you feel that a given position would thwart that growth; or if for other reasons you know you would not want the job, then it would be unwise to apply.

ACQUIRING LETTERS OF RECOMMENDATION FOR THE JOB HUNT

We have observed in an earlier chapter that a good letter of recommendation not only makes a statement of support about a candidate, but also presents a well-documented and informative evaluation of performance. We strongly advised that you should not wait until your final year of graduate study in acquiring letters of recommendation. If you have followed this advice, or have acquired letters for other purposes, such as fellowship applications, you should be sure to have your letters up-dated and also adapted for the specific purposes of the job hunt, with a current date affixed to the new letter.

In choosing recommenders, you should not necessarily select those with most prestige, but those who know you best and are most supportive. The previous process of choosing advisors and mentors more or less determines the choices available for you at this stage, so this is something that begins early in the graduate career. There is no ideal number of letters to acquire for your dossier. A letter from your dissertation advisor is essential. In addition, the group of letters as a whole should present a complete and rounded picture of your strengths in different areas: your teaching, other research, professional papers or publications, administrative and House activities. For most students, this method of choosing normally means having somewhere between three and six letter writers for the job hunt — any number beyond six may be an overload, unless there is some special reason.

When making a request for a letter or asking for an update of a letter, it is best to ask in person, using office hours or by making an appointment. In either case, be sure to provide the letter writers with sufficient information to produce a well-documented and informative evaluation of your credentials for the job hunt: your current curriculum vitae, a sample cover letter, and any other materials that you hope the writers will discuss. Also, make it clear to the potential letter writers that if there is any reservation about writing, you would prefer to know that.

You must decide in advance whether to waive your right to read the letters of recommendation — a right granted under the Buckley Amendment of 1974. The general wisdom is that letters have greater credibility if you waive your right to see them, but you must decide for yourself in each particular instance.

Upon completion of the dissertation, it is best to ask your advisor to write a new letter, discussing the work as a finished product, rather than just adding a new paragraph to the original letter. The finished dissertation should no longer be discussed as “promising,” but in terms of what it has accomplished. As your career grows, your letters should change and grow as well. If you have been out of Harvard for a while and have taught at a number of different institutions, it is important to have a letter from the chairman or other representative of each department where you have taught. In addition, the longer you are out, the more important it is to have testimony from people in your field — those who have read your manuscripts or published works. The main point is that for each application campaign, it is essential to see that your letters are current and relevant for the purpose at hand.

HAVING LETTERS SENT: DOSSIER SERVICE AND/OR INDIVIDUAL LETTERS

A dossier essentially consists of letters of recommendation. (At Harvard’s Dossier Service in the Office of Career Services, it includes a cover sheet as well. **Please note:** If an official transcript is required, that must be obtained from the Registrar’s Office.)

In the era of the word processor, many letter writers are prepared to adapt letters, producing individualized ones for specific jobs (or fellowship applications). If you opt to have letters sent individually by professors rather than using the dossier service, it is important to verify that they have been sent — it is your responsibility to see that all required application materials reach their destination by the application deadline.

Even if you do opt for having individual letters sent by professors, however, it is very useful to have letters on

file in the dossier service as well. Setting up such a file is a form of insurance, enabling you to meet deadlines when your letter writers are away, or otherwise unavailable. It also allows you to apply for a large number of jobs without having to track down individual letter writers every time you wish to apply. The dossier service is also convenient when you are applying from out-of-town, or once you have obtained your degree and have left Harvard. Having a dossier file does not preclude having individual professors send out letters, it simply offers an additional option. Above all, it allows you optimal control of your job hunt at all times. **Note:** Some people find that the dossier file looks more individualized if letter writers use their own letterhead stationery rather than writing on the dossier service recommendation form — the letter can be stamped confidential, but be sure to indicate this choice both to letter writers and to the dossier service.

Once again, it is important to remember that your dossier should be kept current at all times. As your accomplishments grow or your career goals change, your dossier should grow and change as well. Dated letters should be removed from your active file — i.e., the file that is sent out to prospective employers — and new ones entered. Members of the dossier staff can assist you in this process and make suggestions for change, as needed. In addition, if you need to ask a letter writer for an updated letter, you can request that the dossier service send a copy of the original letter to the writer for his or her convenience.

KEEPING A RECORD OF YOUR APPLICATIONS

It is important to record all contacts made with potential employers, including telephone calls. The most useful record is a photocopy of all your correspondence, kept together with all responses you receive. You might also want to record your impressions after all personal or telephone contacts, and in addition, any activity by faculty members made on your behalf.

FOLLOW-UP

If you receive no response or acknowledgement within a reasonable period — around a month — it is appropriate to inquire about the status of your application. Any further contact that you initiate requires discretion and should have a clear purpose. You might want to report to the hiring department on significant developments in your credentials — the completion of the dissertation, or perhaps the acceptance of an article that was under consideration for publication. If you do so, be sure to use the occasion to reaffirm your strong interest in the position, and possibly to clarify any remaining questions that you may have.

In one case, a candidate applying for a job in California telephoned the chairman of the search committee to let him know that he would be in the area. The department had already invited three candidates for an interview, but was pleased to take advantage of his presence in the area, since he was number five on their list. The outcome was that they liked him better than their first three choices, and he got the job. In another instance, a candidate telephoned a hiring department to ask if she might submit a late application. She learned that the first competition was indeed closed, but was told of a new opening that was even closer to her field. This kind of contact may not always produce such results, but if you think there is some chance, it is worth a try.

Whatever course is pursued for a particular vacancy, it is also important to keep watching vacancy listings and to apply for all positions of possible interest. Announcements of new openings, or of positions that are reopened, appear even in late spring and summer. A flexible and patient attitude can be an important asset.

THE INTERVIEW

The interviewing process will be discussed in two parts. The first will deal with the shorter interviews that are conducted at the meetings of the professional associations — interviews of around 30 minutes in length. The

second deals with the longer interviewing process that is part of an on-campus visit — lasting one or two days.

SHORT INTERVIEWS AT PROFESSIONAL MEETINGS

In this interviewing process, the candidate is still part of a fairly large pool, having made it past the first cut — usually on the basis of the curriculum vitae, cover letter, and letters of recommendation. In some cases, the interviews are conducted with less prescreening; last-minute sign-up lists for interviews are posted on bulletin boards at the meetings themselves, with just an opportunity to submit a curriculum vitae in advance.

Be sure to find out, as well, which faculty members from your department will be at the meetings, and make sure that they know of your candidacy and special field and that they have copies of your curriculum vitae and dissertation abstract. It is also important to make provisions so that you can be easily reached throughout the meetings. Staying at the convention hotel is the most practical choice, and special rates for students are often available, but be sure to register early to get a room at the convention's main hotel.

In preparing for the short interview, bear in mind that a half-hour is not very much time for persuading an interview committee — generally two or three people — of your suitability for the job. (There is actually less time, since the interview generally begins with some conversational remarks as a warm-up.) In order to assure that you are prompt, try to avoid scheduling two interviews back-to-back in two different places. It is important to prepare in advance, to formulate answers to questions that you are likely to be asked — even writing brief notes on what you plan to say — and to rehearse your delivery through a mock interview. A number of departments offer interview practice, which is also available at the Office of Career Services, where you can arrange to have a videotaped mock interview with a PhD counselor. You may want to rehearse a few times and get different reactions. In doing so, it is also useful to try out your handshake as well — a good strong one is important; so too is eye contact. You might also choose to do a rehearsal in interview clothing. There is considerable range as to what is appropriate to wear, but in general, it should be something that makes you feel both comfortable and pleasing in appearance. Men do not usually wear three-piece suits (sports jackets are perfectly fine), and women usually choose between dresses or suits, either with pants or skirt.

Another part of advance preparation is to decide what written materials to bring to the interview — beyond an extra supply of cvs. The possible items are the same as the suggestions made above for voluntary supplementary enclosures with the cover letter (if you have already made these enclosures, it still cannot hurt to bring extra copies to the interview): a polished dissertation chapter or other writing sample, a teaching portfolio, and an article reprint. Just as it is important to dress professionally, it is also important for all materials to have a professional appearance — keeping them in labeled folders, with sufficient copies to go around.

It is also important to learn as much as you can beforehand about the hiring department, institution and position. Look through catalogues, see if the department has a home site on the internet, get information if possible from someone who has had recent first-hand experience with the department. Be familiar with important scholarly works by members of the department.

Bear in mind that this is an opportunity to convey in person your enthusiasm for teaching and research; it is also an opportunity to show that you are articulate, reasonably assured and personable. Your interviewers will not only consider the content of your answers, but also your qualities as a potential colleague.

Below are some of the standard subjects covered in interview questions and some suggestions for planning your responses. The interview is essentially a dialogue, and your answers to questions should be presented in as conversational a tone as possible. Nevertheless, you should plan your answers as thoroughly as possible — including keeping brief notes — so that you know in advance the points you think are the most

essential to make in the various categories below. The interview questions may not cover all of these categories, so be prepared as well with a strategy for introducing important points. Usually, there are some open-ended questions or some pauses that will allow you to determine the direction you wish to take.

- **Teaching experience:** Often the question has to do with how you would teach a given course — for example, an introductory survey — or how you approach teaching in general. The most important message to convey is that you are responding from the point of view of someone who has had teaching experience, rather than just giving a hypothetical answer of what you would do some day. In order to present yourself in that light, it is helpful to introduce concrete examples that you have selected and prepared in advance: some class discussions that went particularly well as a result of assignments or questions that you devised, or a particular technique that you used in leading the discussion; a course syllabus that you designed or helped to design; or any other positive illustrations from your own teaching. If you have not taught in an introductory course — and that is one of the frequent questions asked — it is even more important to be familiar with some of the major textbooks in the field, or syllabi used in your department. You might also think about introductory units in courses that you have taught, and be prepared to extrapolate from them. Your experience does not have to be exactly in the course they cite, in order to give a knowledgeable response. The main point is to show that you have given the matter a lot of serious thought.
- **Your dissertation:** All of the suggestions we have already given in connection with writing the dissertation abstract apply to the interview; it is worth reviewing those suggestions as you prepare for the interview. Once again, don't waste the effort and investment that went into creating a carefully worded and polished contribution argument that presents your work in the strongest possible light; adapt your presentation for the purposes of the interview, giving it a more conversational tone. Avoid minute details, and stick to the broad and bold strokes that you developed for your abstract. It's not redundancy, but rather, a form of emphasis and a means of being consistent. Be prepared as well for some exchanges and possibly some rigorous questions; the more secure you feel about the basic lines of your contribution argument, the less likely that you will be thrown even if you are challenged on some aspects of your work. Be gracious at all times.

More than ever, be attentive to the nature of your audience. Do not assume that the interviewers will be fully knowledgeable about your own specialized topic. Once again, the safest course is to provide enough background in making your contribution argument, so that both generalists and specialists will view the background as a necessary and logical part of your contribution argument.

- **Future research plans:** For most candidates at this stage of their career, the dissertation is the primary source of future research plans. It doesn't suffice to say that you plan to polish it and turn it into a book for publication; it is important to be prepared to discuss what further research you plan to do — with an emphasis on the amount of original work that would be incorporated. In general, it is best to stay fairly close to the dissertation in answering this question, unless you have a definite project that is fairly well thought out or are already engaged in research on it. Otherwise, you run the risk of talking about tentative ideas, about which you are not very well-informed as yet, and quickly being exposed in that position.
- **Administrative experience and university service:** Interviewers will want to know what kind of a colleague you will make. Any experiences that show good departmental or university citizenship would be helpful: conference organizing, orientation of new students, undergraduate advising — these are just a few of the many possibilities.
- **Open-ended questions — “Tell us about yourself”:** This should not be taken literally — to tell the story of your life — but rather should be used as an opportunity to discuss anything else about your

qualifications that you would like the interviewers to know. As noted above, the specific questions don't always give you the opportunity to make all the crucial points that you wish to make, so this would be the right moment to do so. For example, if you have some strong secondary specialties that have not been discussed, or some other desirable skills, or some special affinity with the hiring institution or its geographic area, this is the time to introduce them.

- **Asking you if you have any questions:** Even this question should place greater emphasis on conveying information about your candidacy, rather than gaining information. In our view, it is not an optimal use of a short interview to ask about teaching load, salary, housing, or other items that eventually will be of great importance to you. If you do choose to do so, then it is more appropriate to discuss these matters in general terms at this stage — reserving more detailed questions for the final negotiating stage when a job offer has been made. We would suggest that the best thing to do at this stage is to use the interview to ask well-informed questions about the department, its courses and programs, and other information that you have gathered in preparing for the interview. You could also ask questions that reveal something about your values and priorities — for example, about opportunities to meet informally with students, or collaborate in team-teaching, or other indications of commitment.
- **Questions to which you do not know the answer:** The most important thing to keep in mind is that the interview is not a General Examination — your academic credentials are already known to the interviewers, or can be known, through other more effective means. **How you handle a difficult question — your overall demeanor and self-assurance — are of far greater relevance to the interviewers.** It is helpful to plan a strategy in advance that would make you comfortable in confronting a difficult question. Remember, as well, that you are not being timed for speed; you can pause and give it some thought. With a little extra time, you may be able to think of something that is close to or analogous to the subject being asked about, allowing you to approach the answer through an indirect route. Finally, if nothing comes to mind, you can say — being sure to do it with composure, rather than panic — that you think it is an important question and you would like to give it more thought. Note: Another kind of question that produces discomfort is if the questioner challenges your research. Once again, take your time and keep your composure. Rather than getting defensive, observe that it is a reasonable or good question, and then calmly explain your point of view.
- **Questions that you find inappropriate:** You may be asked about your age, your religious beliefs, your personal life, or some other question, which is inappropriate. Once again, it is best to plan a strategy in advance, and to be prepared to handle it with composure. You may not want to work in such a department, but it is best to preserve the choice. One recommended technique is to rephrase the question subtly, turning it into a more appropriate one. Women report that they are still asked at times about how they will manage to combine career with marriage or motherhood. Increasingly, they are able to answer that they do so because their spouses share equally in the problem. Individuals will answer differently, but the main point to get across is the seriousness and professionalism of your career goals.
- **Where else have you applied:** This question is sometimes asked, and can make candidates uncomfortable. You do not have to give a complete list; you can say you have applied to a number of schools, and then just give as examples those you prefer to mention.
- **Dealing with “the Harvard mystique”:** There are two different and somewhat contradictory strands to this mystique. One is that Harvard people are all terribly arrogant and tend to think they are better than they really are. The other is that Harvard is the absolute BEST in everything: students, faculty, resources — you name it. Either version tends to make people wary about Harvard candidates, at times creating an added obstacle to overcome. The best way to handle this is to be absolutely certain that you yourself are resisting all temptation to look down upon other institutions. There is a vast difference between having

confidence, which is a good thing, and arrogance, which is not. You can also emphasize in the interview that Harvard students are exciting and challenging to teach because they come from such a wide range of backgrounds — economically, socially, and in terms of quality of high school education. You may have things in your own background that make you especially well prepared to deal with people from varied backgrounds. The main point is to be sensitive to these issues, which indeed is essential for being a good teacher and colleague.

- **A follow-up thank you note:** A letter to the chair of the search committee should suffice. This can provide a further opportunity to re-emphasize important points, to ask for further information, or to enclose additional documents as a follow-up to issues discussed during the interview.

ON CAMPUS VISITS AND THE JOB TALK

In this interviewing situation, the competition is down to a very small pool — usually between three and five candidates, each of whom has succeeded in making a favorable impression. You may get very short notice and have little time to prepare for a campus visit. Fortunately, all of the above preparations will carry over and be helpful for the campus visit as well, so be sure to read the above carefully for the on-campus interview.

The most important new task is the job talk. In preparing, it is important to find out in advance the exact nature of this event: Will it be a small seminar, or a large formal lecture; will it be for an audience of faculty members, a mixture of faculty and students, or one open to the whole community? Will you be asked to teach a sample class as well? Most invitations for campus visits are accompanied by a detailed schedule of all events — including social gatherings; if not, it is important to ask for one.

Whatever the forum for the presentation, most candidates talk about their dissertation research. In choosing the precise topic of your talk, it is crucial to consult with your advisor and other key people. It is also crucial to rehearse your presentation. Many departments provide the opportunity for a practice talk; if not, you can take the initiative and invite some faculty members and fellow students to hear your talk. After you have received a thorough critique of your talk, it is important to incorporate all helpful suggestions, and to polish the presentation as much as possible (remember that it is better to receive criticisms while you can still correct them, than during the interview itself). **Multiple rehearsals are beneficial, so start preparing early; you don't want to read your talk, although you will want to have written notes with you.** Many candidates give practice talks in their departments, even before they have received an actual invitation for an on-campus visit. In addition, some departments recommend as a further form of preparation, that candidates attend scholarly presentations arranged as part of its own junior faculty recruiting. The experience of watching others go through the procedure can be an important learning experience.

Suggestions for discussing the dissertation have been thoroughly covered above in the section on the Dissertation Abstract. We would only re-emphasize — on the basis of feedback we have heard from hiring departments — that it is crucial to maintain a balance between larger themes and specific data: Too much of one without the other weakens the entire presentation. In addition, a good talk should only try to make a limited number of important points — five is perhaps a good goal. Another suggestion we have heard in regard to the presentation of complicated data is that written handouts are important for helping the audience to follow the argument. Alternatively, you may choose to use visual aids or graphics — slides if you are in Fine Arts. These will require prior arrangements with the host campus. Along similar lines, it is also important to be sensitive to the nature of the audience. A good talk, and indeed good teaching, requires an awareness of how other people may react.

There will probably be a question period; if you have given practice talks, you probably can anticipate some of the questions and be prepared to answer. We would re-emphasize what we said about the short interview: **How you handle a difficult question — your overall demeanor and self-assurance — are of far greater**

relevance to the interviewers than the precise answer that you give. It is helpful to plan a strategy in advance that would make you comfortable in confronting a difficult question. Above all, be gracious at all times.

The on-campus visit has a number of other important differences from the shorter interview:

- You will probably make the rounds and visit department members individually. Now it is important not only to know what they have written, but also to have read some of their most recent or important publications. This is not for the purpose of giving them a critique of their work, which should be avoided, but rather to give you a better sense of how you would fit into the department, allowing you to note how you would complement their existing strengths. Making the rounds will also probably mean having to answer a similar set of questions multiple times. Each time that you do so, it is important to maintain a lively interest and enthusiastic tone — never letting repetition become mechanical.
- You will also have interviews with administrators, and this usually means a different agenda for discussion — now getting into issues such as salary, other benefits, housing, and, above all, possibilities of promotion and tenure. These will probably be discussed at the departmental level as well. While it is certainly appropriate to ask questions about these issues at this stage, you should still discuss them in more general terms than you would at the actual stage of receiving a job offer, when you would try to pin down the details more firmly (see below Negotiating a Contract). If you have two-career family issues, you might choose to raise them at this point, although many people feel it is best to wait until an offer has been received (more on this issue in a separate section on the two-career family).
- A campus visit offers you an opportunity to take a close look at the department that may make you an offer. In particular, it is an opportunity for you to gauge the morale and general climate in the department and the institution, since these can effect your whole sense of well-being in a job: Do colleagues seem to like and respect one another? Do junior faculty members appear to be comfortable — do they convey a sense that they are happy there, that their future prospects seem bright? Are there clear signs of openness and fairness on issues such as minorities, gender, and sexual orientation? At a campus interview you should be able to obtain this information through careful observation and attention to indirect clues. In general, it is unwise to engage in discussions of departmental politics or any potentially divisive issues. Similarly, it is best not to get into discussions about Harvard departmental politics.
- Still another important feature of the campus visit is that the interview is an ongoing process: conversations at mealtimes and other social events, in the hallways in between appointments, and even during transportation. If at all possible, try to arrange some unscheduled time, in order to allow you to replenish your energy.
- You may also be asked to give a teaching demonstration — something more common in the area of language study, where you might be asked to conduct a fairly specific lesson: Get as many details about the nature of the course, the text book, the level of the students, how the lesson fits into the syllabus. Consult with experienced members of your department on how best to prepare. Think back on what teaching techniques have proven to work well for you.
- Alternatively, they might arrange a more informal session for you to meet and talk with students, including perhaps graduate students as well as undergraduates. Here you might want to think back once again on some of your most successful techniques and questions for engaging students in lively discussions and attaining broad participation. The context is undoubtedly different, but some of these successful techniques can carry over.

- A campus visit should also give you a chance to get a sense of the larger community (ideally, a tour should be on the agenda, if time permits): where the junior faculty lives, the cost of housing, the quality of schools, the cultural life, etc.
- Before leaving, it is helpful to ask for a timetable for their decision-making process, and also learn how you will be notified of their decision.
- After a campus visit it, write a thank-you note not only to the department chair and the head of the search committee, but to all individuals who have extended hospitality. The thank-you note, once again, provides a further opportunity to re-emphasize important points, to ask for further information, or to enclose additional documents as a follow-up to issues discussed during the visit. If you have received no word after a reasonable amount of time, it is appropriate to call.

NEGOTIATING A CONTRACT¹⁴

A job offer is often made by telephone, either from the chair of the department, or the chair of the search committee — with a letter of confirmation to follow. It usually happens shortly after a campus interview (perhaps within a week, although there can be some delay if they have first made an offer to someone else who has declined). It is wise to prepare yourself for this conversation in advance, making a list of further questions you would like to ask, and how you would generally like to respond.

Your response should first of all convey your pleasure at receiving the offer. After that, you will probably want to clarify details about the offer and raise points that are perhaps negotiable. Now is the appropriate time to discuss and negotiate the terms of the position in detail. Your actual answer as to whether you will accept the offer should wait until this part of the process is completed. It is a good idea to say you will get back to the department — even if you are almost positive that you will accept the offer — rather than to give an immediate decision on the telephone.

As for items that can be negotiated, the department may have little or no flexibility on entry-level salaries, but it is important to have done some research in advance, preferably about the entry-level salary range in that department (try asking faculty members in your department what they know about that department, or at least what they believe are reasonable expectations in your field), or about the general salary picture at that level (the annual Almanac issue of the *Chronicle of Higher Education* publishes data on average salaries by rank and nature of institution). A crucial area that you will also want to deal with concerns tenure promotion policy: the timing before tenure review, the chances of receiving tenure, the criteria that will be applied when the department makes that decision (unless of course the job description specifies that it is non tenure-track). On this issue, you might even ask specifically about recent promotions to tenure from within the department — how many publications were required, and what consideration was given to teaching.

There are also a number of other items that can be clarified or negotiated: leave policy, special support for junior faculty such as a reduced teaching load for the first year, research and travel funds, office accommodations, support staff, research assistants, laboratory equipment for the scientific fields — including coverage of start-up lab experiments, computer-time, number of teaching preparations (the teaching load may be fixed, but repeat courses can mean less preparation), benefits package, summer support, housing, child care, moving costs, parking and others of a similar nature. Other issues that can be covered in negotiations

¹⁴This subject is discussed in greater detail in the publication already cited, *Cracking the Academia Nut*, by Margaret Newhouse. The author also recommends *Getting to Yes*, by Roger Fisher and William Ury (York: Penguin Books, 1983). This publication may be more appropriate for negotiations at a more advanced stage in your career, but it could be helpful in giving you a sense of process.

concern early or a postponed review for tenure if you have special reasons, or issues related to the two-career family — to be discussed in the following section. You might also want to raise the issue of the possibility of deferment in taking the position if you are also applying for postdoctoral fellowships and would like to take a year to do research and publish, in the event that you win one. Clearly you cannot and should not try to negotiate about everything on this list. An important part of your advance preparation for this conversation is to know your priorities, know which items are the most important and reasonable to try for in the negotiating process. The fact that they have made you an offer is actually a form of leverage — they now want you to come, and probably would be prepared to make some extra provisions in order to get a favorable — and swift — answer. Throughout the process, be sure to convey that your questions reflect a serious interest in the job, making sure that your questions are indeed reasonable and that they are asked in an amicable way.

One final part of the negotiating process that often arises is that one school may make an offer early, before you have had a chance to see the results of other applications, including applications for postdoctoral fellowships as well. Some schools, in fact, deliberately make early offers, in order to attract the most desirable candidates. Unless this is your definite first choice, it is best to be honest with the school, and ask for enough time to allow you to know what other options you will have. You should also contact the other schools or fellowship agencies to which you have applied, telling them of your situation and seeing if you can get an earlier decision from them as well. In many cases, the school making the first offer will give some extra time, but not enough to see all the options. The school may also try to entice you to accept by making a more generous offer, or by adding some of the amenities listed above. At this point, you must view the trade-offs: Is the security of making an early decision more important, or would you prefer to wait and give yourself a chance to see if a preferable offer emerges? Bear in mind that an early offer probably means that you are a strong candidate, and that your application to other institutions also stands a good chance of being viewed positively.

Once you have worked out all the details, it is important to have them in writing. If they do not provide a final written version of the offer, you can confirm them in writing in a letter to the department. Please note: Until you have received a written contract, you should not withdraw your application from any other school. However, once you have signed a contract, you should give prompt notice to others.

THE TWO-CAREER FAMILY: THE JOB SEARCH FOR TWO ACADEMIC JOBS

The structure of the academic job market makes this situation extremely complex. Geographic choice is often limited, and there are frequently a number of moves prior to the attainment of tenure. How do academic couples manage? There is no single answer, but most would agree that flexibility and willingness to compromise are essential.

Although each couple must work this out in its own way, there is an approach — with variations — that seems to be preferred by many couples. It involves an independent job hunt by each member of the couple — favoring jobs that are close to one another, but not making that a necessary condition for applying. When one member of the couple receives a job offer — or when both do, but in different places — and it becomes necessary to respond to an offer, then the couple must deal with multiple tradeoffs: Should one member accept, opting for security? Is it better to live apart, rather than to sacrifice job possibilities for the other? If security is opted for, then negotiation often occurs with the institution that made the offer to see if there are part-time teaching possibilities for the other. Within the geographic area of the offer, the second job search often becomes even more flexible — for example, consideration of part-time teaching or administrative positions. As difficult as this all seems, a sizeable number of academic couples have managed to keep two careers going in this fashion.

SPECIAL CONSIDERATIONS FOR FOREIGN STUDENTS

Many foreign students who have received their doctoral degree in this country prefer to teach here for a few years before returning home. In preparing for the job search and for an academic career in general, it would be best if they focus on their professional interests, rather than thinking in terms of being foreign. One Harvard professor — having entered this country as a foreign scholar himself — warned against joining an intellectual “ghetto” in which Third World scholars feel that they must specialize in the Third World. In practical terms, this means conducting graduate study and a job search just as any other candidate does, except for the need to explain to an interested employer that visa provisions must be made. Once a department has decided on a candidate — and that decision depends on the strength of the candidacy — then visa arrangements may follow more smoothly. This foreign professor also stressed that ability to communicate reasonably well in English would be taken into account in their applications for teaching positions.

ON NOT GIVING UP

In this job market, it may well be the case that, after all your efforts, you did not receive a job offer, perhaps not even an interview. The most important thing to do after any professional rejections — whether for jobs, fellowships, or publications — is to make an immediate resolution to try again. The resolution should be made before you have the chance to think that if you did not receive any job offer or have an interview, then it must mean that you do not deserve a job. You haven’t come all this way — made it through Harvard’s doctoral program — without being highly qualified. Talk only to people whom you can count on to give support and encouragement to try again, to people who will not let you doubt yourself. Just look around, and you will probably find yourself in good company — if that is any consolation. Also, being an experienced candidate, with degree in hand, and perhaps getting something published or accepted before the next round, can greatly improve your chances. And of course, it cannot hurt to review all your application materials to see if you can give things a further polish. (A recent study of the career trajectories of Harvard PhDs in the cohorts from 1988 through 1993 shows that there is dramatic improvement in the employment rate between the time of graduation and the time of this study, which, for the people in these cohorts, is three years or more after graduation.) In the meantime, you will also need to find a means of supporting yourself that will not be so demanding that it will interfere with your job hunt or with remaining active as a scholar. Again, look around, and you will find that many veterans of the job market are doing part-time teaching or doing work as a research assistant right at Harvard. If you take a totally unrelated job, then at least try to get an academic affiliation, perhaps with a Harvard research center or lab, even if it is non-salaried. Above all, do whatever it takes to keep your own sense of identity as a scholar alive. You have earned it!

CURRICULUM VITAE AND COVER LETTERS FOR ACADEMIC EMPLOYMENT

ABOUT THESE CURRICULUM VITAE SAMPLES:

As already noted in this chapter, the process of writing a curriculum vita is a highly individualized one. It is important to pay attention to your own individual strengths and to tailor some of the more flexible categories in a manner that best highlights those strengths. The samples presented here have been chosen because they illustrate helpful points about how to proceed (the particular points are identified in foot-notes). There is, however, no single model that will work for everyone, and it is important to keep that in mind when viewing the samples. All names are fictitious and in some cases particular details have been changed as well.

HELEN KUNO¹⁵

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EDUCATION

Harvard University Ph.D. (expected)
Harvard University M.A.
Stanford University B.A.
Phi Beta Kappa

Dept. of Anthropology 1997
Dept. of Anthropology 1993
Dept. of Anthropology 1990

DISSERTATION

“Work, Family, and the Self: A Cultural Analysis of Japanese Family Enterprise”

A study of concepts of the self and the social world among owners and workers in small family enterprises in Japan. The dissertation does the following:

- 1) Applies the concepts and methods developed in symbolic anthropology to the relatively new field of the anthropology of work, and complements the rich existing literature in kinship studies and industrial relations.
- 2) Focuses upon a vitally important yet little-studied sector of Japanese society: the small, urban family enterprise.
- 3) Is based upon two-and-a-half years of field work in Tokyo, Japan. Primary research techniques included:
 - a) Participant observation — Working in Japanese family enterprises, three months in the service industry, and one year in a factory; living for three months with a family who owned their own small company, and thereafter in the neighborhood in which I worked; participation in community activities such as festivals, tea ceremony lessons, adult education, company trips, and other events.
 - b) Interviews, both formal and informal.
 - c) Written materials, including statistics, government documents, and scholarly works, in both Japanese and English.

HONORS AND GRANTS

Social Science Research Council Dissertation Fellowship (write-up grant) 1996
Fulbright-Cultural Exchange/IEE Fellowship 1995
Fulbright-Hays/DDRA Dissertation Fellowship 1993
Foreign Language and Area Studies Fellowship 1992, 1990
Dept. of Anthropology, Harvard University; grant for exploratory summer research on Japanese career and professional women 1991
Japan Foundation/Japanese Ministry of Foreign Affairs; grant for one-month language/study tour of Japan 1989

¹⁵ This cv illustrates a dissertation abstract that presents the project's contribution to the field clearly in outline form, and includes both substantive issues and research techniques. The candidate omits a longer version as an attachment, since she feels that this outline form is most effective. The remaining categories after the dissertation and their order are determined by what the candidate feels are her strongest and most relevant qualifications for college or university teaching positions. Thus, her honors, which are impressive, appear early in the vita. Under teaching, she is careful to present both subject matter and level of responsibility, including lectures she gave.

TEACHING EXPERIENCE

Teaching Fellow, Harvard University

Courses Taught:

Senior Thesis Individual Tutorial, Committee on East Asian Studies 1996-97

Advising senior concentrators in East Asian Studies who are writing senior honors theses on Japan, or sociological/anthropological theses on China. Principal duties are editing and academic counseling.

“The Anthropology of Religion”, Prof. Evon Z. Vogt 1993

Led discussion section; organized Japan section of course; gave four lectures. Undergraduate course, surveying major theoretical approaches to the study of religion and ritual, applying theories to ethnographic data from four cultures: Eskimo, Zinacanteco, Japanese, and American.

Junior Tutorial, Committee on Folklore and Mythology 1992

Organized and led small discussion seminar on anthropological approaches to the study of myth and ritual. Class consisted of junior concentrators in Folklore and Mythology.

RESEARCH EXPERIENCE

Kodansha International, Publishers. The Encyclopaedia of Japan. 1992

Research and writing on various topics in Japanese religion.

Research Assistant to Prof. Harumi Befu, Dept. of Anthropology, Stanford University. 1990

Tabulating data collected by Prof. Befu on Japanese gift-giving and social exchange.

PAPERS

“Creating an Ideal Self: Ethics Training in Japan”, unpublished manuscript based on field research. 1996

“The Way of Tea; A Symbolic Analysis of the Japanese Tea Ceremony”, special paper, Harvard University. Forthcoming in S.J. Tambiah, ed., volume on ritual. 1993

“The Miko: Women and Shamanism in Japan”, unpublished senior honors thesis, Stanford University. 1990

RONALD PARKER¹⁶

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Harvard University
Cambridge, MA 02138
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e-mail: Parker@Hugsas

EDUCATION

Ph.D. Harvard University, (expected June, 1997)
A.M. Harvard University, 1992
B.A. Columbia University, May 1990

DISSERTATION TOPIC

“The Unbounded Community: Neighborhood Life and Social Structure in New York City, 1830-1875”.
(See attached summary)
Advisor: Professor Stephan Thernstrom

PREPARED TO TEACH

Urban History (See Summary of Thesis)
Quantitative History (See Quantitative Skills)
American Social History (General Examination field with Stephan Thernstrom)
Survey American Political History (See Teaching Experience)
Historical Sociology (General Examination field in Historical Sociology with Professor Orlando Patterson)

HONORS AND AWARDS

Charles Warren Center Summer Grant for Research (Summer, 1994)
Harvard University History Department Grant for Summer Research (Summer, 1994)
Charles Warren Scholarship in American History (1990-1992)

TEACHING EXPERIENCE

Head Section Person

“American Political History, 1920 to the Present”. 1995-1996.
Oversaw the teaching of two other teaching assistants for a class with over 160 students and conducted two sections. Prepared class assignments and some course examinations. Lectured on the Cold War, the Korean War, and McCarthyism
“American Political History, 1870-1920”. 1993-1994, 1992-1993
Lectured on “Immigrants, Bosses and Machines”, and on “Urban Reform During the Progressive Era”.

¹⁶ The candidate opts to discuss the dissertation on a separate page as an attachment to the cv. He still gives the dissertation its own heading and a prominent position on the first page of the cv, referring the reader to the attached summary. In the summary, the candidate not only deals with substantive issues and research techniques, but also shares some important findings from the dissertation. He makes optimal use of this length — not too short, but not too long — to convey how the dissertation contributes to the field. The candidate also includes a category on what he is prepared to teach, placing it near the beginning of the cv. For each item in this category he cites the principal source of this preparation, making it more concrete. Under teaching, he highlights his role as Head Section Person, and explains the special administrative responsibilities of that role. Finally, he rounds out his background with related experience, research, languages and quantitative skills — the last item being treated with specific detail about the skills.

Ronald Parker, page 2

Teaching Fellow

“Supervised Research for Senior Thesis”. 1995-1996, 1994-1995.

Topics included “Promise and Performance: The History and Accomplishments of Private Pension Plans in the United States”, “Protest from Depression to Prosperity: An Analysis of the Harlem Riots of 1935 and 1943”, “Paradise Lost: Park Development in New York 1850-1910”, “Planning the Central Artery in Boston, 1909-1979”, and “Black Rights and the Second World War, America’s Battle at Home”.

“Junior Tutorial in American History”. 1994-1995, 1993-1994.

Developed syllabus for and taught a small conference course in general American History.

Supervised Independent Study in Jacksonian American History and American Urban History. 1993 to 1994

“Sophomore Tutorial in History”. 1992-1993.

Taught an introductory conference course on topics in World History. Wrote a syllabus for American History that was employed the following year.

Teaching Assistant

“The New Deal” under Professor Frank B. Freidel. 1993-1994, 1992-1993.

Aided in conference course and had experience evaluating substantive research papers.

RELATED PROFESSIONAL EXPERIENCE

Mather House, Harvard University

Resident Advisor, August 1994 to the present.

Serve as academic advisor to history concentrators in the House. Social Responsibilities include the History Table, Wine Stewardship, Lapidary Workshop, and Coordination of Faculty Dinners.

Non-resident Advisor, March 1993 to August 1994.

RESEARCH

“The Politics of Municipal Default: Patrician Reform and the Establishment of the Fall River Board of Finance”. (1993)

“Work and Residence in Ante-Bellum New York City: Broadway—A Neighborhood Reconstitution”. (1991)

“Boardinghouse Structure and Function in Ante-Bellum Boston”. (1991)

QUANTITATIVE SKILLS

Computer Languages and Packages: SPSS, SAS, Loglin, Harvard Computer Program for Analyzing Sociological Data, and assorted Editing languages.

Statistical Techniques: Factor Analysis, Log-Linear Analysis, Iterative Proportional Fitting, Analysis of Variance, Linear Regression.

FOREIGN LANGUAGES

Spanish (Proficiency in Reading and Speaking). German (Adequate Reading).

SUMMARY OF THESIS

The rapid turnover in population in nineteenth century cities and the chaotic ordering of the neighborhoods has led many historians to focus almost exclusively on the social dislocation and uprootedness that they felt urban life brought. This dissertation seeks to re-examine these assumptions by searching for evidence of social networks and social mechanisms that might have served to cushion the adjustment of both newly arrived and settled urbanites in four New York City wards between 1830 and 1875. To this end, both quantitative and qualitative sources, such as manuscript state census, savings accounts, police blotters, church memberships, baptisms, marriages, government documents, diaries and guidebooks were scrutinized using the three essential definitions of neighborhood offered by modern sociologists: 1) the ecological roots of community as shown by the role of social status, family and ethnicity in shaping neighborhood selection; 2) the symbolic community or the ways in which contemporaries defined their neighborhoods; and 3) the social community or the role of informal and formal ties in helping to anchor the lives of many nineteenth century New Yorkers. Through statistical analysis, employing factor analysis and iterative proportional fitting, this study provides solid evidence which calls for a redefinition of the total dislocation that urban life was thought to present. Social networks and kinship ties are found to extend well beyond the confines of the immediate neighborhood to suburbs and satellite cities throughout the New York metropolitan area. Through a weak constellation of countrymen, co-workers, and friends, New Yorkers not only avoided dislocation, but also “found themselves as well protected and as comfortable as in a smaller town.”

JOHN BAKER GRUFF¹⁷
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EDUCATION

Harvard University, Ph.D., Romance Languages and Literatures, 1997
Harvard University, A.M., Romance Languages and Literatures, 1992
Williams College, B.A., Romance Languages, Philosophy, 1983
Sweet Briar College Junior Year in Paris, 1981-1982

HONORS

Phi Beta Kappa (Williams College), 1983
Benedict Prize in French (Williams College), 1983
Woodrow Wilson Fellow, 1983

DISSERTATION

“From *Centenaire* to *Millionaire*: Collectors and Collections in Balzac, 1822-1847”

My dissertation explores the emergence of the collector of art and antiques as a character type in the works of Balzac. Focusing primarily on the *Comédie humaine*, but also using texts from Balzac’s juvenilia and journalism, I trace the gradual evolution of the collector from harmless eccentric to heroic preserver of traditional values. This involves examining the collector as social type, as psychological phenomenon, and most importantly as avatar of the novelist himself. By treating Balzac the novelist as a kind of collector, I show that his work involves “collecting” at various levels: at the level of subject matter, at the level of descriptive structure, and at the level of the *Comédie humaine*, a collection of collections designed as a microcosm of the “real” world beyond the text.

¹⁷The candidate chooses to present the dissertation and its contribution in a succinct well-written paragraph — again with no attachment at the end. Under teaching, he makes a distinct separation between college-level experience and work done at the secondary level. The overall effect of the combined experiences is to show a strong background in French literature, language and civilization — thus allowing him to apply for a wide range of positions. The inclusion of academic service and additional experience abroad are also of interest to potential employers. Finally, there is the added touch of special pedagogical training which shows another facet of his preparation.

TEACHING EXPERIENCE

HARVARD UNIVERSITY, 1993-1997
Cambridge, Massachusetts

Program in History and Literature

Team-taught Sophomore Tutorial, an interdisciplinary seminar in History and Literature 1995-97

In collaboration with an historian, designed and taught three year-long group seminars in the history and literature of France, England and America.

Planned syllabi, led discussions, assigned and graded papers.

Senior Thesis Tutorial, History and Literature 1994-96

Advised senior concentrators in History and Literature on the preparation of their senior honors theses on French history and literature. Helped students with choice of topic, research, and editing.

Junior Conference Courses, History and Literature 1994-96

Designed and taught year-long individual conference courses in French literature 1750-1960 for junior concentrators in History and Literature. Planned reading lists suited to each student, led one-to-one discussions, assigned and graded papers, helped in preparation of junior honors essay.

Department of Romance Languages

“The Nineteenth Century Realist Novel in France,” Prof. Per Nykrog 1994-95

Led discussion section, helped to write and grade exam. Undergraduate course in the novel from Balzac to Zola as a reflection of increasing authorial social awareness. Works read and discussed in English.

Introductory French 1993-94

Taught one class of this five-day-a-week, full-year beginning language course, using Benamou/Ionesco *Mise en train*. Contributed to and graded oral and written exams. Worked with students in language lab.

Gruff, page 3

ST. CHRISTOPHER'S SCHOOL, 1984-1988
Richmond, Virginia

Senior Elective Language Course in Impressionism and French Film 1987-88

Designed and taught this two-semester course, conducted in French, for seniors who had studied French since grade six. First semester, French painting from Delacroix to Cezanne, used slide lectures and class discussions of slides as basis for conversation. Second semester read scripts and saw clips of films from Renoir to Truffaut. Both semesters featured guided writing assignments in French, focusing on visual materials.

Senior Elective Language Course in French Art in the Roman period 1985-86

Planned and taught this two-semester course, conducted in French, with procedures similar to those in course above. Survey of architecture and sculpture as well as painting.
Language courses 1984-88

French: beginning, intermediate, and advanced
Latin: beginning

ADDITIONAL ACADEMIC SERVICE

Non-resident Tutor at Lowell House, Harvard University. Advise students in this residential hall on academic matters, supervise French table. 1995-present

Member, Committee on Instruction in History and Literature. 1995-97

Wrote and graded senior general examination, conducted senior oral exams, considered petitions for course credit in concentration, made degree recommendations.

Organized and managed a French film festival at St. Christopher's School, Richmond, Virginia. 1988

Planned and escorted a study tour for high school students in France, England, Austria and Czechoslovakia. 1985

ADDITIONAL EXPERIENCE ABROAD

Summer study with Institut d'Etudes Françaises d'Avignon 1994

Summer work at American Hospital of Paris 1990

Summer work with Indussa Corporation, Belgium 1989

Gruff, page 4

SPECIAL PEDAGOGICAL TRAINING

Student in Professor Wilga Rivers' Romance Philology, a course in language teaching methodology, taken in tandem with a practicum in language teaching techniques, and in conjunction with my work as a teaching fellow in Introductory French . 1993-94

ROGER BROWN¹⁸

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Harvard University
Cambridge, MA 02138
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Dimick St. Apt. 3
Somerville, MA 02143
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EDUCATION HARVARD UNIVERSITY

Ph.D. Physics, degree expected June 1997
A.M. Physics, 1992

PRINCETON UNIVERSITY

A.B. Physics, 1990. *Summa Cum Laude*
Phi Beta Kappa, 1990.
Kusaka Physics Prize, 1990 (best thesis in department).
Pyka Physics Prize, 1987 (most progress in freshman physics).

THESIS “Computational Inflation”

This thesis, under the direction of Prof. William Press, is the most recent project in a graduate career devoted to the interplay of cosmology and elementary particle physics, and specifically the inflationary universe. (see publications below and attached summary)

TEACHING HARVARD UNIVERSITY

and

ADVISING INSTRUCTOR, 1996-1997.

(promoted based on demonstrated teaching ability.)

Physics Department: will teach, during spring semester, the introductory physics course satisfying premedical requirements.

Astronomy Department: presently teaching “The Astronomical Universe,” an introduction to astronomy and astrophysics for nonscience majors.

TEACHING FELLOW, 1993-1996.

Physics Department: The same as above plus an introduction to physics for science majors, and a graduate course in quantum mechanics. Suggested and developed a set of lectures on the path integral formulation of quantum mechanics, presented at the professor’s request. Taught introduction to physics for science majors not only during the regular academic year, but also during the summer when the course is open to students from all institutions.

¹⁸ In this case, the candidate presents a brief statement about his thesis on the first page of the cv, and also includes a one-page summary as an attachment. His initial statement not only refers the reader to the attached summary, but also to publications stemming from the thesis. Although his topic is highly technical, his summary employs an accessible writing style. His strong interest in teaching as well as research is clearly reflected in the prominent and careful treatment he gives to his teaching experience. Finally, he shows a certain breadth by the non-technical writing he has done. The overall presentation helps to make him a strong candidate for small teaching colleges as well as serious research institutions.

Roger Brown, page 2

Astronomy Department: The same as above.

Core Curriculum: "From Alchemy to Elementary Particles," Sheldon Glashow's course on modern physics for nonscientists.

PHYSICS TUTOR, Lowell House, 1994-1997

Advise all House undergraduates enrolled in physics courses, and promote interest in science through dinnertime science tables open to everyone. This fall (1996) presented a talk entitled "The Architecture of the Universe: A New Understanding."

PUBLICATIONS

"Fluctuations in Models with Primordial Inflation."

Physics Letters **141B**, 317 (year).

(with R. Brandenberger)

"Cosmological Perturbations in Inflationary Universe Models." Physical Review **D29**, 2172 (year).

(with R. Brandenberger)

"Cosmological Perturbations in the Early Universe."

Physical Review **D28**, 1809 (year). (with W. Press and R. Brandenberger)

"Finding the Order in Chaos."

Newsweek (date), p. 53. (with S. Begley and J. Carey)

"Hawking Radiation in an Inflationary Universe."

Physics Letters **119B**, 75 (year). (with R. Brandenberger)

"The Decay of Perturbations in DeSitter Space."

unpublished, (year).

"Galaxy Formation and the New York City Bus System."

McDonald Observatory News (to be published).

OTHER SCIENCE WRITING

For the past year have been helping Prof. Victor F. Weisskopf of M.I.T. with the writing and revising of his Sloan foundation sponsored autobiography.

During the summer of 1995 was an **AAAS Mass Media Science Fellow**, at *Newsweek* Magazine in New York; researched and wrote articles for the science section of the magazine. This fellowship was sponsored by the American Association for the Advancement of Science.

THESIS SUMMARY

How can we explain the observed large scale structure of the universe? Where did this spectrum of cosmological perturbations arise and how did it evolve? The inflationary universe (first proposed by Guth, 1979) comes tantalizingly close to finally providing a possible scenario. Inflation transforms initial quantum and thermal fluctuations into a final spectrum with the correct shape but with an amplitude $O(10^4)$ too large (Brandenberger and Kahn, Physical Review **D29**, 2172 (1984); and many others). What went wrong? In the paper cited above, we demonstrated that the final predicted spectrum of cosmological perturbations depends crucially on the equation of state of the universe at initial horizon crossing. This thesis considers two approaches which take advantage of that observation:

- a) assume the previous analyses are correct, and examine more exotic elementary particle models, which lead to different equations of state. With Brandenberger, I have studied a class of models which produce the desired final result (Physics Letters **141B**, 317 [year]).
- b) question the previous analyses. In particular, examine in detail the equation of state throughout the period of interest. I have developed a classical, (2+1) dimensional computer model describing a phase transition in the early universe. This model includes a thermal bath dynamically as an explicit set of evolving fields. I am presently studying this model to see if I can achieve the desired spectrum of fluctuations, even in elementary particle models considered conservative (according to today's generous standards).

This work rests on a framework developed over the past several years. Press, Brandenberger and I described a general gauge-independent method for analyzing these cosmological perturbations (Physical Review **D28**, 1809 [year]). Brandenberger and I proved the existence of Hawking radiation in inflationary universe models (Physics Letters **119B**, 75 [year]). My work in this area began with my qualifying exams in 1993, when I examined the decay of perturbations in pure DeSitter space.

ROBERT BRADLEY¹⁹

Home Address
Office Address
e-mail:

EDUCATION

Harvard University, Ph.D. Political Science expected June 1997
M.A. Political Science June 1993

Free University of Brussels 1990
Institute of European Studies

Middlebury College, B.A. *summa cum laude* May 1989
Political Science/French
Junior Year at l'Institut d'Etudes Politiques, Paris

DISSERTATION

“The Politics of Monetary Policy in France, Germany and Italy: 1973-1985” (see attached summary)

TEACHING EXPERIENCE

HARVARD UNIVERSITY

Senior Thesis Advisor, Government Department 1996-1997

Currently advising senior concentrators in Government who are writing senior honor theses in the areas of Western European politics and international political economy. Duties include counseling on thesis organization and research method.

Teaching Fellow, Government Department and Core Curriculum 1992-1996

Conducted weekly discussion sections, graded research papers and examinations, and helped prepare examination questions in the following courses:

“International Conflicts in the Modern World” Spring 1996 (Core Curriculum). An introductory course on the causes of interstate conflicts. Topics include the 19th century balance of power, imperialism, the origins of World Wars I and II, the Cold War, nuclear deterrence, and international economic conflicts.

¹⁹ While the cv of this candidate displays a well-rounded background — including related professional experience in government work — his cover letter, which is presented here, is more focused.

Bradley, 2

“U.S. Foreign Policy” Spring 1993 (Government Department). A survey of American foreign policy in the twentieth century towards the Soviet Union, China, Western Europe, the Middle East, Africa, and Latin America. Also considered were the Vietnam war, human rights, and the policymaking process.

“Political Development of Western Europe” Fall 1992 (Government Department). A comparative analysis of the economic and political development of Britain, Germany, Italy and France.

GRANTS AND AWARDS

Richard D. Irwin Doctoral Fellowship in Business, Economics, and the Social Sciences 1996-1997
National Science Foundation Dissertation Grant 1994-1996
Fulbright-Hays Fellowship to Italy 1994-1995
Krupp Foundation Fellowship 1993-1994
ITT International Fellowship to Belgium 1989-1990
Middlebury College, Phi Beta Kappa (elected junior year) 1988
Charles A. Dana Scholar, Middlebury College 1986-1989

PUBLICATIONS AND PRESENTATIONS

Discussant, Panel on the “State and Social Regulation,” Conference Group on Italian Politics, American Political Science Association convention, Washington D.C., August 30, (year).
“Rediscovering Les Patrons,” French Politics and Society, Fall (year): 35-40.

RESEARCH AFFILIATIONS

Graduate Student Associate, Center for European Studies, Harvard University. 1992-1996
Co-Chair, Study Group on Monetary Policy. 1995-96
Visiting Researcher, Institut National de la Statistique et des Etudes Economiques, Paris. 1994
Visiting Scholar, Council for the United States and Italy, Rome. 1993
Visiting Scholar, Deutsche Gesellschaft fur Auswartige Politik, Bonn. 1992

ACADEMIC SERVICE

Non-Resident Tutor, Lowell House, Harvard University 1995-1996
Serve as academic advisor to Government concentrators.

Assistant Head Tutor, Government Department, Harvard University 1995-1996
Responsible for administering junior tutorial program.

RELATED PROFESSIONAL EXPERIENCE

Assistant to Press Attache, U.S. Embassy, Belgium December 1989
LBJ Congressional Intern to the Honorable Lee H. Hamilton Summer 1989

FOREIGN LANGUAGES

French, German, Italian, Spanish.

ROBERT BRADLEY

Thesis Abstract

THE POLITICS OF MONETARY POLICY IN GERMANY, FRANCE, AND ITALY

All governments must reconcile the conflict between sovereignty and interdependence in monetary policymaking. In the case of the industrial countries, this conflict became particularly acute after the breakdown of the Bretton Woods system of fixed exchange rates in 1973. Despite their similar predicaments, monetary authorities in different industrial countries have formulated diverse policy responses. Three kinds of theories — international, structural, and process — have been proposed in the political economy literature to account for this divergence in monetary policy. Each approach offers valuable insights but ultimately fails to provide an adequate explanation. The central thesis of the present study is that differences in monetary policies are best explained by the systematic integration of these three approaches. In particular, the study argues that external pressures and the degree of central bank independence determine the degree to which domestic politics (elections, parties, interest groups, and bureaucratic politics) influence monetary policy.

This conclusion is based on a structured comparison of monetary policy in three states: Germany, France, and Italy. In adopting this research strategy, the present study seeks to bridge the gap between the existing cross-national statistical analyses and single country case studies of monetary policymaking. In each instance, I evaluate the relative importance of specified domestic and international factors. Interviews I conducted with more than 150 prime ministers, central bank governors, treasury ministers, senior officials, politicians, and interest group representatives in the three countries constitute the primary data for this research.

BRADLEY COVER LETTER²⁰

address
date

Dear Professor X:

I am writing to apply for the position in comparative politics. Your announcement mentions that you are seeking a candidate with an interest in cross-national comparative research. As my vita indicates, my research analyzes European policymaking in comparative perspective. In particular, my dissertation compares the politics of monetary policymaking in Germany, France, and Italy from 1973 to 1985. It seeks to explain why the monetary strategies of the three countries have followed such different courses in the past thirteen years. To answer this question, I examine crucial turning points in the monetary policies of each country. The dissertation argues that the difference in the monetary policies of the three countries results from differences in central bank independence, exchange rate regimes, and economic policy ideas. This analysis is based upon two years of field research in Europe, during which time I conducted more than 150 interviews with past and present prime ministers, central bank governors, treasury ministers, politicians, senior government officials and interest group representatives. I expect to complete the dissertation in the summer of 1997.

As shown in my vita, I have served as a Teaching Fellow for the courses on Western European politics, as well as for courses on international relations and U.S. foreign policy. In addition to teaching several courses in comparative and Western European politics, I am prepared to teach courses in international political economy, methods of comparative political analysis, public policy, and foreign policy.

My dossier is being sent to you under separate cover, and I would be happy to provide you with any further information.

Sincerely,

Robert Bradley

²⁰ This sample cover letter belongs to the preceding cv, which was included as an enclosure with this letter. It responds directly to the announcement, which calls for someone with an interest in comparative research. The letter emphasizes how the dissertation fulfills this requirement, with further reinforcement through teaching experience. The letter is both concise and informative, as is the dissertation abstract that is attached to the cv.

LAURA A. LITCHFIELD²¹

Office Address:
Committee on the Study of Religion
Harvard University
Cambridge, MA 02138
(617) 495-2099; e-mail: Litchfield@

Home Address:
108 Garden Street
Cambridge, MA 02138
(617) 491-4774

EDUCATION

Ph.D. Harvard University, Study of Religion 1997 (expected)
A.M. Harvard University, Study of Religion 1995
M.T.S. Harvard Divinity School, History of Religion 1992
A.B. Vassar College, Religion (General Honors) 1983

DISSERTATION TOPIC

“Veda and Torah: The Ontological Status of Scripture in the Hindu and Judaic Traditions” (see “Publications and Papers” below and attached abstract)

PUBLICATIONS AND PAPERS

“Hindu Ethics” (Essay and Annotated Bibliography). In The Berkeley-Harvard Annotated Bibliography on Comparative Religious Ethics, edited by Valerie DeMarinis and Douglas Mansager. Cambridge and New York: Cambridge University Press (forthcoming).

“The Bride of Israel: The Ontological Status of the Torah in the Judaic Tradition.” In Rethinking Scripture, edited by Miriam Levering. Albany: State University of New York Press (forthcoming).

“Hindu Cosmogony: Creation Motifs in Vedic and post-Vedic Mythology.” Harvard University (in preparation for publication).

“The Agnistoma Sacrifice as Reflected in the Soma Mandala of the Rg-Veda.” Harvard University (in preparation for publication).

“Sakti: The Paradoxical Power of the Feminine.” Paper read at Harvard University (1995).

²¹The cv for this candidate includes a category entitled "Areas of Specialization," which is a fairly standard practice in this field. We have noted in this chapter that each field has its own norms, and candidates are well advised to conform with them. Another feature of the cv is the effective way in which the candidate summarizes the teaching responsibilities of a Teaching Fellow at the very beginning of the entries on teaching experience. This results in a concise treatment of teaching experience, which in this case is fairly extensive. Adjoining this cv we have provided an actual job description and the cover letter the candidate wrote in response to the job description.

Litchfield, page 2

AREAS OF SPECIALIZATION

Primary: Religious Traditions of India — General history and literature, Vedic studies, Epic and Puranic studies, Hindu religion and philosophy, Buddhist religion and philosophy

Secondary: Judaic Tradition — General history and literature, biblical hermeneutics, rabbinic Judaism, Kabbalah

General Religious Studies: World Religions, phenomenology of religion, traditional and modern hermeneutics

PROFESSIONAL EXPERIENCE

Teaching Fellow, 1992-1997

Responsibilities have included planning and preparation of course syllabi and reading lists, presentation of lectures, conducting of weekly discussion sections (approximately 20 students per section), student advising, and grading of examinations and term papers. Activities as a Head Teaching Fellow have involved the additional responsibilities of coordination of all course administration and supervision of the other Teaching Fellows for the course.

“Scripture” and “Classic”: Great Religious Texts, Harvard University, taught by Professor William A. Graham, Jr. 1996-1997

“The History of Buddhism in India and Tibet,” Harvard University, taught by Professor David Eckel (taught two sections of the course)

“Sources of Indian Civilization,” Harvard University, taught by Professor Diana L. Eck (taught one section of the course) 1995-1996

“Ritual and the Religious Life” (Hindu and Christian), Harvard University, taught by Professor Diana L. Eck (taught one section of the course) 1994-1995

“Introduction to Theological Education for Ministry,” Harvard Divinity School, taught by Professors George MacRae, Sharon Welch, and David Eckel (taught two sections of the course)

“Introduction to the History of Religion,” Harvard University, taught by Professor Wilfred Cantwell Smith; Head Teaching Fellow for three Teaching Fellows and six section (taught two sections of the course) 1993-1994

“Sources of Indian Civilization,” Harvard University, taught by Professor Diana L. Eck (taught two sections of the course)

“Hindu Dharma: Moral Theory and Cultural Embodiment,” Harvard Divinity School, taught by Professor John B. Carman (co-teaching of seminar) 1992-1993

“Introduction to Theological Education for Ministry,” Harvard Divinity School, taught by Professors Helmut Koester, David Eckel and Sharon Parks (taught two sections of the course)

Litchfield, page 3

Research Assistant, 1991-1996

Project on Global Approach to the Study of Religion, Harvard University, University of California at Berkeley, and University of Chicago 1995-1996

Research and outline of a basic introduction to the Hindu tradition to be used in a guidebook to train college teachers of religion participating in the series of summer institutes (1995-1998) on the comparative study of religion jointly sponsored by Harvard University, the University of California at Berkeley, and the University of Chicago.

Project on Comparative Religious Ethics, Harvard University and University of California at Berkeley, funded by NEH and the Luce Foundation 1991-1994

Coordination of the project in the initial stages of planning. Research and preparation of an essay and annotated bibliography on Hindu ethics (see “Publications and Papers” above) to be incorporated in a syllabus for introductory courses on comparative religious ethics to be used by colleges and universities throughout the United States.

HONORS

Mentorship Grant, Office of the Associate Dean for Undergraduate Education, Harvard University, spring 1997

Representative, Harvard Graduate School of Arts and Sciences, Harvard University’s 350th Anniversary, 1996

Harvard Graduate School of Arts and Sciences Merit Fellowship, 1994-1995

American Institute of Indian Studies Junior Research Fellowship, 1994-1995

Harvard University Scholarship, 1991-1997

Dorot Foundation Grant for Study in Israel, summer 1990

(administered by Frank Moore Cross, Department of Near Eastern Languages and Civilizations, Harvard University)

General Honors, Vassar College, 1983 (highest honors awarded at Vassar)

Selected for University of Wisconsin College Year in India Program, 1980-1981

National Defense Foreign Language — Title VI Award, University of Michigan, summer 1980

Vassar College Scholarship, 1979-1983

LANGUAGE SKILLS

Sanskrit (eleven semesters)

Hindi (four semesters)

Hebrew: Biblical (four semesters), Rabbinic (two semesters),

Modern (two semesters)

Aramaic (one semester)

French (eleven semesters)

German (two semesters)

TRAVEL EXPERIENCE

India (eleven months, Aug. 1980 - June 1981, July - Aug. 1996)

Israel (four months, Dec. 1988 - Jan. 1989, June - Aug. 1990)

Switzerland (four years and seven months, Jan. 1984 - June 1985,

Nov. 1985 - Dec. 1988)

ABSTRACT OF DISSERTATION

The study of scripture since the nineteenth century has been almost exclusively the domain of biblical and orientalist scholars, who have applied the tools of critical analysis in order to determine the cultural, historical and literary influences that have given rise to individual texts. In order to supplement these historical and literary studies of particular texts, a number of historians of religion in recent years have emphasized the need for more inquiries into the role of religious texts as scripture in the ongoing life of religious communities. While these scholars have been primarily concerned with the functional status of scripture, the focus of my dissertation is the ontological status of scripture. My study is concerned not with what people have done with scripture, but rather with what they have conceived scripture to be — its origin and cosmological import, its role in creation and revelation. Such conceptions significantly influence the sacred status, authority and function of scripture within religious communities.

My dissertation is a study of traditional ontological conceptions of scripture as expressed in the Hindu concept of Veda and the Judaic concept of Torah, with particular emphasis on the role of knowledge and speech as identified with scripture in the processes of creation and revelation. Part I of my study focuses on the traditional Hindu perspective in which the sacrality and authority of the Veda are held to be based on its ontological status as śruti. In this perspective the Veda is viewed not only as a textual phenomenon but also as a cosmic reality, encompassing both an earthly and a divine dimension. In its earthly dimension the Veda consists of a concrete, finite corpus of hymns, sacrificial formulae, chants, etc., that has been meticulously preserved and passed down from generation to generation through oral tradition, while in its divine dimension the veda is conceived to be that eternal, supersensuous knowledge which exists on the subtle level of creation as the source of the universe. My study analyzes the ontological conceptions of Veda from their seminal expression in Vedic cosmogonies to their detailed elaboration in the creation accounts of post-Vedic texts, with some attention given to the theoretical reflections about the Veda contained in the writings of certain philosophical schools.

Part II of my study analyzes the ontological conceptions of Torah found in certain strands of the Judaic tradition in which the Torah is viewed not merely as a circumscribed body of texts but also as a cosmic reality that is a living manifestation of the divine. In its earthly dimension the Torah consists of a concrete written text together with an oral tradition of interpretation that was revealed at a particular time and particular place within history. In its divine dimension, as described in certain texts, the Torah is conceived to be that pre-existent, primordial wisdom which is a living aspect of God and the immediate source of creation. My study examines the ontological conceptions of Torah from the seed conceptions first expressed in the wisdom literature of the Hebrew Bible and Apocrypha and further developed in rabbinic sources, to the elaborate cosmogonies contained in the Zohar and other medieval kabbalistic texts.

As a result of my doctoral dissertation, I hope to be able to make a significant contribution to the understanding of both the Hindu and Judaic traditions by illuminating the significance of the

ontological conceptions of Veda and Torah not only as a pervasive and enduring motif in the traditional texts, but, perhaps more importantly, as a living force influencing the attitudes and practices of the Brahmanical custodians of the Vedic recitative tradition and the exponents of the rabbinical tradition from ancient times until the present day. Furthermore, by placing my study of Veda and Torah in the broader context of the status and role of scripture as a general religious phenomenon, I also hope to contribute to the understanding of one of the foundational concepts not only of the Hindu and Judaic religions, but of religion in general.

JOB DESCRIPTION FOR LITCHFIELD COVER LETTER

THE UNIVERSITY OF CALIFORNIA, SANTA BARBARA, Department of Religious Studies, invites application for an anticipated position beginning Fall 1997, in the general area of Cross-Cultural Religious Studies.

Applicants should demonstrate a sound knowledge of more than one religious tradition, with appropriate philological competence; be prepared to work in a cross-cultural mode; and be thoroughly conversant with the methodological approaches to the study of religions. Candidates must have potential both as a research scholar and as a teacher. Disciplinary areas could include: History of Religions; Social-Scientific Study of Religion (e.g. Anthropology of Religion); or Comparative Philosophy of Religion. It is expected that this position will be filled at the junior level, but senior scholars may also apply. Normally, completion of the PhD is required at the time of appointment.

Please send resume or placement file and names of three references to: Professor Ninian Smart, Chairman, Search Committee, Department of Religious Studies, University of California, Santa Barbara, CA 93106. (805) 961-3578. Deadline for applications: March 1. EOE/AA.

LITCHFIELD COVER LETTER²²

Address

Date

Professor Ninian Smart, Chairman
Search Committee, Department of Religious Studies
University of California, Santa Barbara
Santa Barbara, CA 93106

Dear Professor Smart:

I am writing to apply for the position in Cross-Cultural Religious Studies in your Department of Religious Studies. I was very interested to learn of this position, as my research and teaching experience correspond closely with the requirements described in your announcement. I am a PhD candidate in Comparative Religion in the Committee on The Study of Religion at Harvard, specializing in the Hindu tradition as my major and the Judaic tradition as my minor. I plan to complete the PhD this spring and will be available to begin teaching by July 1, 1997.

As the enclosed abstract indicates, my dissertation is a study of traditional cosmological conceptions of scripture as expressed in the Hindu concept of Veda and the Judaic concept of Torah, with particular emphasis on the role of knowledge and speech as identified with scripture in the processes of creation and revelation. While a number of scholars have emphasized the functional status of scripture in religious communities, my study is concerned not with what people have done with scripture, but rather with what they have conceived scripture to be—its origin and cosmological import, its role in creation and revelation. My study attempts to illuminate the significance of the cosmological conceptions of Veda and Torah not only as a pervasive and enduring motif in the traditional texts, but, perhaps more importantly, as a living force influencing the attitudes and practices of the Brahmanical custodians of the Vedic recitative tradition and the exponents of the rabbinic tradition from ancient times until the present day. Furthermore, by placing my study of Veda and Torah in the broader comparative context of the status and role of scripture as a general religious phenomenon, I hope to contribute to the understanding of one of the foundational concepts not only of the Hindu and Judaic religions, but of religion in general.

As my dissertation topic, my curriculum vitae, and synopsis of courses indicate, I have completed substantial work in both Sanskrit and Indian studies and Hebrew and Judaic studies. My research in Indian studies has primarily focused on certain foundational myth complexes in the classical texts of the Brahmanical Sanskrit tradition and has involved a diachronic analysis of the layers of interpretation and reinterpretation through which these myths were modified in the course of the tradition's formative development. In particular I have been concerned with three main myth complexes: (1) Hindu cosmogony, (2) Krishna mythology and devotion, and (3) mythology of the Goddess. In addition to my work in Hindu mythology, I have been interested in the ritual, moral, and social order of Hindu society, particularly as

²² The cover letter provides ample information in response to the fairly detailed job description, which is presented on the preceding page. Note how the cover letter deals with each item in the job description, bringing out the candidate's qualifications for the position through the dissertation and other research, as well as teaching experience. Note as well how her letter effectively uses her dissertation abstract, paraphrasing the major points about her contribution to the field rather than engaging in a counter-productive attempt at a new formulation. In general, her letter works closely with her cv and reinforces the picture presented there. Her letter is perhaps long, but her many qualifications for this fairly complex job description determined the length. She is thorough in her response, but does not overlook the need to be succinct in the way she discusses her many qualifications.

expressed in the concept of dharma. This interest has grown out of research and teaching with my doctoral advisor, John Carman. As a research assistant for the Harvard-Berkeley Project on Comparative Religious Ethics I prepared an essay and annotated bibliography on Hindu ethics, which primarily focused on dharma and related concepts.

My work within the Judaic tradition has focused primarily on the traditions of biblical interpretation, with particular emphasis on Midrash and rabbinic hermeneutics. As in my Hindu studies, I have been interested in examining the way in which certain key concepts and laws described in seed form in the Torah (Pentateuch) are developed and elaborated through successive stages of interpretation and reinterpretation in the later texts.

During my graduate studies at Harvard I have had extensive experience teaching courses in the religious traditions of India, including Buddhism as well as Hinduism. I have also had the opportunity to teach courses in world religions, in theological education, and in the comparative study of religion. My teaching experience has included large introductory undergraduate courses as well as more advanced graduate level seminars. I am prepared to teach courses in both Indian and Judaic studies, including historical and textual studies as well as more thematic and topical studies. In addition, I would enjoy teaching courses involving cross-cultural analyses of religious categories such as scripture, myth, ritual and sacrifice.

I would be happy to furnish you with any further information or with samples of my written work. With respect to my references, I have asked the Dossier Service of Harvard University to send you my dossier.

Thank you for considering my application.

Sincerely,

Laura A. Litchfield

VERNON LING²³

House
Department of Government
Harvard University
Cambridge, MA 02138
(617) 498-3130

Littauer Center
Harvard University
(617) 495-7949

EDUCATION

Ph.D. (expected), Department of Government, Harvard University. 1997
B.A., *Magna Cum Laude*, Claremont College, California. 1990
Field: European Intellectual History.

DISSERTATION

“From Rotten Apples to Falling Dominos to Munich: The Cognitive and Structural Limits of Reasoning by Analogy about Vietnam.” (See attached summary)
Advisors: Professors Stanley Hoffman and Michael Smith.

HONORS AND GRANTS

Social Science Dissertation Fellowship, Harvard University. 1996-1997
Moody Grant for Research in the Johnson Library, Lyndon Baines Johnson Foundation, Austin, Texas. 1996
Institute for the Study of World Politics Fellowship, New York. 1995-1996
Graduate Associate, Center for International Affairs, Harvard University. 1993-1995
History Prize (best student in department), Claremont College. 1990
R.H. Garrison & J.R. Hayes Foundation Scholarship, Claremont College. 1987-1990

²³The candidate makes particularly effective use of the thesis summary in showing how his research contributes to the field. It not only describes the topic, but actually shares some important findings of the thesis — something that normally can only be done if the candidate is far enough along on the thesis.

PUBLICATIONS

“Seduction by Analogy in Vietnam: The Malaya and Korea Analogies,” in Kenneth Thompson (ed.), *Institutions and Leadership: Prospects for the Future*, (Maryland: University Press of America, forthcoming).

“War and International Theory: A Commentary on the State of the Art,” *Review of International Studies*, Vol. 10, No. 1 (January year), pp. 41-63.

“A Rejoinder [to Bruce Bueno de Mesquita’s reply to the above review essay of The War Trap],” *Review of International Studies*, Vol. 10, No. 1 (January year), pp. 77-78.

TEACHING EXPERIENCE

Recipient of three Certificates of Distinction in Teaching, Harvard-Danforth Center for Teaching and Learning, Harvard University. 1993-1996

Teaching Fellow, Department of Government

“Theories of International Relations” (R. Keohane). 1995

Junior Tutorial: “Approaches to International Relations Theory”. 1994

Designed and taught weekly small seminars for Junior honors candidates in the Government Department. Emphasis was on contending approaches and their bearing on the results of the theoretical inquiry. Assigned and graded seminar-length papers.

Senior Thesis Advisor to honors candidates in the Government [and Social Studies] Departments. Supervised five theses on American foreign policy and International Relations Theory. 1992-1995

Sophomore Tutorial: “Constitutional Democracy in America”. 1992-1994

Designed by faculty but taught by Teaching Fellows in Harvard’s residential Houses. Course examines the relationship between American political thought and practice. Taught two _____ House sections each year. Led weekly discussion, assigned and graded short papers every other week.

Head Teaching Fellow, CORE Curriculum

“Ethics and International Relations,” (S. Hoffman/M. Smith). 1993-1995

Conducted sections and coordinated teaching activities of three other teaching assistants for a class with over 100 students. Assigned and graded papers; helped set and graded final examinations. Lectured on Nuclear Deterrence.

“War,” (S. Hoffman/M. Smith). 1992

Conducted sections and coordinated teaching activities of four other teaching assistants. Assigned and graded papers; helped set and graded final examinations.

ACADEMIC SERVICE

Resident Tutor in Government, _____ House. 1992-present

Academic advisor to over forty Government majors residing in _____ House each year. Taught Sophomore Tutorial, 1982-84. Ran Politics and Society Dinner Series: invited social science faculty to dinner and discussion with _____ House students.

PROFESSIONAL ACTIVITIES

“Seduction by Analogy in Vietnam: On the Descriptive, Prescriptive, Normative and Predictive Aspects of the Malaya and Korea Analogies,” paper presented at the American Political Science Association Meeting, New Orleans. 1995

“The Scientific Study of War,” seminar presentation before the National Security Study Group, Harvard University. 1993

Member, American Political Science Association. 1990-present

LANGUAGE AND QUANTITATIVE SKILLS

Malay/Indonesian: Good speaking, reading and writing abilities.

Chinese: Native speaking ability in Mandarin, Hakka, Hokkein and Cantonese.

Statistical Techniques: Linear regression, Factor analysis, Recursive and Simultaneous equation models.

SUMMARY OF THESIS

My dissertation examines the nature of analogical reasoning and the role such reasoning plays in foreign policy decision-making. An analysis of the historical analogies which informed the thinking of those who formulated America's Vietnam policy shows that (i) "the lessons of the past" played a critical role in the U.S. decision to intervene in Vietnam: they were used to diagnose the nature of the Vietnam conflicts, to define the stakes involved and to predict the likelihood of a U.S. victory; (ii) reasoning by analogy is a hazardous enterprise because of limitations inherent in the structure of the analogy and in human cognition. This approach contrasts with existing approaches that focus on criticizing inexact analogies and on identifying systematic ways to use analogies better. If my argument is correct, the search for better or more systematic ways to use analogies is likely to be an elusive enterprise.

Interviews with former officials, including Dean Rusk, McGeorge Bundy, William Bundy, Harry MacPherson, George Ball and Roger Hilsman, together with newly declassified documents in the Johnson Library, constitute the major primary sources used in answering the question, "How important were the lessons of the past in decision making"? The link between historical analogies and the decisional outcome is then demonstrated more rigorously by using Alexander George's "congruence procedure" and "process tracing." Finally, findings from cognitive psychology — schema theory in particular — are used to illuminate the obstacles that prevent policy makers from using analogies well.

LING COVER LETTER²⁴

Address
Year

Professor Donald Moon, Chairman
Department of Government
Wesleyan University
Middletown, Connecticut 06457

Dear Professor Moon:

I am interested in applying for the junior opening in International Relations. Enclosed you will find (i) my curriculum vitae; (ii) a chapter of my dissertation; (iii) a reprint of an article published in 1994 and (iv) the syllabus of a course on International Relations Theory I designed and taught in the fall of 1994.

Letters of recommendation from Professors Stanley Hoffmann, Michael Smith and Robert Keohane will arrive shortly. Syllabi for courses in which I have served as a Teaching Fellow and Bruce Buneo de Mesquita's reply to my review essay of his book, *The War Trap* will also be sent soon.

Thank you for considering my application.

Sincerely

Resident Tutor in Government

P.S. From Nov. 10-21, I can be reached at (512) 477-6395; I expect to be in Cambridge otherwise.

²⁴The cover letter is very brief, but is accompanied by a considerable amount of supporting material, which will bring out the individuality of this candidacy. In this case, the supporting material was required, but candidates may send material even if this is not the case, as long as it is not forbidden.

CHAPTER EIGHT

BEYOND THE GRADUATE PROGRAM: APPLYING FOR POSTDOCTORAL FELLOWSHIPS AND OTHER RESEARCH POSITIONS IN THE FIELD OF THE PhD

APPLYING FOR A POSTDOCTORAL POSITION IN THE SCIENCES

The postdoctoral position in the sciences and the process of applying have some distinctive features that set them apart from the humanities and social sciences:

1. First and foremost, in the sciences a postdoctoral position is typically the first step on the academic ladder; it is not just an option, it is almost an essential step, perhaps like a *rite de passage*. In the humanities and social sciences, on the other hand, there are fewer postdoctoral opportunities (although growing in number in recent years), and candidates are likely to apply for them while also going on the academic job market; it is simply another option, a supplement that expands possibilities for gaining a first position.

2. Another important difference is that in the sciences many postdoctoral positions are obtained through networking and an informal market, rather than through a formal posting and application process, which is more typical for postdoctoral positions in the humanities and social sciences – although also true for some positions in the sciences. **Candidates in the sciences thus need to learn how to deal with the informal postdoctoral market if they are to land a position, and this means following a number of steps, as outlined below (see as well the following summary of a panel discussion on this topic):**

- The first obvious step in the informal networking process is to discuss your interests and goals with your lab director and other dissertation advisors, and to get a sense of how much they are prepared to do in helping you to find a position.
- In theory, this might be the first and last step: your lab director picks up the phone and arranges a position for you at the lab of your choice. Many students, however, find that even the most conscientious lab directors and advisors may disengage once they see the training process coming to an end; or, if they don't disengage, they simply don't have the connections or influence that you hoped they might have. They may make a few suggestions, but are not prepared to do much more.
- Because of the uneven nature of the kind of help you can expect in the networking process, it is important for you to swing into the active mode as early as possible; it may encourage your advisors to become more active as well if they see that you are doing the following:
 - a. Expand the list that your advisors may have given you by identifying the labs that are of particular interest to you (students tend in any case to be aware of the relevant research in their fields or in fields to which they plan to switch).
 - b. Prepare a resume that highlights the relevant research you have done, the fellowships you have won, as well as any publications or other forms of professional activity (see below for choice of resume format and samples at the end of this chapter).
 - c. Draft a cover letter that conveys your interests and your qualifications; the unsolicited letter of inquiry is similar to a cover letter for a posted opening in some respects, except that you are asking if there might be a given position for someone with your skills and qualifications; it is even more important to find out about the research lab, since you are essentially proposing how you can be of use to them and how your

qualifications would best suit their needs. (see the end of this chapter for sample letters of inquiry).

d. The remaining steps are similar for any academic job application, and have been discussed in detail in the preceding chapter. In addition, see the panel discussion summary below for further details on the postdoctoral process.

3. Another important difference is that while many postdoctoral positions in the sciences come with a stipend, and are like a "salaried" position, many positions are offered with completely variable guarantees of funding (depending on whether the Principal Investigator or PI has funding or where they are in the grant cycle). The most common scenario is that you get accepted into a lab with "some" guarantee of funding (perhaps 1 year), and then you are expected to apply for postdoctoral fellowships. **It is thus highly probable that you will be applying for postdoctoral positions as one process, and applying for funding as a separate process, with close timing between the two.** The following are important factors to keep in mind in applying for postdoctoral fellowships (I am grateful to Penny Beuning, Postdoctoral Fellow at MIT for these insights):

- Some of the big fellowship programs have one, two, or three deadlines throughout the year, so you can apply fairly promptly after getting into a lab.
- For most of the fellowships, you are expected to propose work you are going to do in a specific lab with a specific PI. The PI also writes a letter of support, so that has to be lined up at the time of application. Most postdoctoral fellowships are not very portable, although if a change is desirable and everyone involved agrees to the change, you can appeal to the granting agency. Most fellowships provide three years of funding.
- Many postdoctoral fellowships are aimed at recent PhDs, and only allow you to apply for a fellowship within a restricted time limit after receiving the PHD.
- For non-US citizens there are few funding opportunities. PIs know this, and still take international postdocs.

4. Postdoctoral positions, especially in the sciences, but in other fields as well, can occur in a variety of settings, both academic and nonacademic: universities, medical schools, teaching hospitals, government laboratories, private nonprofit research institutes, and private corporate settings as well; be sure to consult the online guide, *The Harvard Guide to Postdoctoral Fellowships*, available at www.gsas.harvard.edu/academic/fellowships/guide.html. In addition, the professional association in your field will list postdoctoral opportunities as well.

5. Finally, as noted above, in Chapter V on grantsmanship, the GSAS Fellowships Office provides a range of services to assist with fellowships, including individual counseling on your proposal.

PANEL DISCUSSION: LANDING YOUR FIRST POSTDOC IN THE LIFE SCIENCES

The speakers, Fred Winston, Professor of Genetics, and Shannon Turley, Assistant Professor of Pathology, both on the Harvard Medical School Faculty, were able to discuss the application process from having gone through the process themselves and now from the perspective as lab directors choosing among applicants. A number of salient points emerged from the combined talks:

The informal nature of the process of landing a postdoctoral position, involving the following steps and considerations:

- The candidate compiles a list of labs that would be of interest, relying heavily on the dissertation advisor for suggestions, but also doing thorough investigation via the internet of research activities and principal investigators at various labs. (For further discussion of the important role of the dissertation advisor and the mentoring process, see the relevant sections above, in Chapter Two.)
- The candidate then writes an informal letter of inquiry, which can be done via email, attaching a resume, as well as a list of recommenders and contact information. Some postdoctoral openings are posted in bulletins of the professional association, but the informal process is paramount.
- Some candidates are looking for a lab that will allow them to continue along their current lines of research, but many others are seeking to shift fields. The speakers strongly recommended the latter, since it enhances career opportunities to develop more than one field. Both speakers, however, emphasized that the most important thing is to choose something that you find deeply desirable, whether it entails a shift or continuing on a present course.
- At the receiving end, the lab director, before deciding to interview a particular candidate, typically contacts the candidate's dissertation advisor by phone to make further inquiries of an informal nature: how well the candidate works with others in the current lab, the particular contributions the candidate has made to lab projects, level of productivity, and any other issues that the director feels a need to address in this informal way.
- **The interview often involves a presentation where the candidate discusses current research.** Since many postdoctoral candidates are shifting fields, the presentation functions primarily to give an indication of how the candidate has performed in past research and how well the candidate would fit within the new lab. Your talk needs to address these points indirectly, describing work that was done effectively as part of a team, while also identifying your own individual contribution to a project.
- In regard to the value of shifting fields, one speaker noted that once you enter a new lab it makes most sense to take full advantage of the particular strengths of the lab, which also may change over time. Thus, research interests commonly shift, and this is well recognized by the people who are doing the interviews.
- In addition to preparing a strong presentation, an important part of preparation for the interview is to be fully informed on the research activities of the principal investigators of the lab, reading up on their important findings and being prepared to ask some well informed questions about their research. You should also be prepared to answer some standard interview questions: why you want this particular lab, what direction your future research will take, some important accomplishments to date, etc.
- The issue of a good fit operates on both sides. The candidate who goes on an interview should pay close attention to the morale within a lab, how contented the lab members seem to be, how they interact with one another, etc.. Choosing a lab where you think you will be happy was cited as the most important criterion from the candidate's perspective. You will also want to get more precise knowledge about the size of the lab, the opportunities to pursue your own research, access to the lab director, information about the duration of the position, the duration of funding, etc. (This same advice is also important at the graduate student stage; see above, Chapter Two, on choosing a lab as a graduate student.) The speakers both agreed that it is appropriate to inquire about family

leave policies, and even to ask about current investigators who are parents.

Closely related to the informal nature of the application process is the informal nature of funding, especially in an era where government cut-backs have been experienced by many labs.

- Some postdocs are very much like salaried positions, others are not. The informal market, in particular, may yield positions, but without funding or with only partial funding, in contrast to positions that are publicized and that usually stipulate the financial terms (see above for more details on fellowships).
- In this era of uncertain federal funding, the question of timing has further complications: One speaker noted that if a lab is interested in you, but cannot guarantee funding, the lab is likely to make you an offer if they think you have the potential to acquire funding. By the same token, the granting agency typically will ask in which lab you intend to conduct your proposed research project. As noted above, granting agencies often have multiple deadlines, so it is possible to apply for funding fairly soon after landing a postdoctoral position.
- In applying for individual fellowships, be aware that many are intended for recent PhDs and, as noted above, often restrict eligibility to those who have received the PhD within just a year of the time of fellowship application.

During the question period many students were concerned about publication expectations and also time to degree.

- The speakers offered the helpful advice that if either of these appeared to be weak spots, the candidates needed to emphasize the potential benefits of proceeding at their particular pace: a change in direction with more exciting potential results, papers that are close to being ready for publication, etc. If you have experienced a slow-down for more personal nature (illness of your own or a family member, reduced schedule after having a baby, etc.), you need to emphasize how you have mastered time-management skills in response to the particular situation, and that you are now progressing at a steady pace.
- One student wanted to know whether it was advisable to apply both for postdoctoral positions and also for teaching positions, presumably at small colleges rather than large research universities (since the latter almost always requires a postdoc as a first step). The speakers once again emphasized that students should pursue anything they felt was a deep desire. This is the best assurance that something is the right step.

APPLYING FOR POSTDOCTORAL FELLOWSHIPS IN THE HUMANITIES AND SOCIAL SCIENCES

- As you generate a list of appropriate fellowships, using the Guide cited above, keep in mind that your selection process is closely related to how you formulate your intended research project. It is often possible to increase the number of relevant fellowships by formulating the project in different ways.
- In addition to using the online fellowship guide, it is important to seek further advice from faculty advisors and colleagues in your field. Those who have gone through the process are a valuable source of information.

- A number of postdoctoral fellowships are specifically intended for recent PhDs; they allow applicants to apply during the final year of the doctoral program, but with the stipulation that the degree will be completed by the time the fellowship period begins. Others require applicants to be at least three years beyond receipt of the doctoral degree. Still others are exclusively for more senior scholars.
- As noted above, postdoctoral research positions can occur in a variety of settings, both academic and nonacademic: government laboratories, private nonprofit research institutes, and private corporate settings as well; in the humanities, most postdoctoral opportunities are in universities, while in the social sciences — especially in fields like business economics, organizational behavior, urban planning, and some other areas of economics and political science — they can occur in more varied settings, which is also the case in the natural sciences.
- In any of these settings, a postdoctoral position can provide opportunities for preparing works for publication, gaining further experience in one's area of specialization, developing new areas of specialization, and gaining new mentor relationships.
- Before applying, try to learn something about the selection criteria for the fellowships you have chosen; this can be done by contacting the administrators of the relevant fellowship programs; these people are the “experts” and often are willing to give you further insights on preparing a strong application. In some cases, they will even read a draft before you submit a final version.
- Most of the listed fellowships *The Harvard Guide to Postdoctoral Fellowships* cited above call for **direct application**. In some cases, however, a nomination is required. This means that a specified representative must act on your behalf. You may initiate the process by actively seeking sponsorship — something that is normally appropriate to do.

Writing a Postdoctoral Proposal in the Humanities and Social Sciences

- For many new PhDs, especially in the humanities and social sciences, the main goal in applying for a postdoctoral fellowship is to transform the dissertation into a book manuscript for publication. A number of postdoctoral fellowships in fact are aimed at recent PhD recipients and explicitly state that the project may be based on the dissertation — although in some cases, and especially those aimed at more advanced scholars, the fellowships require a brand new project. **Even if you are applying for postdoctoral fellowships for further work on your dissertation and have identified fellowships that will allow this continuation, it is important nevertheless to try to formulate your proposal in terms that emphasize any new and original research that will be entailed, rather than simply describing it as a polishing or editing job.** For most applicants this does not pose a problem: research never really reaches closure; there is almost always some issue that will benefit from further development. In some cases, applicants expand the dissertation topic by extending the time span that is covered; in others, applicants add additional countries for comparative purposes; still others go more deeply into the cultural background for a given historical or literary movement. If anything, the main challenge is to limit the number of possibilities for expansion, since project feasibility is always an important concern.
- As an integral part of explaining the expansion of the dissertation it will be necessary to explain the original topic as well. Almost all of the suggestions for writing dissertation fellowship proposals that have been made above in Chapter Five continue to apply at this stage. Once again, the proposal should be a persuasive and polished argument that your project will contribute to the field. In the case of the postdoctoral proposal, this argument needs to be made not only on behalf of the original dissertation topic,

but also to bolster your proposed expansion. Since you will be writing the postdoctoral proposal when you are fairly well along in your dissertation — and may even have completed it — you can discuss the project with greater authority, citing some important findings that have contributed to the field, while also pointing to potential new contributions as a result of the proposed expansion.

- When you have a draft completed, seek the advice of friends or colleagues in your field, as well as faculty advisors. Once again, be sure to consult the GSAS Director of Fellowships in Byerly Hall (telephone 495-1816).
- As noted above, direct contact with the granting agency can result in a preliminary evaluation of your proposal, or at least yield some answers to questions.
- If you are applying for a number of different kinds of fellowships, the drafts must also be adapted so that the proposal matches the individual fellowship guidelines as closely as possible.

Similar Advice for Writing a Postdoctoral Proposal in the Natural Sciences, With Some Differences

Many of the above points apply to the natural sciences as well, with the important difference that in the natural sciences you must choose among the multiple papers that comprise your dissertation, and single out the one that will form the basis of your next research project. It is also common in the sciences to develop a new area of expertise after the PhD. If your postdoctoral project entails a shift to a new research area, it is important to explain that shift, citing any experiences or exposure that have led you to this new interest. And of course, you need to emphasize how nicely your new interest meshes with the particular research lab or team with which you hope to affiliate. Your statement should also try to show how your new interests relate to your past research, emphasizing how your past research experiences and accomplishments are indicative of the skills that you will bring to your new research.

OTHER TYPES OF RESEARCH POSITIONS IN THE FIELD OF THE PhD

Gathering Information:

- The process of identifying other types of research positions is more varied than for postdoctoral fellowships. In some cases, they are listed just as academic jobs are — in the employment bulletin put out by the professional associations in the various fields. For example, the Smithsonian Institution announces openings for historians in the employment bulletin of the American Historical Association. Others advertise openings in the Education section of the Sunday *New York Times*, or list positions in the *Chronicle of Higher Education*. Still others send recruiters to university graduate departments and the Office of Career Services. The PhD counselors in the Office of Career Services can offer useful guidance in the process and can help you to identify opportunities.
- Going beyond listings and recruiters, candidates may seek further opportunities through unsolicited inquiries or an indirect search, a process that closely resembles obtaining a postdoctoral fellowship position in the sciences. In this case, there is the important step of identifying appropriate research organizations. You already may know of some of the most important ones in your field, but there are also a number of annual directories, available in the Office of Career Services Library, which will allow you to do a more thorough and systematic outreach, with such titles as: *Research Centers Directory*, *Industrial Research Laboratories of the U.S.*, *Peterson's Guide to Engineering, Science and Computer Jobs*.

CHOICE OF RESUME FORMAT

- A resume for nonacademic positions differs from an academic curriculum vitae in placing a greater emphasis on actual skills — on what you are able to do as a result of your PhD training and other experiences. In general, there is a greater proportion of action verbs. It is more important to think in these terms when applying outside of academe
- There are three basic types of resumes (each one illustrated at the end of this chapter):

A functional or skills resume
A chronological resume
A modified chronological resume.

The choice will depend on the nature of your research experience — on whether it has been almost completely acquired within academe, or has involved some nonacademic experience as well. Whichever type you choose, it is important to assemble your research and other relevant experience with succinct headings and in a format that can be scanned quickly for relevant information. Once again — as in the cv — topics should be ordered in hierarchic fashion, with the most relevant ones presented first, and the rest following in corresponding order. Within each category, items should be listed in reverse chronological order, the most recent appearing first.

- **A Functional or Skills Resume** focuses on skills rather than on positions held. It can be effective for those whose work has been almost entirely academic. In addition to specialized research skills, other relevant skills that might be included are writing, editing, teaching and administration. As skills are named, documentation should follow of how and where these skills were acquired.
- **A Chronological Resume** orders items by date — in reverse order — rather than by category. It is particularly effective for showing a steady or progressive record of achievement. Together with each experience or position, one should include the accomplishments, functions and skills that are involved.
- **A Modified Chronological Resume** arranges different types of professional experience in separate categories — for example, research would be separated from teaching or administrative experience. Within each category, experiences are presented in reverse chronological order, and accomplishments and skills for each position are described. This format has some of the advantages of the functional resume. It is especially effective for those with diverse skills and experience.

RESEARCH AND RELATED POSITIONS — NONACADEMIC RESUMES AND COVER LETTERS

As with the academic cv's, these have been chosen to illustrate certain points. They are simply suggestions. The resume — even more than the vita — must be designed in a way that works best for your individual goals and experiences. All names are fictitious and in some cases, particulars have been altered as well. Further samples of nonacademic resumes for PhDs can be found in *Beyond the Ivory Tower* by Margaret Newhouse, Office of Career Services.

[SAMPLE SKILLS RESUME]

SHARON GOLD²⁵

1178 Suffolk St.
William James Hall
Cambridge, MA 02139
(617) 864-6280; e-mail:

Harvard University
Cambridge, MA 02138

EDUCATION

Harvard University Ph.D. Candidate. Field: Psychology and Social Relations, specializing in Psycholinguistics. Degree expected in June, 1997.
Dissertation topic: Strategies for Effective Communication in English by Non-Native Speakers.
Minority Students Fellowship, 1992-present.

Vassar College A.B. 1992. *Cum Laude* with Department Honors in Psychology.

EXPERIENCE

HUMAN RESOURCES/MOTIVATION STUDIES

Research Assistant, Harvard University 1995-present.

Explore the psycholinguistic variables causing empathy in interpersonal relations. Design computer programs to visually display experimental protocol and to measure reaction time. Analyze data and prepare results for grant proposal.

Research Associate, The Huron Institute

Cambridge, MA 1993-1995.

Designed questionnaire and interviews to assess strategies and motivation for second language acquisition. Formulated and conducted bilingual interviews to determine sociolinguistic factors affecting second language learning. Manuscript in progress.

DATA ANALYSIS/COMPUTATIONAL SKILLS

Research Associate, Yale University

New Haven, CT Summer 1994, 1995.

Devised and executed computer programs for data from a second language learning study, using multivariate analysis and SPSS, Data Text and BMDP programs.

Principle Investigator, Massachusetts Institute of Technology

Cambridge, MA 1993-1994

Planned and executed a study of acoustic phonetics in Black English using spectrographic analysis. Study presented at the Acoustical Society Conference. Manuscript in progress.

²⁵ In this skills resume, the candidate carefully orders her research skills or categories, placing the most important and preferred ones first. Right at the beginning of the resume, under "Education," she presents her dissertation topic, which is closely related to her first skills category. The format makes very clear the variety of skills she has to offer on the basis of her training and background.

Gold, page 2

Data Analyst, Ohio Bell Telephone Co.

Cleveland, Ohio, Summer 1992.

Investigated Watts Line revenue to identify the source of declining revenue in the northwest Ohio region.

ADMINISTRATIVE

Research Associate, The Huron Institute

Cambridge, MA 1994.

Supervised work on transcription and coding of data for a project on second language learning.

Representative to the Committee on Undergraduate Instruction

Psychology Department, Harvard University, 1993-1994.

Elected to serve as graduate student representative to evaluate and revise undergraduate curriculum in psychology.

Resident Tutor, Currier House, Harvard University, 1992-1994

Appointed resident academic advisor to 35 undergraduate concentrators in psychology, and general counselor for 380 resident students. Served on the administrative staff of the house. Organized seminars on Psychology and Hispanic Studies.

Student Assistant, Vassar College, 1990-1991.

Appointed as assistant to house administrative staff to counsel 40 freshman students.

TEACHING

Teaching Fellow in Psychology, Harvard University, Spring 1995, 1994.

Taught sections of beginning level courses in Culture and Human Development.

Sophomore Tutor in Psychology, Harvard University, 1992-1994.

Appointed as seminar leader and academic advisor for 10 undergraduate concentrators in a year-long seminar on language and communication.

LANGUAGE AND FOREIGN TRAVEL

Fluent in Spanish, reading ability in French. Exchange student for 5 months, lived in Madrid, Spain.

REFERENCES

Available upon request

[SAMPLE CHRONOLOGICAL RESUME]

JOHN ANDERSON²⁶

Department of Government, Littauer Center M-36, Harvard University,
Cambridge, MA 02138 (617) 495-5946

Home: 413 Broadway, Cambridge, MA 02138 (617) 661-7987; e-mail: anderson@

EDUCATION

Harvard, Ph.D., Department of Government, completion expected Fall 1996.

The dissertation is an empirical investigation of the relationship between macroeconomic conditions and political support based on re-analyses of survey data and estimation of aggregated and disaggregated econometric models.

Yale, M.A., Interdisciplinary Program in International Relations. Concentration in micro and macroeconomics, and econometrics, 1990.

University of Aarhus, Denmark

Study of political science, economics, public administration, 1983-1988.

SPECIALIZED EXPERIENCE

Modeling for economic planning and forecasting, policy formulation and evaluation through a variety of analytical techniques including statistics and econometrics as well as qualitative methods. On-site research in several European countries.

PROFESSIONAL EXPERIENCE

RESEARCH

Project Director, 1995-present, "Predictive and Analytical Models on Political Support for Incumbents in Industrialized Nations," with Professor Douglas Hibbs, Jr.

- *Supervision of the organization and collection of data
- *Construction and estimation of forecasting models
- *Drafting of reports

Co-author, textbook on Swedish politics and policy, with Professor Hugh Heclo, 1994-present

- *Interviews and compilation of information
- *Analysis of labor market, housing policy and administrative reforms

²⁶ This candidate chooses a chronological resume since it shows steady and rapid progress in precisely the kind of research he hopes to do in a nonacademic setting. His use of a brief summary of his specialized experiences emphasizes his most important skills before the itemized entries begin. In each entry, he makes effective use of his title or role, showing that he held responsible positions in the various research projects. His publications are listed on a separate page, but he calls attention to them on an earlier page, in the entry where he is Principal Investigator.

Anderson, page 2

Principal Investigator, comparative study of public attitudes towards taxation and social policies, with Professor Douglas A. Hibbs, Jr. 1991-1992 (see publication list)

Author/Co-author

Publications in leading American and European scholarly journals and contributions to edited volumes in political science and economics, 1990-1995

TEACHING

Harvard University, Teaching Fellow, 1992-present

Undergraduate seminars in public policy; courses in elementary statistics and econometrics

Danish School of Journalism, Lecturer, 1987

Course in public administration and local government

LANGUAGES

Complete fluency in German, Swedish, Norwegian, Danish; Reading comprehension in French and Latin. Use of several software packages for survey and econometric analyses (SPSS, SAS, TROLL, TSP)

LIST OF PUBLICATIONS

(with D.A. Hibbs, Jr.) "The Impact of Economic Performance on Electoral Support in Sweden, 1967-1978." *Scandinavian Political Studies*, vol. 4, 1, year.

(with D.A. Hibbs, Jr.) "Public Reactions to the Growth of Taxation and Public Expenditure," *World Politics*, vol. XXXIII, 3 (April), year.

"Partisanship and Macroeconomic Outcomes: A Reconsideration," in D.A. Hibbs, Jr. and H. Fassbender, eds. *Contemporary Political Economy* (Amsterdam: North-Holland, year).

"Class Power and Participatory Equality: Economic Democracy in Denmark and Sweden," *Scandinavian Political Studies*, vol. 3, 4, year.

"Electoral Outcomes and Macroeconomic Policies: The Scandinavian Cases," in P. Whiteley, ed., *Modern Political Economy* (London; ECPR-SAGE, year).

POETICS - A Timeseries Cross-Section System of Data, 1920-1975

(Arrhus: Institute of Political Science, year).

WORK IN PROGRESS

(with Hugh Heclo), textbook on Swedish politics and public policy.

"The Fading Legacy of Social Democracy: Postwar Economic Performance and Mass Political Support in Denmark, Norway and Sweden," PhD Thesis.

[CHRONOLOGICAL RESUME]

EILEEN BELL²⁷

Department of Anthropology
William James Hall
Harvard University
Cambridge, MA 02138
(617) 495-4444; e-mail: Bell@

Home Address:
8 Brastow Avenue
Somerville, MA 02143
(617) 628-6187

EDUCATION

Ph.D. Harvard University, in Social Anthropology, June 1995, specializing in Psychological Anthropology
B.A. Swarthmore College, Sociology and Anthropology, 1989, *Phi Beta Kappa* and with Senior Thesis of Distinction

SUMMARY OF QUALIFICATIONS

Trained and experienced in field research design and methods including open-ended and structured interviewing, non-intrusive observation and community analysis, cognitive testing, and linguistically based methods. Quantitative and computer analysis skills. Lucid report writing. Cross-disciplinary knowledge of child development and of environment-individual interactions.

RESEARCH EXPERIENCE

Ethnographic and Psychological Research, Micronesia. Designed and conducted 15 months of field research in two communities in Micronesia. Used participant observation, interviewing, and cognitive-linguistic test methods to investigate emotional development and ethnopsychological beliefs. Analyzed data with several computer modelings. Wrote doctoral dissertation on the ethnographic and developmental data. 1991-1995

Participant in HIMH-funded research grant on Cross-Cultural Child Development, Director, Beatrice B. Whiting. Cooperated in weekly seminars on design and analysis of community research. Presented lectures on plans, methodology and results. 1991-1992

Cross-cultural study of psychiatric symptoms based on available hospital data. 1991-1992; M.A. paper presented April 1992

Research Assistant in Education, with John Whiting, Harvard University. 1990-1991

Computer analysis of demographic data from Kenya. Developed Guttman scale for modernization variables. Factor analyses performed on cognitive test data. 1989

Research Assistant to Professor Steven Piker, Swarthmore College. 1989

Library Research and quantitative analysis of data on cross-cultural problems in socialization. 1988

²⁷ Once again, a chronological resume is a good choice in this case, since it highlights steady and rapid progress in the field of research in which the candidate wishes to continue. The summary of qualifications at the beginning proceeds from general skills to more specific ones in child development. Unlike the preceding two resumes, which present the dissertation topic under "Education," she opts to present it under "Research Experience," and emphasizes the research skills more than the topic itself. The highly specialized nature of the research topic makes this approach an advisable one.

Bell, page 2

NSF Student Originated Study, Swarthmore College. Conducted sociological field and archival research on tax assessment bureaucracy in Delaware County, Pennsylvania. Worked with interdisciplinary team to write report. 1988

PROFESSIONAL ACTIVITIES

Paper to be presented at the Annual Meetings of the Association for Social Anthropology in Oceania, March 1996: "Ifalukian Ethnopsychology: The Structure and Processes of the Self".

Invited Social Science Research Council conference participant, "Affect and Cognition", Boulder, Colorado, August 7-10, 1995.

Paper presented at the Annual Meetings of the Society for Cross-Cultural Research, February 22, 1995, Philadelphia: "Emotion Words on Ifaluk Atoll".

Lecture presented at Tufts University, December 5, 1994: "Adoption and Child Development on Ifaluk Atoll".

HONORS AND GRANTS

HIMH Training Grant, 1991-1994

Fellowship, Harvard University, 1989-1991

Charles G. Mortimer Scholarship, 1985-1989

Honors Student, Swarthmore College, 1987

LANGUAGES

Reading Knowledge of Spanish

Speaking knowledge of Woleaian (Malayo-Polynesian language)

[MODIFIED CHRONOLOGICAL WITH COVER LETTER]

SARAH FELICE EISENBERG²⁸

5807 S. Dorchester
Apartment 9F
Chicago, IL 60637
e-mail: Eisenberg@

EDUCATION:

Ph.D. Candidate, Harvard University, Fine Arts Department - Degree anticipated in June 1996

M.A., Harvard University, Fine Arts - 1993

B.A., Mount Holyoke College, History of Art - 1988, *Phi Beta Kappa*

PROFESSIONAL BACKGROUND

Field of Specialization

European Art of the 18th through the 20th century; dissertation on "The Mythological Paintings of Sir Edward Burne-Jones"

Museum Experience

Fogg Museum, Harvard University, 1991-95

Organized and installed the exhibition *Pre-Raphaelite and Early French Symbolist Art from the Fogg Collection*; in conjunction with the exhibition, organized and introduced an interdisciplinary lecture series; prepared an essay for the public which was available in the galleries and led school groups and scholars through the exhibition

Assisted in the installation of the galleries as well as in preparation of the audio-visual educational component of the exhibition *Edward Waldo Forbes, Yankee Visionary*, held at the Museum

Conducted tours for school groups

Participated in the two-semester training program for students planning careers in museum work, offered by the Fine Arts Department at Harvard under the direction of Agnes Mongan

Tate Gallery of Art, London, England, 1991

Research for the catalogue of the collection of works by Sir Edward Burne-Jones

Public Education Office, Yale Center for British Art and British Studies, New Haven, Connecticut, Spring 1990-1991

Developed the plan for school and community programs to be offered by the museum; served as liaison with school systems in the New Haven area; developed a budget, and began the recruitment of volunteers

²⁸This candidate's experience is so varied and abundant, that she chooses a modified chronological resume, organizing her experiences under "Museum Work," "College Teaching" and "Human Services." This order and choice of categories nicely reflects her goal of a position in museum education. The letter of inquiry and its strategies will be discussed with the sample.

Education Department, Museum of Transportation, Massachusetts, 1988-89

Conducted tours and workshops for school and community groups, ran recreational programs, worked with special needs audiences and the general public, and assisted in program development

College Teaching

Harvard University

House Seminar on the Museums of Boston and Cambridge, including field trips and guest speakers, 1995
Sarah Felice Eisenberg, page 2

Department of Fine Arts, 1993-1994; supervised four undergraduate independent study courses on 19th century art and museum problems

Teaching Fellow in art history survey course, ancient through modern art, 1992-93

Publications and Papers

“Burne-Jones and the Antique,” College Art Association of America, annual meeting, Chicago, General Session on Nineteenth Century Art, 19—

“Burne-Jones and the Impact of Florentine Painting,” Northeast Victorian Studies Association, annual meeting, Ramapo College, 19—

“The Royal Academy and Victorian Art,” catalogue essay for the exhibition *The Revolt of the Pre-Raphaelites*, held at Lowe Art Museum, University of Miami, March through April 19—

“Edward Waldo Forbes: City Planner” (with M.K. FitzSimons), catalogue essay for the exhibition *Edward Waldo Forbes, Yankee Visionary*, held at Fogg Art Museum, Harvard University, January through February 19—

Experience and Training in Human Relations and Services

Proctor, Harvard Summer School, 1994

Supervised a co-educational residence hall and conducted extracurricular activities for students

Study for Harvard Graduate School of Education, two courses, 1993-1994

Counseling: Its Psychological Assumptions and their Expression, and *Special Reading and Research in Counseling and Consulting Psychology*

Resident Tutor, Dunster House, Harvard University, 1993-1994

Provided academic advising, personal counseling, and organizing extracurricular activities for undergraduates
Harvard-Radcliffe Office of Admissions and Financial Aid, 1992-1993

Interviewed and evaluated applicants as well as conducted group information sessions for candidates and their families

Resident Fellow, Silliman College, Yale University (similar to a Resident Tutor at Harvard), 1990-1991

Board of Directors, Information and Counseling Service for Women, New Haven, Connecticut, 1990-1991

A career counseling service

Other Professional Activities

College Art Association of America

Member of the Board of Directors, 1992-1996

Developed the guidelines for the College Art Association's Distinguished Teaching of Art History Award as well as served on the first Prize Committee for the award, 1994-1997

American Association of Museums, 1994-1995

Committee for the Status of Education

References

Available on request

[EISENBERG COVER LETTER]²⁹

63 Walker Street
Apartment 11
Cambridge, MA 02138
(617) 354-4492
e-mail: Eisenberg@

April 2, 19—
David Wynne
Director of the Museum Education Adult Programs
Art Institute of Chicago
Michigan and Adams
Chicago, Illinois

Dear Mr. Wynne:

Douglas Benson, a Trustee of the Art Institute, suggested that I write to you. I am currently a graduate student in the Fine Arts Department at Harvard University. I shall be moving to Chicago in June and am eager to explore the possibility of serving the Art Institute's Education Department in some capacity.

My commitment to the community-minded public service orientation of museums has always been strong, which is why I have chosen the field of museum education after completing my training as a doctoral candidate in Fine Arts. Moreover, my goal as an art historian is to be an educator in the broadest sense of the word. From my professional experience, I have discovered that, for me, the museum setting provides the freedom and flexibility to achieve this objective.

I have had several opportunities to explore ways in which the museum can serve as a teaching resource. I am currently working in the Education Department of the Museum of Transportation in Brookline, Massachusetts. I conduct tours and workshops for school and community groups, ranging in age from pre-school to adolescence. I also do work with special needs groups and the general adult public. I have also had experience giving tours to high school and college students at the Fogg Art museum as well as teaching art history to Harvard University undergraduates. Moreover, in 19— and 19— I served as the Public Education Officer at the Yale Center for British Art and British Studies in New Haven, Connecticut, an art museum with an interdisciplinary orientation. My primary role at the Center was the development and initial implementation of the plan for the school and community programs to be offered by this new museum after its public opening.

I hope very much to have the opportunity to talk with you. I am eager to learn about the educational offerings of the Art Institute. I would be especially interested in giving gallery talks, lectures, and tours, as well as in creating and implementing programs which will serve to interpret works of art for people of all

²⁹This is a sample of an unsolicited letter of inquiry in the field of museum education. It shows the use of a helpful contact, mentioned right at the beginning of the letter, along with her purpose for writing the letter. After the opening, she leads the reader through the most relevant aspects of her experience for the position she is seeking.

ages. Also, I have experience in counseling and human services and am very much concerned with community outreach programs.

Sincerely,

Sarah Eisenberg

APPENDIX A

GUIDE FOR TEACHING FELLOWS ON WRITING LETTERS OF RECOMMENDATION

WRITING LETTERS OF RECOMMENDATION AND ITS RELATIONSHIP TO TEACHING

Writing letters of recommendation is a skill that will be of great importance throughout your teaching career, and perhaps should be viewed as an almost integral part of your teaching experience. Students in your sections or tutorials who have had a positive experience - in terms of what they have learned, or the work they have produced - are likely to come to you for a letter of recommendation. Indeed, an abundance of requests can be taken as an indication that you are a good teacher and have an ability to establish a rapport with your students. In our view, good letter writers deserve considerable recognition for the contribution that they make. (If you have written a large number of letters, you might even consider making a note of that when asked by a potential hiring department about your teaching skills and responsibilities.)

THE CONTENTS OF A LETTER OF RECOMMENDATION

- In simplest terms, a letter of recommendation is a letter that makes a statement of support for a candidate. If, after doing a careful review of a candidate's strengths and weaknesses, you cannot write a supportive letter, it is important to have a candid discussion with the student.
- Beyond that simple definition, a letter of recommendation should also present a well-documented evaluation, providing sufficient evidence and information to help a selection committee in making its decision.
- A letter of recommendation should also address the specific purpose for which it is written - although you will also receive requests from many students for a general letter for their House file, in anticipation of eventual applications. For most applications, a letter of recommendation will need to discuss both scholarly capabilities and personal character - although the balance between the two will vary, depending upon the nature of the application. For example, at one end of the scale, a letter for an applicant for graduate study in the arts and sciences should focus primarily on the scholarly, while at the other end, a letter for an applicant for a non-academic position should discuss a broader range of qualities and experiences - including extracurricular or work experience as well. As a further example of matching a letter with its purpose, a letter for an applicant for a fellowship with a specific project should discuss the validity and feasibility of the project, as well as the candidate's qualifications for fulfilling the project. The letter should pay close attention to the language of the fellowship announcement.

If you have any questions about the criteria for a specific application, consult the appropriate specialists - for example, those who do pre-law, medical, business or fellowship advising at the Office of Career Services or in the Harvard Houses.

- A letter of recommendation can also be used to explain some weakness or ambiguity in a student's record. If appropriate - and probably after consulting the student - you might wish to mention a family illness, financial hardship, or other factor.
- For the content of a well-documented letter, the following are further suggestions (see also the samples in the final section):

- a. You should promptly identify yourself and the basis of your knowledge of the student: Were you a Teaching Fellow in a tutorial or small seminar for department concentrators? How often did it meet, how many students? How many papers? Do you also know the student through exposure as a House Tutor, or some other capacity? Has your acquaintance been sustained over a number of years? Writing the letter on department letterhead is a further form of identification.
- b. In evaluating a student's intellectual capabilities, try to describe the student in terms that reflect that student's distinctive or individual strengths. Whatever strengths strike you as particularly salient, be prepared to back up your judgment with concrete examples - papers, exams, class presentations, or performance in a laboratory.

Above all, avoid the misconception that the more superlatives that you use, the stronger the letter. Heavy use of stock phrases or clichés in general is unhelpful. Your letter can only be effective if it contains substantive information about the student's qualifications.

- c. Ranking the student may be requested or desired by selection committees. Having concentrated on the student's individual or unique strengths, you might find it difficult to do so. Ranking is of course less of a problem if a student is unambiguously among the top five or ten percent that you have taught, or so outstanding that he or she would safely rank high in any group. Many of the students who come to you for a letter, however, will not fall within that small unambiguous group. If you wish to offer some comparative perspective, you might be more readily able to do so in more specific areas: Is the student one of the most articulate? Original? Clear-thinking? Motivated? Intellectually curious? Some schools or fellowships have forms, which ask for rankings broken down into specific areas.

If you lack sufficient information to answer some questions posed or suggested in an application, it is best to maintain the integrity and credibility of your letter, and say only what you are in a position to say.

- d. In discussing a student's character, proceed in a similar fashion to the intellectual evaluation, highlighting individual traits and providing concrete illustrations.
- e. After discussing each of the above points, your letter should have some brief summation, giving the main thrust of your recommendation for the candidate.

HOW TO ACQUIRE SUFFICIENT INFORMATION TO WRITE AN EFFECTIVE LETTER

Meeting with the Student

Even if you know a student very well, the process of writing an effective letter can be greatly facilitated if you arrange to have an interview with the student, using this as an opportunity to discuss the student's goals - short-term and long - and to acquire more precise information in any area where it is needed.

Obtaining Written Materials

As you arrange a meeting with a student, you should also ask the student to bring the following items:

- A resume or curriculum vitae,

- A paper or an exam written for your course,
- A copy of the application essay or fellowship statement of purpose
- A transcript
- Any literature that describes the fellowship or program for which the student is applying; specific recommendation forms or questionnaires if they are provided for the letter writer to complete
- The date on which the recommendation is due, as well as the address - preferably an addressed envelope to which it must be sent
- A waiver form (obtained by the student from the House Senior Tutor), indicating whether or not the student waives his or her right to see the letter of recommendation. If the student has any questions about this decision, you might point out that there are important benefits in maintaining the confidentiality of letters. Selection committees, for example, tend to view confidential letters as having greater credibility and assign them greater weight; also, some letter writers actually feel less inhibited in their praise of students in confidential letters. While making these points, be sure to make it clear that it is up to the student to decide.

One other factor that greatly facilitates letter writing is if you can write a letter as soon as possible after you have taught a student, while your impressions are still vivid and fresh. You might consider encouraging students to make their requests early, rather than waiting until senior year or beyond. These early letters can be placed in the students' House files, as well as maintained in your own files for future reference.

FURTHER REFINEMENTS: HANDLING THE EASIEST CASE, THE IN-BETWEEN CASE, AND THE MOST DIFFICULT CASE

The written materials listed above and a discussion with the student will greatly benefit the letter writing process - and indeed, the application process - although in each case it will benefit in a different way. The following are possible scenarios:

The easiest case: A request is made by a student you know very well, have seen in different settings - classroom and House - and whose performance and conduct you find to be consistently outstanding. In this case, you can use the discussion and written materials not only to further refine your own presentation of the student, but also to help the student refine the application - and especially the application essay. Many students find it difficult to talk about themselves - even the most articulate. By drawing the student out, asking for further elaboration or more specific details, you can help bring into sharper focus such items as past accomplishments, future plans, or why the student is making this particular application.

The in-between case: A request is made by a student who has made some favorable impression, but you lack considerable information to write a well-documented letter. The benefits of the interview and acquiring written materials are most obvious in this instance. In addition to allowing you to do all of the above, they will allow you to fill in gaps in your knowledge and to gain a clearer view of the candidate. It is particularly helpful for students who tend to be somewhat shy or quiet in class. What you may not have learned about the student in the classroom, you may be able to learn through a discussion that specifically addresses matters that you need to know.

The most difficult case: A request is made by a student who has made no impression, or only a negative impression. In this case, it is extremely important to be both candid and helpful at the same time. One of the things a discussion can accomplish is to give the student a thorough hearing before you decide whether or not you can provide support. If you still find that there is little that you can say in support, you might help the student to identify a more appropriate letter writer, and also explore whether the student is making an appropriate application.

Such a discussion offers an important teaching and advising opportunity - one that may be sorely needed. The student who comes to you for a letter that you cannot write may have a similar problem with other instructors.

It is important to discuss with the student how he or she might improve prospects for the future. Above all, it is important to avoid allowing the student to believe that all opportunities have been permanently closed. Try to emphasize the student's potential strengths - perhaps asking the student to share with you a favorite paper or other positive experience that may have occurred outside of your class. The message to convey is that there are constructive steps to be taken, and that if the student has gained a clearer understanding of his or her strengths and weaknesses, then this marks an important first step.

QUESTIONS OF FORMAT AND STYLE, CO-SIGNED LETTERS

In some applications, the format is determined by the application itself: the recommender is asked to answer a series of questions. If a form does not allow you to say everything that you would like to say, it is appropriate to attach additional remarks. Indeed, it is common practice to attach a full letter of recommendation to a form, in addition to responding to questions on the form. Furthermore, if a form asks for information that you cannot provide, it is best to say so. The following are further considerations:

- The length of a letter: If you follow the above guidelines, your letter probably will be somewhere between one and two pages. Anything longer than three pages is counter-productive, since readers normally have a quantity of letters to read. On the other hand, anything shorter than a page may imply a lack of interest or knowledge about the student.
- The care with which you write the letter: This will also influence the effectiveness of the letter. Writing in your best polished prose style is another way of registering your support for the student.
- Clarification of terms peculiar to Harvard: Terms such as "Tutorial" require some explanation. It may mean that you taught the student in a small seminar, or perhaps you provided individual supervision for the student's thesis. Similarly, if your primary contact with the student is through your role as a House Tutor, it is important to explain that role. It may be useful to clarify that the Harvard Houses are more than dormitories and that they perform academic functions as well.
- Writing the letter on a word-processor: If possible, do so, and be sure to save the file. Once you have been asked by a student to write a letter, that student may return again and again, over a large number of years, for additional letters. A word-processor allows you to adapt and up-date an original letter with considerable ease. It is a way of protecting your initial investment in time and effort.
- To whom to address the letter: If a student is applying to similar programs in a number of different schools, your letter can be left virtually unchanged for each application. In this case, addressing the letter "To whom it may concern" will facilitate this multiple use. This is also useful if a student is simply asking for a letter for his or her House file, in anticipation of eventual applications. For medical school applications, the letter should be addressed "To the Admissions Committee." In the case of letters for specific fellowships, each letter should address the appropriate fellowship committee, and make any other adjustments in the letter that may be necessary.

It should be noted that in some cases, letters of recommendation are submitted to a campus representative, rather than sent directly to a selection committee. The Fulbright Grant is one example; medical schools also require an intermediary, or a composite letter from a Dean. These variations are steps taken after you have produced your letter, and need not affect the process we describe in this guide for writing letters. One other possibility is that the student requests a letter of recommendation for the House file, in anticipation of future applications. The advantage of this early request is that you are asked to write while you still have the student's performance freshly in mind and can write a more vivid letter. Be sure that the student fully informs you as to the purpose and destination of your letter.

- The issue of gender: In the past, it was common for letter writers to make distinctions in the way they described women versus men. Descriptions often paid greater attention to the personal lives or personal characteristics of women than men, focusing on items that had little proper place or relevance in a letter of recommendation. While this problem has greatly improved, it is still important to remain sensitive to this issue.
- Co-signing Letters with Senior Faculty: Students at Harvard at times find that all of their potential letter writers - i.e., the teachers who know them best - are graduate students, rather than professors, since graduate students are mainly the ones who teach small sections and tutorials. In most cases, it is important for applications to include at least one letter from a member of the Faculty. If a student in your section is in this situation, you can propose to have the letter co-signed. This would probably require that you prepare a draft of the letter, share it with the course Professor, share as well written materials provided by the student, and also arrange for a meeting between the student and the Professor. (Some of these steps take place in any case as a normal part of course procedure.)

SAMPLE LETTERS (with modifications and deletions in order to preserve anonymity)

Sample A

"I first knew X in the spring of 1986 when she was a member of my Freshman Seminar, ' . . . ' In such small groups teacher and students come to know one another in a way that is seldom, if ever, possible in large lecture courses. In either forum something can be learned about a student's academic ability, but only in the former can one get a reliable measure of the student as a person . . . Having kept in touch with X in the intervening years, I am confident in my knowledge of her.

To begin with, she is an excellent student, with a lively curiosity that makes her dissatisfied with superficial explanations. That curiosity frequently led our seminar down avenues and into areas that, otherwise, would have remained unexplored. . . .

One has only to speak to her to recognize her openness and eagerness. It is easy to mistake this for naiveté, an error I made when she first told me she had signed up to be an apprentice teacher in one of Boston's more notorious inner city high schools. . . . Throughout the term, often at great cost to her own peace of mind, and sometimes in explicit conflict with the regular teacher, she continued to insist on a high level of performance from her students. She not only survived the term but won the admiration and respect of students accustomed to being patronized by teachers content to believe that nothing much can be expected.

I would expect X to bring these same qualities of character to That is, an openness to new places, peoples, cultures and customs; a keen intelligence, with which to analyze and order her experience; irrepressible curiosity; and an unusual ability for dealing with people of all ages and conditions. Those

qualities, combined with her toughness of character . . . will enable her to understand and empathize with others while never losing touch with who she is.”

Sample B

“X has been an assistant in my laboratory during the past year, and has proven to be exceptional in several respects. First, X is exceptionally intelligent. He proved to be a very quick study, learning the elements of experimental design and the uses of microcomputers in record time. Furthermore, his questions are always thoughtful and penetrating. X threw himself into his assigned projects wholeheartedly, and shows every sign of having real talent in . . . I was a little surprised by his high degree of enthusiasm because I knew that X was not primarily interested in . . . When I mentioned this to him, I discovered that he has well defined career goals that mesh with the projects he was working on . . .

Second, X is exceptionally diligent and hard working. He worked many extra hours over the summer. I vividly recall coming into the lab late in the evening . . . and finding X at work. X invariably finished projects well in advance of our projected target date. X was always cheerful during this intense period, and was a joy to have in the lab.

Third, X is very good at working with other people. He is exceptionally nice and considerate and sensitive. X is not only good humored and friendly, but also is good at gauging other people’s level of knowledge and attitudes . . .

All in all, I think X has a very bright future, and I am sure that he would benefit from . . . Given his great intelligence and sensitivity, I am sure that he could put . . . to good use.

In short, I give X my highest recommendation, and very much hope that the committee judges his application favorably.”

Sample C

“I am writing in support of X to . . . I have known X since September, 1986. He was a member of a small . . . tutorial that I taught in 1986-87 . . . X was an active and conscientious member of the class. He challenged the rest of the class to consider issues from new perspectives and often asked very penetrating and important questions. He chose to take on difficult topics and handled them well. His assignments were well-written, well-supported, organized, neat, and timely. It was evident that X really desired to learn more and challenge himself . . .

X also has interest outside of academics. He has been an active member of . . . a Harvard singing group, and a member of the campus . . . club. He is also a member of the . . . House film society. X’s personality is wonderful. He is outgoing and friendly, but not dominating. He has an obvious and sincere concern for others . . .

X would be a wonderful student to have at . . . He has skills that he is eager to share, but he is just as eager to learn . . . I feel very confident that he will be extremely successful in all his future endeavors. He is a focused and determined young man. I highly recommend him for . . . ”

Sample D

“I am pleased to write to you on behalf of X, who is applying for a fellowship to study . . . I have known X for two years. She took my course in . . . More recently, I have been advising her on her thesis.

X has done well in Harvard’s . . . concentration. The concentration includes preparation in . . . In addition, she has had substantial exposure to the “practical” aspects of her topic, for example through her work at . . . Thus she is extremely well prepared to fulfill her proposed project.

X has selected an area, . . . , which is of growing interest. . . In my view as someone who studies . . . among other topics, questions such as this are severely under-researched. The proposed topic - . . . - seems to be both worthwhile and feasible, and should prove very interesting.

X is an independent self-starter. While she has no trouble working in groups, or interacting with others, she can also work well on her own. Furthermore, she is mature and personable. I would expect her to perform well in a wide range of environments. In fact, her personality and skills should place her high on any list of good “representatives” for the U.S.

I hope that you will consider her application strongly.”

Sample E

“This letter is in support of X, who is applying for a . . . grant. I have read his statement of purpose with great care; in fact, I have had many discussions with him about his project, which I find both compelling and important.

X is a rare combination: he is already at this young age a seasoned expert in both literature and iconography . . . Having taught him in a language-intensive course last year, I can bear witness to his superb command of German . . .

His project’s focus of interest, the . . . , is admirably suited to someone of X’s talents and industry. The . . . Institute is the ideal place to carry out such research, and I am confident that X’s discoveries will in the long run make an impact on learning in that field.

Add to all this that X is a very congenial person, well-liked by teachers and fellow-students alike, and you will see why I am so positive about this bright and energetic young scholar. I endorse his candidacy with confidence and enthusiasm.”

APPENDIX B
TWO ESSAYS ON WRITING FELLOWSHIP PROPOSALS: SSRC, NEH

On the Art of Writing Proposals

Adam Prezeworski
and
Frank Saloman

Some Candid Suggestions for Applicants to Social Science Research Council Competitions

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 opportunity 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 1990s.

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 *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 needed, restrict yourself to those new words and technical terms that truly lack equivalents in common language. Also, keep the spotlight on ideas. An archaeologist 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 summarizes the current state of knowledge and provides 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 related to one's own. Proposal writers with limited library resources are urged to correspondence 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 any 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.

What's the Payoff?

Disciplinary norms and personal tastes in justifying research activities differ greatly. Some scholars are swayed by the statement “it has not been studied” (e.g. a 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.... It is because the assumption on which this prediction was based is false?” “Everybody expected that the ‘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 the 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 competition less interesting than in truly unfamiliar terrain. Unless you have something truly original to say about them, you may be well advised to avoid topics typically styled “of central interest to the discipline.” Usually these are the 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, and write it up, you may wish you were working on something else. Or 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 mess 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, what 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 a 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 a 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 a 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 Tulpan 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 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, and 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. Re-sharpen your opening paragraph or first page so that it drives home exactly what you mean as effectively as possible.

Good luck!

The Art of the Fellowship Proposal

John Lippincott

With appreciation to the editor of Humanities, Judith Chayes Neiman, for her kind permission to let us recopy this. Mr. Lippincott wrote this as a member of the endowment staff.

Each year the NEH receives thousands of individual fellowship applications from good scholars for good projects. A few hundred are recommended by review panels for funding, but only a few score elicit a unanimous recommendation of “Absolutely Yes!” As budgetary constraints on the endowment increase, the importance of a strong panel endorsement to the success of an application also increases.

Writing a fellowship proposal that receives enthusiastic endorsement from panelists is both an art and a science. The science is in carefully following the guidelines for the format of the application and in presenting a proposal that clearly reflects knowledge of the subject being studied and the methodology appropriate to it. The art is more difficult to describe and is the subject of this article.

The art of writing a successful proposal is **not** a matter of knowing arcane secrets of grantsmanship, a presumed hidden agenda at NEH, or that influential someone in the Fellowships Division. Nor is it achieved by mimicking proposals that received NEH grants in the past. (Examples given in this article are intended to demonstrate levels of quality, not to serve as models.)

The art of writing a successful proposal is largely a matter of understanding how individual fellowship applications are selected for funding.

There are three fellowship programs that award grants for individual study and research in the humanities: Summer Stipends; Fellowships for College Teachers; and Fellowships for Independent Study and Research. They are all highly competitive because of their limited budgets and the large number of good proposals submitted each year. The ratio of grants to applications varies among the programs and from year to year, ranging from a low of one-to-five in the College Teachers program to a high of one-to-nine in Independent Study.

All three programs use ad hoc review panels—composed of scholars representing the disciplines of the applications under consideration—to evaluate the proposals. Panel ratings serve as the basis for the National Council on the Humanities’ funding recommendations to the NEH chairman, who gives final approval on all endowment grants.

In making their assessments of an application, panelists consider the evidence provided by the applicant—the description of the project, the letters of reference, the curriculum vitae, and the bibliography of works relevant to the study. (Directions for proper completion of application materials cannot be recapitulated here; they are given in the guidelines for each program and should be followed carefully.)

In evaluating this evidence the panelists adhere to the four selection criteria stated in the program guidelines. A review and discussion of these criteria (which vary only slightly among the three individual fellowships programs) will help reveal what makes for an “artful,” i.e., competitive, application.

1. The quality or promise of quality of the applicant’s work as a teacher, scholar, or interpreter of the humanities.

This criterion focuses more on the applicant than on the project. The panel looks for evidence that the individual has the knowledge and ability to carry out the project and a commitment to excellence in

scholarship. In making this determination, the panel considers more than just the curriculum vitae and record of previous publications. Reference letters provide critical information as well, and the project description itself, in its conception and presentation, is an important indicator of the quality of the individual's thought.

The phrase "the promise of quality" in this criterion indicates that panelists are concerned not simply with past accomplishments of the applicant. All three programs make grants to scholars early in their careers, as well as to senior scholars. Panelists try to judge the quality of applicants' work by standards appropriate to their career stages. There are no quotas set for awards to junior or senior scholars, nor is there any prejudice against either group. Among the Independent fellowships awarded last November, forty-eight percent went to junior scholars. (Forty-nine percent of the applications were from junior scholars.)

One of these junior scholars is studying the origin of the economic decline in New England from 1840 to 1925. The applicant was awarded a doctorate in history in 1979 and is currently an assistant professor at a major university. Her record of publications includes two journal articles and three conference presentations.

In evaluating her application, panelists took note of her status as a younger scholar. The sophisticated knowledge of the subject revealed in the proposal itself and strong letters of reference were instrumental in convincing the panel that there was "promise of quality" from this applicant. "Extremely impressive proposal," commented one panelist. "Well-reasoned, clear and attractive."

When panelists evaluate the "quality of work" of senior scholars, they may place greater emphasis on some aspects of the application.

One of the 1982-83 Independent Study awards to an established scholar (doctorate awarded in 1968, college professor since 1966, currently an associate dean at a major university) was for a biography of Anne Sexton. Certainly the proposal description was a principal element in panelists' consideration of the quality of work of the applicant, as were the letters of reference. But panelists also took careful note of the applicant's record of achievement—nine academic honors; three books and numerous articles of high quality; and poems published in a variety of journals.

Without this level of accomplishment it is unlikely a panelist would have concluded, "Seldom have I found an applicant I could bet on with more certainty—an absolutely first-rate proposal and person to do it." Another remarked, "Publications are quite good, references are excellent, and the candidate obviously has access and can do the biography."

It should be noted that the "work" whose quality is being judged under this criterion need not have been conducted in an academic setting. Two of the three programs entertain applications from scholars unaffiliated with colleges or universities; they also include unaffiliated scholars on their panels.

2. The importance of the proposal to the specific field and the humanities in general.

The best evidence of the importance of the project is given in the applicant's project description, though certainly letters of reference provide necessary corroboration. An applicant cannot assume that panelists will appreciate the importance of a project or have a predisposition toward the subject matter. It is incumbent upon the applicant to make the case for the importance of the study to be undertaken.

Because applications are competitive and reviewed in groups, panelists look for those projects likely to make the greatest contribution to the humanities. The contribution an applicant expects to make may be through teaching, through the production of materials that will serve other scholars, or through development of new perspectives on the discipline that will encourage further discussion and understanding of the subject among

all interested audiences.

A project that will serve only the applicant (such as remedial work by the applicant to “catch up” in a field) will not be competitive with projects that offer to add to the knowledge of students, colleagues, or a wider public.

A summer stipend was recently awarded for a project to write an archaeological commentary on the *Wasps* of Aristophanes, applying vase paintings and other monumental evidence to a study of the play’s terms, puns, metaphors, objects, actions and the *mise-en-scene* of the Athenian law courts.

In his proposal, the applicant argued the importance of the project by citing other scholars who have affirmed the value of applying archaeological evidence to interpretation of Aristophanes’ comedies. He then offered his own view of the significance of providing a “material and historical context” for understanding literature in general and the *Wasps* in particular. He suggested the study would serve classicists as well as a wider group of readers and would provide a basis for more authentic and effective productions of the play.

He persuaded the panel that a new understanding and appreciation of Aristophanes was needed and could be achieved through this project. One panelist commented, “This kind of study is something we should see more of and that is an approach to a classical text which attempts to conceptualize a drama as it was originally conceived and produced as, among other benefits, a stimulus to the production of ancient comedy.” Another noted that “it is the sort of work that combines ‘scholarly’ and ‘practical’ use; it may well help directors and actors present more visually meaningful performances of the play.”

In addition to the importance of the subject matter, the proposal may argue for the value of its methodology, as in this excerpt from a 1982-83 Independent Study proposal:

Political history is currently out of fashion, largely because it tends to be biographical and narrative in orientation and, except for vote counting, does not lend itself to social-scientific techniques and analysis. Political history, however, deserves attention, partly because it contains the central questions of history—how are decisions actually made—and partly because political, old-fashioned elitist history needs redoing. I propose to take a fresh look at the political history of Tudor England and study the political environment in which individuals translated their culturally conditioned aspirations and assumptions into the realities of political success and failure. It is customary to approach politics from the perspective of those who succeeded because the documentation is skewed in that direction and successful ideas live on in terms of their historic consequences. Unfortunately, successful people also tend to be well-adjusted and to know how to make the system work for them; as a result, they do not usually have much to say about the functional and psychological strains under which they operate. It is the unsuccessful who flounder and cry out and thereby reveal in their lives and writings the pressures and emotional strains under which all the natural leaders of society must work. As Scott Fitzgerald said: ‘It is from the failures of life and not its successes that we learn the most.’ The ultimate tour de force is to relate theory to practice and to offer an explanation of Tudor politics in terms of a multitude of failure stories, thereby rewriting and reinterpreting the sixteenth-century political scene... Irrationality in politics, political failure and paranoia are, alas, sufficiently relevant themes to need no special pleading. That they are being studied within a sixteenth-century context should not distract from their importance to the scholar, from their interest for the general reading public, or from their impact upon our knowledge about mankind.

Panelists were convinced. “It appears that the realization of this project would shed new light on the political dynamic of a crucial period... I think his approach will serve as an important scholarly model in terms of developing understanding of the political process in any era.” “The book would likely reach not only specialists but intelligent readers generally and make a significant and original contribution to both. This is one among two or three proposals that I rank as the very best—the reflection of a mature and brilliant scholar on a field in which he has long worked, that is at the same time an act of imagination—an asking of fresh questions of material long familiar that will influence all our thinking.”

Importance of the project is not a function of the discipline or scope of the project. There are no favored fields, time periods, or cultures. It is rather what the applicant makes of the subject that determines its importance—a point to be taken up under the third criterion.

3. The conception, definition, and organization of the proposal.

This and the preceding criterion are mutually supportive. The importance of a project is dependent on the way it is conceived, and its conception cannot be judged without regard for its importance.

Good conception, definition, and organization of the project obviously result from the applicant’s command of the subject and thus fall within the realm of the science of proposal writing. There is, however, also an art to conceiving, defining, and organizing the project. Put simply, the most successful applications seem to be those in which applicants let their ideas and enthusiasm for the subject “shine through.”

A potential applicant once contacted an NEH program officer and said she had two projects for a summer stipend in mind. After describing the projects, she asked the staff member which she should submit. The program officer counseled her to submit the one that interested her most.

Conception of the project involves asking the right questions about the subject to be studied, drawing the right comparisons with other works and subjects, and setting the right scope for the project. The operative term here is “right.” The right questions, right comparisons, and right scope—in addition to being appropriate to the field—are those that capture the interest of the panel. And since a panel is made up of scholars in the discipline, their interests will be similar to those of an applicant’s colleagues.

Competitive proposals are those that go beyond a naive or redundant treatment to explore the subject’s real potential, to yield new perspectives (including interdisciplinary views), or break new ground.

Among the applications for 1981-82 Fellowships for College Teachers were two projects treating ethical issues related to science. Both studies were intended to improve classroom instruction and serve as the basis for new courses. Of these two projects in essentially the same discipline and with the same purpose, only one was funded. The quality of the conception and definition of the project made the difference.

The successful proposal focused the study on ethical issues relating to medicine and explained clearly the value of the project to the institution and students it would benefit. It then discussed the nature of and reasons for recent moral problems associated with medicine and appropriate ways for approaching these problems. The proposal concluded with the specific questions to be explored and the methodology that would be applied.

The project received a strong recommendation from panelists. Typical of their comments was, “This is an excellent proposal both in terms of care with which it is worked out and the probable significance for teaching.”

The unsuccessful application proposed a two-part study on 1) “the history of the biological sciences and of philosophical issues peculiar to them” and 2) “contemporary work in the area of ethical issues in science and technology.” The proposal discussed the applicant’s teaching responsibilities, academic background, and current approach to and problems with teaching ethical perspectives on science, and offered as a plan of study only a brief paragraph noting resources and faculties to be consulted.

Panelists expressed concern at the application’s lack of a clear focus for the study, or specific issues to be tackled of the approach to be taken. “In comparison with the other proposal which takes biology as background for considering ethical issues, this one is not as well developed,” one panelist remarked.

Another called the proposal “too broad, too vague.” A third said, “not clear that this really takes her enough beyond what she already does and knows to constitute a ‘project.’”

As these examples illustrate, it is important that applicants state clearly what they intend to do, what questions they intend to ask and why. It cannot be left to the panel to infer or the references to imply what the plan of study will be. Panels must know how the grant period is going to be used.

4. The likelihood that the applicant will see the project through to completion.

This criterion simply means that panelists will consider whether or not what is proposed can be and is likely to be achieved.

The criterion does not mean that the entire project must be completed during the grant period, only that it should eventually be completed and that the portion slated for the period of the fellowship can be handled in that time.

A 1981-82 College Teachers fellowship was awarded for a study of gambling in eighteenth- and nineteenth-century England, focusing on how this leisure activity reflects changes in social and private values resulting from industrialization.

Following an intensive discussion of the significance and approach of his study, the applicant stated:

As ambitious as the project is, I believe that it is not an unrealistic one, and my previous work suggests that I can undertake it successfully. I am already familiar with much of the literature, both primary and secondary, on “sporting” topics, and I have had some success in using this material in a constructive way.

In addition to favorable reactions to the applicant’s abilities and the potential value of the study, panelists were convinced of the likelihood the research and a monograph would be completed. “Proposer offers convincing argument and has evidently pursued work to point where it can be completed,” said one. Another said, “[He] has background to indicate likelihood of completion.”

Finally, there are a few additional factors a panel may consider in making decisions on a group of applications. Geographical and institutional diversity are sought among fellowship awards, though no quotas are set. Panelists often take this into consideration as a tiebreaker among highly rated proposals.

The individual fellowship programs give preference to applicants who have not had major grants or postdoctoral fellowships in the last six years. Panels are also sympathetic to able applicants in situations or institutions that offer few research opportunities.

There is also a *je ne sais quoi* a “sparkle,” an appeal that distinguishes successful proposals from the nearly successful proposals. This special quality is synergistic, combining and transcending all the previously mentioned qualities, as the following excerpt from a highly rated summer stipend proposal demonstrates:

An extensive study of Russian twentieth-century literature for children is long needed. It would provide us with an observation point from which the very formation of the ‘Soviet mind’ could be observed, because children’s literature in the USSR reflects that process in its complexity; from ideological indoctrination by the state to inoculation with critical attitudes and ways of independent thinking by dissenting writers. For this author the study of Russian children’s literature is a lifelong commitment. I was born and raised in a family of children’s writers: my father was the author of more than sixty books of prose and poetry for children and about two dozen plays for the same audience. And my mother has published several books of poems for children as well. I had the privilege of knowing almost every contemporary significant children’s writer personally. For fifteen years I worked as a writer and, from 1962 to 1975, as an editor for the children’s magazine *Kostyor* in Leningrad. I published a few books of my own and translated poetry for children. Nine of my plays for children were staged and published. At the same time, I was studying and collecting materials related to the history of Russian children’s literature, beginning with the 1920s, when the Russian literary avant-garde became involved in children’s literature.

At this point I am entering the conclusive stage of my project: to complete my manuscript on the “History of Modern Russian Literature for Children” I need to carry on some additional research in earlier Soviet periodicals and rare books and to double-check the materials that I copied in Soviet libraries some years ago. The NEH stipend would enable me to complete my work during the summer of 1982 by working in the libraries of Harvard and Yale, and, primarily, in the Library of Congress.

“Absolutely yes!” was the funding recommendation from one member of the review panel. The other members agreed.