

The University of Massachusetts  
Amherst/Five College  
Graduate Program in History

Program Handbook

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## 1. Introduction

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This handbook describes the policies and regulations of the Graduate Program and outlines the procedures for attaining graduate degrees in History. It covers matters specific to the Program as well as certain University regulations. For more information, or in cases of uncertainty<sup>1</sup>, students should first consult with the Graduate Program Director (GPD). For University rules, requirements, and procedures, students should consult the *Graduate School Bulletin* and the *Graduate Student Handbook*.

Sections 3 and 4 contain important rules and regulations; you are responsible for knowing them. The rest of the handbook consists of advice, guidelines, and checklists to help you make the most of your graduate experience. If something is unclear or you can't find answers to your questions, ask the GPD or the graduate program assistant.

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### 1.1. Our Graduate Mission

A graduate program consists of many things, from the details of faculty and students to curricula, concentrations, and special fields of study. Beyond these are larger features that capture more generally what might be called the character of a program. These are the matters of professional belief that constitute a program's character and embody its vision of what it ought to be all about. Briefly put, the character of the UMass/Five College program involves:

- Engaging the exceptional resources of five campuses, thereby providing a professional training that combines intellectual breadth and historical focus
  - Cultivating the research skills essential to good scholarship at all levels
  - Emphasizing the crucial and timely importance of bringing history to a broad public and of writing well for a variety of audiences from professional to popular, national to local
  - Promoting diversity in the composition of our collegial community, the subjects of historical research, and the variety of occupations for which our students prepare.
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### 1.2. The Graduate Experience

Mission and resources lend the program overall shape and identity. But also important are the threads from which the whole cloth of graduate experience is woven as students move through the program from matriculation to commencement and into the early stages of careers:

**Coursework** - reading, writing, pursuing the puzzles of original research, and discussing ideas with other students and faculty- it is within small graduate seminars that students learn the disciplinary territory and begin to locate themselves within it.

**Fields** - While the accumulation of courses is important, it's the preparation of fields that provides the program's culmination. Decisions about the nature of each of three fields—focus, breadth, relevance, mutual

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<sup>1</sup> This is especially important in light of the multi-year re-fashioning in which the Graduate Program is currently engaged

articulation, as well as the availability of courses and faculty advisors—offer students the chance to define the kind of historians they intend to be.

**Research** - Professional identity and authority are both grounded in research. In theses and dissertations, as well as in the research projects pursued within various courses and seminars, at various sites around the Valley and elsewhere throughout the world, original investigation lies at the heart of the program.

**Teaching** - Historians teach and many of our students work as teaching assistants. Much as a medieval guild, the program enables faculty and TA to work together as master and apprentice to learn the craft and practice the art of teaching.

**Internships** - Historians are needed in many places outside the academic world. The graduate program, especially in the Public History concentration, helps students search out opportunities to work as historians in public places outside the University.

**Collegiality** - Students in the program read intensively both for seminars and as they prepare fields in anticipation of general examinations. Informal reading groups, organized by discipline and meeting at salubrious sites every few weeks, offer students and faculty the opportunity to read together articles from current core journals. Students are also encouraged to attend the colloquia, lectures, seminars and other events the department hosts to hear about the work of both visiting scholars and their own faculty.

**Conferences** - Historians, apprentice and master both, move in widening circles. The program encourages its students to present their work at national and local conferences—thereby forging identities beyond the local community important for their future careers.

**Community** - Not least, our students—and faculty too!—relish the camaraderie of a program whose members enjoy meeting and socializing with one another both within and beyond the classroom.

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## 2. Information for New Students

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### 2.1. Orientation

Each Fall, usually the Thursday before Labor Day, the Department hosts a required day-long orientation for new students. This is in addition to the University-wide orientation for all new TAs usually held the following day.

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### 2.2. Advisors and Mentors

Every new student is assigned both a faculty advisor and a mentor from among the graduate students already in the program. Effort is made to match new and current students and faculty with mutual interests. Between advisors and mentors, new students can get quick answers to a wide variety of questions ranging from academic matters dealing with requirements and courses of study to the everyday needs of living in Western Massachusetts and navigating one's way through the program to the degree.

This initial assignment of an advisor is frequently temporary. A permanent advisor should be chosen as early as possible and the GPD and Graduate Program Assistant informed about who it is. This is an important decision, and should be made early, since the permanent advisor assumes primary responsibility for academic counseling, helps formulate a proper course of study, and usually chairs the examining committees for the MA and PhD degrees. The permanent advisor can be changed with the approval of the GPD. Students are encouraged to seek out appropriate faculty on the other campuses with whom they might be comfortable working.

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### 2.3. Mailboxes

Each degree-seeking graduate student is assigned a mail slot on entry into the program. Mailboxes are located in the mailroom on the seventh floor of Herter Hall.

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### 2.4. ID Cards

ID pictures and cards are typically processed at the UCard Office found in the Whitmore Building on campus during the first few weeks of the semester.

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### 2.5. UMail, SPIRE, and SPARK (Moodle)

In the summer before you start your graduate career, the Office of Information Technology (OIT) will mail you information on setting up your University computer account. This account is necessary for you to receive and access email (UMail), register for courses and update official university contact information (SPIRE), and use web-based courseware for courses that require it (SPARK) soon to be known as Moodle. The same login ID and password are used for all three services. OIT also offers optional services like blogging.

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## 2.6. Electronic mailing lists

All new students will be subscribed to the *hist-incoming-l* email list, for information related to incoming students; *hist-grad*, for information and discussions about the graduate program; and *hist-seminar*, for announcements about the Five College History Seminar. Students pursuing the Public History Certificate will be subscribed to *ph-students*, where they will find information and announcements relevant to the Public History program. Ph.D. students will also be subscribed to *hist-phd*, which is for issues specific to the Ph.D. program. If you are not getting emails from these lists, please check with the GPD or the program assistant.

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## 3. Requirements and Rules

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### 3.1. General Rules for M.A. and Ph.D. students

Degree-seeking students are urged to consult the most recent *Graduate School Bulletin* and the *Graduate Student Handbook* for university-wide rules and regulations. Departmental rules, and University rules especially important to graduate students in history, include:

#### 3.1.1. Course Load and Full-Time Status

Full-time M.A. students who are taking courses are required to take nine credits per term, unless they have an assistantship. The History Department considers two four-credit courses plus an assistantship to be a full-time course load and will certify that to the Graduate School and any external funding agencies upon request. Students not in a Teaching Assistantship may wish to enroll in a 1 or 2 credit independent study to achieve full-time status; they may also request a memo certifying full-time status from the GPD. The maximum course load is four courses per semester, totaling no more than 15 credits. Ph.D. students may be certified as full-time after their first year of coursework if they are making satisfactory progress toward meeting program requirements.

#### 3.1.2. Statutes of Limitations

University regulations grant M.A. candidates three years to earn their degree. Ph.D. students initially have four years; once they advance to candidacy by completing all requirements except the dissertation, the statute of limitations will be reset to an additional five years. Students seeking extensions should explain their reasons in a letter to the GPD that has been endorsed by their advisor. The GPD can approve one extension without seeking the approval of the Graduate School, if the student has demonstrated satisfactory progress towards completion of the degree. Requests for additional SOL extensions must first be supported by the GPD and then forwarded to the Graduate Dean for final approval.

#### 3.1.3. Ph.D. Residency

A doctoral candidate must spend the equivalent of at least one continuous academic year of full-time graduate work in residence at the University. The residency year must be either in fall/spring or spring/fall sequence. During this year, the student must spend some part of each week physically on campus. To qualify for full-time status, a student must carry a full course load for two consecutive semesters, with either three courses per semester or two courses and an assistantship.

#### 3.1.4. Transfer Courses

A maximum of two graduate courses taken at other institutions, or in the Graduate Program as a non-degree student, can count towards M.A. or Ph.D. degree requirements if the transfer is approved by the GPD. Such courses must not have been completed as part of the requirements for a degree. They must have been taken within the previous three years.

### 3.1.5. Grades and Satisfactory Progress

M.A. students are expected to earn grades of B or better; those who do not maintain a B or better average will be asked to leave the program.

Ph.D. candidates must achieve a distinguished record in course work (at least half with the grade of "A" computed on a yearly basis) to remain in the program. The GPD decides whether the candidate's grades qualify him or her to take the comprehensive examination.

Courses taken on a Pass/Fail basis do not count towards degree requirements.

*Note: Students who have more than one outstanding incomplete are not considered to be making satisfactory progress; if they do not complete any outstanding incompletes by the end of the semester following the course, they may be asked to leave the program.*

For Ph.D. candidates, satisfactory progress usually entails finishing coursework and the language requirement by the end of the third semester, taking the comprehensive examination by the end of the fourth semester, and having an approved dissertation prospectus by the end of the fifth semester. Students who do not meet these requirements in a timely fashion may be asked to leave the program.

### 3.1.6. Leaves of Absence

Leaves of absence may be granted if, for a limited time, a student's health or non-academic responsibilities prevent him or her from giving full attention to graduate study. A leave of absence must be requested from the Graduate Program Director; if the GPD approves the leave, he or she will request one from the Dean of the Graduate School, who will make the final determination. Students on leave of absence must pay the continuing fee/program fee during the semester(s) on leave. Leaves of more than one semester will be granted only in extraordinary circumstances.

### 3.1.7. Academic Honesty

The Program expects its students to abide by the Graduate Student Honor Code, which reads as follows:

***We, the graduate students of the University of Massachusetts at Amherst, hereby affirm that graduate students do not lie, cheat, or steal, or willingly tolerate those who do.***

***We do not plagiarize the work of others, falsify data, or knowingly allow false data to be generated or published with our compliance.***

***We do not harass or discriminate against others for reasons of race (phenotype), creed, sexual orientation, or political belief, or keep faith with those who do.***

Unfortunately, cases of academic dishonesty have cropped up from time to time in the Graduate School, even in the History Department. The Department takes academic honesty very seriously; the normal penalty for plagiarism or other forms of cheating is, at the minimum, failing the course. Usually the instructor will seek suspension or expulsion from the program, because cheating in graduate school violates the fundamental element of trust that is at the heart of the student-teacher relationship. Cases of alleged academic dishonesty are handled in accordance with the University's Academic Honesty Policy, available online at: [http://www.umass.edu/dean\\_students/codeofconduct/acadhonesty/](http://www.umass.edu/dean_students/codeofconduct/acadhonesty/)

Students should also read and be familiar with the American Historical Association's statement on standards of professional conduct, which is incorporated below in this handbook (section 10).

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## 3.2. Requirements for the M.A. Program

At the MA level, the History Department encourages broad understanding rather than specialization.

*See also the Checklist for M.A. Program Requirements and the ideal schedule for completing the M.A. program, below, sections 7.1 and 7.2.*

### 3.2.1. Course Requirements

Master's candidates must complete eight courses for at least 30 credits. *(Total credits will be less than the normal 32, if two of the eight are undergraduate, three credit, courses taken for graduate credit; see below.)*

- Hist 691P, Introduction to History, during the first semester in the program.
- A 600-level historiography course in the relevant concentration. (The student's advisor, in some cases, might require a second historiography course.) Students are also encouraged to consider Global Historiography, Hist 605, as a second course. Note: all 600-level courses involve historiography, but this requirement may be satisfied only by courses with the word "historiography" in the title or whose description explicitly states that they meet the historiography requirement. Exceptions may be considered by petition to the Graduate Studies Committee before a student has taken a course.
- At least four (600-level) topics courses. Such courses use secondary literature to explore topics or periods. Upper-level (300 and above) undergraduate courses may fulfill topics course requirements. Such courses are registered as History 597 and usually require additional work. No more than two such courses may be taken to fulfill degree requirements.
- At least one research (700-level) seminar. Seminars concentrate on specific topics, stress the use of primary materials, and typically require research papers based on such materials. Seminars may be taken as courses or as independent studies. In many cases, 600-level courses may be taken for research credit under a 700-level number with the approval of the instructor and appropriate modification of course requirements. The seminar must be completed with a grade of B or better. A student who chooses the M.A. Thesis option may count one semester of the thesis as a substitute for a 700-level seminar.
- Up to two courses in related disciplines may be taken with approval of the student's advisor and of the GPD.

### 3.2.2. Foreign Language Requirement

The program requires proficiency in an appropriate research tool for the completion of the MA and PhD programs. For most students, and necessarily for doctoral students and for MA students in areas outside the U.S., that "research tool" is a foreign language, whether French, German, Spanish, or a Native American language, among others. Even for students of U.S. history, whose work may not depend on languages other than English, a foreign language brings substantial benefits and expanded possibilities to their education and work as historians.

In certain cases, other research tools might be deemed relevant and, with the approval of the GPD and the student's advisor, can be substituted for a foreign language. Such alternatives usually consist of semester-long courses in the relevant research tool. Courses in statistics have previously been accepted as substitutes, as have Anthropology 577 and 578. **All such non-traditional "languages" require the support of the student's advisor and an application to the Graduate Program Director** that justifies its relevance to the major field of study. A grade of B or better must be achieved in a course used as a substitute.

Beginning in Fall 2011 (see below), M.A. students may demonstrate their competency in a language by using it in a substantive way in one of the works of scholarship submitted in a capstone portfolio. Examples of the demonstration of competency may include (but is not limited to): using primary or secondary sources in a second language in a research paper; submitting translations of exhibit label copy or a walking tour developed in a public history course or writing a review of a book or article published in another language. This competency is affirmed by one's primary advisor, in consultation with colleagues fluent in the language chosen. Ph.D. students, however, must complete the language exam. Language exams are given **once** near the beginning of each semester and administered by the Graduate Program Assistant. New students are expected to take the language exam in September and again, if need be, in the spring semester. Special exam arrangements, which need the approval of the GPD, can be made in the case of languages not represented within the Department.

**NB: Students cannot take the general examination or present M.A. portfolios without having passed the foreign language requirement or having submitted evidence of proficiency in some other research tool.**

A form for the foreign language alternative is included below, section 7.5.

### 3.2.3. Portfolio

Master's candidates, in the class of 2012 and 2013, may choose one of two evaluative experiences. Those who elect to take a sequence of written and oral exams must pass a two-part general examination made up of a six-hour written and a one-hour oral exam. The exam is structured into three fields. The committee is typically made up of the advisor, who serves as chair, and two other members from the University of Massachusetts/Five College graduate faculty, all of whom have agreed to help prepare fields and serve as examiners. Each committee member examines the candidate in a particular field. At least one field must be geographically distinct from the student's major field. M.A. fields must be approved by the graduate studies committee; a list of currently approved fields is available on the department website. (For more information and advice about fields, see below, section 6.2.)

The written examination, which lasts six hours (two hours per field), is administered by the Graduate Program Assistant, who provides the student with the committee's exam questions, collects the answers at the end of the exam period, and distributes them to respective committee members for assessment. The one-hour oral exam follows the written by no fewer than four days and no more than a week. The oral section of the exam is conducted by the student's committee and chaired by the student's advisor. The general exam is graded: Honors, High Pass, Pass or Fail.

The class entering in Fall '12 will only complete portfolios and the traditional exam at the M.A. level will be retired. Students who elect to submit a portfolio work with their primary advisor will create a set of documents that represent their work at UMass. Portfolios will represent three fields as described above, and will demonstrate proficiency in historiography, content, written and oral expression, and competency in a language or research skill. Portfolios are submitted mid March, with a day-long capstone presentation event occurring on or around early April.

### 3.2.4. M.A. Thesis Option

Students may choose to write a Master's thesis as a substitute for two courses (eight credits), one of which may be a 700-level research seminar. Thesis writers should assemble a committee of three faculty, composed of a chair and two readers, and report the composition of the committee to the GPD. It may be the same as the student's exam committee.

**A thesis outline must be approved by the committee and the GPD and submitted to the graduate school at least four months prior to submission of the thesis**, that is, by the end of the third semester.

Thesis writers must follow the format in the *Graduate School's Typing Guidelines for Master's Theses and Doctoral Dissertations*, which is available in the Office of Degree Requirements of the Graduate School. The thesis usually carries eight credits over two semesters. Students are normally given the grade of "IP" at the end of the first semester, and a final grade at the end of the second semester when the thesis is completed. The thesis must be completed before the general examination and forms part of that exam, which is extended from an hour to an hour and a half, so that time can be devoted to the thesis itself.

### 3.2.5. Application for Graduation

Upon completion of their oral exam, all Master's candidates must apply for graduation by filling out the "Master's Degree Eligibility Form," which is available from the Graduate Program Assistant. This form must be signed by the GPD and departmental chair and delivered to the Office of Degree Requirements in the Graduate School **by April 15<sup>th</sup>**, for May graduation.

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## 3.3. Special M.A. Options

### 3.3.1. Master of Arts with Concentration in Public History

Master's candidates may choose a concentration in public history to develop skills in museum and historic site interpretation, archival management, or historic preservation for a total of 36-38 credits distributed as follows:

- Five graduate-level courses (Hist 691P, An Introduction to History, and one other 600-level historiography course, a 700-level research seminar, and two others).
- One introduction to public history course (History 659).
- Two linked graduate courses in archives, museum studies, historic preservation, digital history, writing history for broad audiences or some other defined field with the approval of the director of the Public History Program.
- Six credits of practicum/internship (History 698) under the supervision of the director of the Public History Program. Note: Tuition waivers cannot be used for credits taken during the Summer - Students planning to do their practicum internship over the Summer should register for six credits of History 698 during the preceding Spring or following Fall semesters.

Students interested in pursuing this concentration should speak with the Director of the Public History Program.

### 3.3.2. Concentration in Global History

This construes global history as a way of enriching traditional fields through cross-cultural comparison. Active and future high school and college teachers will acquire training in a comparative approach to traditional fields and an introduction to non-Western ones. Master's students with the global history concentration take eight courses distributed as follows:

- Hist 691P, An Introduction to History, and a course in global historiography.
- One 700-level research seminar.
- Five topics-courses (600-level), at least two of which must be comparative or Third World courses. Two of these may be upper-level (300 and above) undergraduate courses, registered as History 597. See above Page 3.
- All other Master's requirements apply.

Because of the specialized character of this program, candidates should take care to work closely with the GPD and their advisor in designing their curriculum.

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### 3.4. Transition from the M.A. to the Ph.D. program

Prospective PhD candidates must prepare and submit an application to the Graduate School by January 2 for Fall admission. Sitting University MA students are required to formally re-apply to the Graduate School. All applications, external and internal, are placed in the new pool of prospective candidates and compete on an equal footing for acceptance into the program. University of Massachusetts MA students planning to apply to the PhD program should aim to finish their theses and/or course work and take their general exams as early as possible in their last MA semester. The Graduate Studies Committee may delay considering applications of sitting students until the MA exams have been satisfactorily completed.

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### 3.5. Requirements for the Ph.D. Program

The doctoral program in history at the University of Massachusetts admits a small number of highly-qualified doctoral students each year, typically around 4-6. Applicants must have completed the MA before entering the PhD program. These candidates typically spend the first year doing coursework and an additional semester reading for the preliminary examination. Dissertation research and writing begins after successful completion of the comprehensive examination and usually takes three to four years to complete. The program does not admit doctoral students into the program without having a major advisor with whom to work. (In unusual circumstances, students can be admitted into the doctoral program without an MA, but these cases are rare indeed; courses of study for such students would be worked out by the advisor and the Graduate Program Director and would normally include completing the requirements for the MA.)

*See also the Checklist for Ph.D. Program Requirements and the ideal schedule for completing the Ph.D. program, below, sections 7.3 and 7.4.*

### 3.5.1. Course Requirements

Four courses at the 600-797 level distributed as follows:

- Two research seminars (700-level), either as courses or independent studies.
- Two topics courses or independent studies (600-level). One of these must be History 691P, Introduction to History, unless the student already took the course as an M.A. student. In some cases, the GPD may prescribe that one or more of these be historiography courses. Unlike MA candidates, PhD candidates may not take undergraduate courses to satisfy this requirement.
- Candidates with a supporting field outside of history may, with the approval of their advisor and the GPD, count two courses in that field toward fulfillment of course requirements.
- Candidates must register for at least ten dissertation credits (no more than 8 per semester), but this may not be done until the foreign language requirement has been satisfied and all required coursework has been completed.

### 3.5.2. Foreign Language Requirement

Doctoral candidates who have passed the departmental foreign language examination or produced evidence of proficiency in another research tool as MA candidates are absolved of the foreign language requirement. This requirement is also waived for foreign students for whom English is a second language and for candidates whose Master's curriculum included a foreign language examination, provided they can produce documentary evidence of having passed a proper examination. All other students are expected to satisfy the foreign language requirement. Please note:

- Candidates who plan to specialize in areas for which more than one language is required must demonstrate reading proficiency in the requisite languages. In such cases, the relevant faculty member shall provide the GPD with written certification of competence in the language or languages in question.
- The language exam schedule is the same as for MA candidates.
- Rules for substitution for U.S. history majors are the same as for MA candidates.
- Candidates must satisfy the foreign language requirement before taking the comprehensive examination.

### 3.5.3. Comprehensive Examination

Candidates prepare one primary field and two supporting fields with three different members of the graduate faculty. Fields are broadly conceived geographically, topically, and chronologically to provide a perspective of historical continuity and comparison. At least one of the three fields must be outside the area of concentration. For instance, a candidate whose major concentration is Modern France might have a supporting field in European Social History and an outside field in Modern United States or Latin America. With the approval of the GPD, one supporting field may be chosen from a complementary discipline. Students are encouraged to work with Five College members of the graduate faculty.

**It is important to assemble an examining committee as soon as possible.** The candidate and advisor must select the committee from faculty specializing in the primary field and two supporting fields. The GPD then registers the committee with the Graduate School, and reports any later changes in composition. It is the responsibility of the examining committee to prepare the student for the comprehensive examination. The candidate's advisor normally chairs the exam and directs the student's major field for the comprehensive

examination, which usually coincides with the student's dissertation topic. The examination is usually taken within four months of completion of course work. Exceptions must be approved by the GPD. The foreign language requirement must be satisfied before the comprehensive exam is taken.

- **At least one month before the examination, the candidate must submit to the GPD a preliminary dissertation prospectus in the form of a written proposal for a long-term research project.** This preliminary prospectus has three parts: a research design or statement of themes; a review of the secondary literature; and a bibliography. The prospectus must be approved by the candidate's advisor.
- PhD students are required to take a comprehensive examination consisting of written and oral sections. The student is given the questions (one or two questions per field) covering three fields Monday by noon. The questions should address broad issues of interpretation which can be answered in essay (not research paper) format. Answers are due Friday of the same week at noon. Answers are to be typewritten, double-spaced, and no less than 10 and no more than 15 pages per field. No bibliography or footnotes are required or desirable. Students should refer to authors and books or articles by name in the test. The answers will be Xeroxed and distributed to the examiners for grading. The following week, in an oral exam of up to three hours, the examiners will follow-up on the written answers.
- The comprehensive examination may be graded in four ways: Distinction, High Pass, Pass, and Fail. A candidate must pass all fields before moving on to dissertation writing. In case of unsatisfactory performance, the preliminary examination may be retaken once in accordance with established Graduate School procedures.

### 3.5.4. Dissertation Committee

A dissertation committee of four members is appointed after successful completion of the comprehensive examination. Three members must be from the University of Massachusetts, University of Massachusetts-affiliated, or Five College graduate faculty in History; the fourth is preferably a University of Massachusetts faculty member from another discipline/department.

Questions often arise about the constitution of these committees. Some variation on the above is possible. For instance, the University of Massachusetts Graduate School allows (but does not recommend) committees as large as 6. The role of the “outside” member has been very confusing through the years. The purpose of this role is to ensure that dissertations in History are held to a standard comparable to other departments on campus; the faculty member in this role is also meant to ensure that policies of the University of Massachusetts Graduate School are followed. The “outside” reader can also serve as a resource if a problem develops between the student and their department. So, it’s preferable to select someone from another department on campus. Most students in our department wish to draw on a member of the Five College faculty for this slot, which is also acceptable (since they are presumably also experienced enough with the local administrative culture and expectations to fill this role). Given the purposes above, it does not matter what discipline this member was trained in or works in now.

In exceptional cases, one committee member may be a historian at another university; this requires the approval of the GPD and the Dean of the Graduate School. The composition of the committee must be reported to the GPD, who officially registers the committee with the Graduate School. Once appointed, the committee, chaired by the candidate’s advisor, has charge of all matters pertaining to the dissertation, which must receive the committee’s unanimous approval.

### 3.5.5. Dissertation Prospectus Seminar

The dissertation prospectus is to be presented in a departmental seminar **at which all dissertation committee members are present.**<sup>2</sup>The prospectus seminar is intended to help students articulate and further refine their dissertation projects and research designs. After the student's presentation and discussion, the dissertation committee will meet to approve the prospectus, with or without revisions. This prospectus, with a cover sheet signed by all committee members, should be filed with the graduate school by the end of the semester following the comprehensive examination. In exceptional circumstances, one committee member may be absent from the prospectus seminar, with the GPD's permission, if he or she has approved the prospectus in advance of the seminar. **The dissertation seminar must be scheduled at least a month before the seminar date, and the candidate must provide the GPD and Graduate Program Assistant with a copy of the prospectus when the seminar is scheduled.**

### 3.5.6. Dissertation

Once all course work and comprehensive exams are complete, the PhD candidate will work towards completing the dissertation with faculty guidance. Please note:

- The student must register for at least ten dissertation credits with a maximum of eight in one semester. The student may not register for dissertation credits before the foreign language requirement has been satisfied and all required coursework has been completed. However, a student who has completed coursework and the language requirement may register for dissertation credits while preparing the comprehensive exam and dissertation prospectus.
- Once dissertation credit requirements are met, the student must pay the program fee for each semester he/she is registered in the program as an active PhD candidate. Failure to pay the program fee will remove you from the program.
- **The formal dissertation prospectus must be submitted to the Graduate School at least eight months prior to the dissertation defense.** All members of the dissertation committee must sign the cover page of the prospectus. (See *Graduate Student Handbook* for more details.)
- All dissertation defense dates must be published in the "Weekly Bulletin" on the University's *In the Loop* website beforehand. **It is the responsibility of the candidate to notify the Graduate Program Assistant of the date at least one month before the defense.** The Assistant then informs the GPD, the Graduate School, *In the Loop*, and the Provost's office. **All members of the dissertation committee must be present at the defense.**
- The dissertation must make an original contribution to the candidate's field of specialization. The dissertation committee grades the defense and the dissertation on the same scale as the preliminary examination: Distinction, High Pass, Pass, and Fail.
- After the dissertation defense and with the guidance of the committee, the dissertation director will write a brief report on the defense, stipulating the nature of the revisions the doctoral candidate must make before final submission of the dissertation. This report will be distributed to the candidate, committee members, and the GPD.
- In preparing the dissertation, candidates must pay careful attention to *Typing Guidelines for Master's Theses and Doctoral Dissertations*, which is available in the Office of Degree Requirements in the Graduate School. In addition to the electronic copy required by the Graduate School, **candidates must give one BOUND COPY to the department.**

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<sup>2</sup> This prospectus is a revised and formal version of the preliminary prospectus submitted before the comprehensive exam

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## 4. Financial Aid

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### 4.1. Teaching and Other Assistantships

Assistantships constitute the sole departmental source of financial support. They are awarded by the Graduate Studies Committee on the basis of merit. These awards currently pay a stipend of \$16,537.60/year or \$8,268.80 semester,\* plus a tuition waiver and waivers of the course fee and 95% of the individual health insurance fee. Recipients are responsible for other fees. Teaching assistants normally perform twenty hours of work a week, either as leaders of discussion sections in undergraduate courses, or as graders in upper-division undergraduate courses. Each History Department teaching assistant is entitled to shared office space, which is assigned by the History Department.

Master's candidates are eligible for support in their first two years; doctoral candidates are eligible for three years, plus an additional year in their finishing year. The awarding of an assistantship the department is contingent on satisfactory performance of academic work and teaching or grading duties. Doctoral candidates must apply for the fourth year to the GPD by presenting evidence (in the form of dissertation chapters and a letter from their advisor) that they are likely to finish within the year.

Students who have not been awarded an assistantship in the department or who exhaust their eligibility are welcome to apply for teaching assistantships in other departments (Legal Studies, the Writing program, Judaic and Near Eastern Studies and Afro-American Studies are the most common sources of support). Assistantships held in other departments do not affect the eligibility clock in the History Department. The Assistantship Office in the Graduate School maintains a list of available assistantships to which graduate students can apply.

#### 4.1.1. Appointment and Reappointment Procedures

##### A. General Statement of Eligibility

All graduate students enrolled in the MA/PhD programs are eligible for positions as either full-time (i.e., full-year) or half-time (i.e., half-year) TAs in the History Department; in either case, the workload is 20 hours per week. Those appointed as half-time assistants for the fall semester are not guaranteed assistantships for the spring semester.

##### B. Procedures

The faculty members of the Graduate Studies Committee (GSC) review all new applications for assistantships. The Graduate Program Director (GPD) distributes application forms to all graduate students asking if they wish to be considered for funding. At this time decisions are made about the number of positions to be filled and the students who will be offered positions to fill them. Once the course schedule has been formalized, the GPD sends out another form to eligible graduate students listing the courses with openings for TAs and asking that the students indicate their preferences. The GPD also sends a form to the instructors listing all eligible TAs and asking for their preferences and then matches the graduate student preferences with those of the instructors and transmits his/her recommendations to the Department Chair, who is responsible for all final appointments.

Students will be notified in writing about TA assignments as early as possible.

### **C. Selection Criteria**

Though we wish we could fund all students, it is not possible to do so. Determining which students will receive funding is a difficult process for all concerned. All PhD students are offered funding for three years, and final year, as described elsewhere herein. Some MA candidates enter with funding packages promised during admissions, as a means of recruitment. Those currently holding assistantships will be renewed annually at the level of their initial appointment or higher, depending on review by the GSC, until their eligibility expires (see below). When it becomes possible to create a new assistantship—or to promote a half-time to a full-time assistantship—these are awarded to incoming or sitting graduate students primarily in recognition of academic excellence. Academic performance is evaluated on the basis of materials present in the applicant’s academic file, including academic transcripts, faculty evaluations of graduate course work, GRE scores, and letters of recommendations. The GSC also takes teaching and other relevant experience into consideration, although lack of such experience will not prejudice an applicant’s chances for appointment.

### **D. Eligibility and Terms of Appointment**

- a) MA candidates are eligible to receive graduate assistantships at the level of initial appointment or higher for a maximum of two years.
- b) PhD candidates are eligible to receive graduate assistantships for three years beyond the MA Level. They may also apply for an assistantship for a fourth year (contingent on funding) if they have completed all Ph.D. requirements except their dissertation by August of the year of their application (that is, before their final year commences. Students must be able to confirm that they are in their final year of dissertation writing at this time.) The application must include a discussion of the current state of their dissertation, progress toward its completion, all completed chapters, and a supporting recommendation letter from the applicant’s advisor affirming that their dissertation will be defended in the coming academic year.
- c) Both MA and PhD students holding assistantships are required to:
  - fulfill their assistantship duties satisfactorily
  - maintain good academic standing in the program, including a grade average of B or above, with no more than one incomplete; and
  - make satisfactory progress towards the completion of degree requirements.
- d) These terms are contingent on funding and apply only to regular assistantships, both fulltime and half-time, not to one-time assistantships funded by grant money or other irregular funding sources.
- e) Students are assigned to course after forms are distributed to both faculty and the group of students awarded TAs; the forms invite students to indicate their preferred assignments and faculty to indicate the students with whom they prefer to work. These preferences are taken into account by the GPD but assignments are based on the overall shape of the semester and needs of the department.

Some students are assigned to administrative positions within the department. Other advanced graduate students can be assigned to courses in the RAP program. On rare occasions, the department has RA positions to fill as well. All such assignments, if appointed by the GPD, “count” toward semesters of guaranteed funding.

## 4.2. Fellowships

The Graduate School annually awards University Fellowships. These fellowships are approximately \$8,000 to \$15,000 a year, plus a tuition waiver. Separate awards are made for incoming students and for sitting students. Nominations are made by the Graduate Studies Committee to the Graduate Council. Awards are announced in March for incoming students and in May for sitting students. Fellowships are also available from outside the University for a variety of graduate programs and levels of study. Sources include the Social Science Research Council, Fulbright, and Mellon. The Graduate Student Grant Service helps graduate students identify and apply for such support.

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## 4.3. Financial Aid Office

Some financial assistance is available based on need. To be considered for such assistance students must file a Financial Aid Form (FAF) with the Office of Financial Aid Services, 255 Whitmore Building, by the posted deadlines. For more information contact the office at 545-0801. Graduate students are also eligible for work-study through that office.

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## 4.4. Tuition Waivers\*

Degree candidates may be eligible for tuition waivers if they are paid a minimum of \$5,000/academic year or \$2500 a semester from the University in the form of a teaching assistantship or research assistantship. In addition, students with outside sources of funding may qualify for a waiver if they are paid at least \$2500 a semester for work that directly furthers their academic program. Students interested in this option should consult the Business Office in the Graduate School. Foreign students should inquire at the International Programs Office about the possibility of waivers.

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## 4.5. External Fellowships and Grants

Many public and private agencies provide fellowships and grants for graduate study in history. The Graduate Student Grant Service office, located in 517 Goodell, provides assistance in identifying such awards. Generally speaking, fellowships provide funds for tuition, fees, and cost of living while pursuing your studies; grants provide funds to defray research expenses.

To be eligible for some fellowships, applicants must apply before starting graduate study, or in some cases during their first year (for example, the Jacob K. Javits Fellowships from the U. S. Department of Education, or the National Science Foundation Graduate Fellowships, which can be used to support graduate study in history of science).

Prospective applicants to the graduate program should strongly consider identifying and applying for these fellowships in the fall before applying to the program. Other fellowships and grants support Ph.D. students who have completed coursework and who have advanced to candidacy for the degree. These awards generally support dissertation research. GSGS can help you identify some; the American Historical Association also maintains a database of grants and prizes of interest to historians that can be searched by AHA members.

*These amounts may change each academic year; please check with the Graduate School for the current amount.*

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## 5. Research Funds and Prizes

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The History Department has several sources of research funds for graduate students.

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### 5.1. Bauer-Gordon Summer Research Fellowships

A number of Bauer-Gordon Fellowships for summer research are awarded annually. Two derive from an endowed departmental fund; preference is given to students engaged in Russian, German, or military history. The others are funded (when funds are available) by the Dean of the Graduate School and the Dean of the College of Humanities and Fine Arts, and carry no disciplinary restriction. Each fellowship award is \$2500. The Graduate Studies Committee solicits applications in October and March and announces the recipients in November and April.

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### 5.2. Graduate Travel Grant

This grant derives from interest on donations to the department from graduate degree holders. There is normally one grant of \$400. The Graduate Studies Committee solicits applications in March and announces the recipients in April.

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### 5.3. Potash Travel Award

This award, endowed by Professor Emeritus Robert and Jeanne Potash, is intended primarily for graduate students with a working knowledge of Spanish or Portuguese specializing in Latin America. It pays \$500 to support research or a course of study at an established university in Spain, Portugal, or Latin America. Applications must be received by March 15. Questions should be directed to the Chair of the Latin American Studies Program, or the Chair of the History Department.

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### 5.4. Caldwell Prize

These are two \$250 prizes awarded for the best article-length research papers written by MA students in the previous calendar year. One paper may be an M.A. thesis. Papers may be nominated by their authors or by faculty members. Submissions are solicited in March and awards are announced in April. The money for this prize was donated in honor of Professor Emeritus Theodore Caldwell.

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### 5.5. Ogilvie Memorial Grant for Foreign Language Study

This grant of up to \$4000 supports intensive summer language study or research in foreign language sources that is required for dissertation or thesis research. Priority is given to students in European history and history of science. This grant is funded through 2013 by a gift from Professors Brian Ogilvie and Jennifer Heuer in memory of their father and father-in-law, Dr. Marvin L. Ogilvie. Applications are solicited in March and the award is announced in April.

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## 5.6. Conference Travel Funds

Students delivering papers at conferences are encouraged to apply to the Graduate Student Travel Grant Program, run by the Graduate School, and to the Department Chair for travel money. The History Department is allotted only 3 grants from the Graduate School. These are usually spent by September, so if you can document conference participation, and wish to apply for these funds, it is best to alert the GPD as soon as classes begin. There is a limit of one request per year.

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## 5.7 Ermonian Prize

This scholarship is given for outstanding work as a Graduate Teaching Assistant based on academic performance, excellence in course work and examinations and having made good progress toward completion of the degree. Candidates are nominated by the Faculty in April and the winner is chosen by the Graduate Studies Committee.

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## 5.8 How to apply for departmental support

a) To submit a request for departmental support for conference travel, at any time during the semester, you must provide evidence that your paper has been accepted for presentation (typically your letter of acceptance, though it may also be the conference program). You should also provide a budget, as follows:

Travel	_____
Hotel	_____
Conference Registration	_____
Total:	_____

The university does not typically reimburse meals. Also, some organizations offer support for graduate students on the program. It is wise to politely inquire whether this support might be available, as departmental support is currently capped at \$300.00.

b) To apply for Spring departmental award competitions, submit a c.v. as well as a brief (500-word) statement describing your project and its significance, your specific aims and plans, and expected outcomes. You must also include a budget listing all costs, as per the template above.

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## 6. Expectations and Advice

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### 6.1. Courses

The program admits students to study with its faculty and with fellow students. Usually the best way to achieve this, especially for reading courses, is to take regularly scheduled graduate courses. If there are no courses in your major field one semester, consider taking courses in your second and third fields. Taking undergraduate courses for graduate credit is another option—especially advanced undergraduate seminars at the Colleges. Independent Studies are an option, but in terms of interacting with other students, they are much less satisfactory than a regular reading course.

To find out courses that are available at the Colleges, check the Five College Catalogue, on the web (<http://www.fivecolleges.edu>).

Many 600-level reading courses may be turned into 700-level research courses: ask the instructor if that's possible, and if it is, register for the course as History 796.

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### 6.2. Fields and Committees

Beyond specific program requirements, work towards the M.A. should be organized by fields, three of which are required, one outside a student's major (geographical) area. Fields are not identical to courses but represent broad areas of study to which the whole of the graduate experience contributes—whether in formal courses, independent study, lectures, the Departmental Colloquium, the Five College History Seminar, or conversations with faculty and one's classmates in offices or even at the local pub.

M.A. fields consist of two parts: an approved core component, which represents a consensus among the relevant historians within the program, and a component negotiated between student and faculty member. As an example, a student who wished to prepare a field involving the American West could frame it appropriately in this way: "Nineteenth-century U.S.: the American West." The first part represents the core component of the field; the second part, the component arranged between the student and the faculty member with whom they wish to work.

Ph.D. fields are tailored to the student's interests. The major field is usually in the broad area of history in which the dissertation will be written—for instance, early modern European intellectual history, or modern U.S. social history. The second field is generally a supporting field, related to but distinct from the major field. The third field, geographically distinct from the first two, encourages breadth in teaching preparation and a comparative mindset in research. Faculty expectations vary regarding Ph.D. field reading lists: the major field list might be 125-200 books, while a third field might well be somewhat shorter.

It can be helpful to think of Ph.D. fields as corresponding to upper-level undergraduate courses: a field in Renaissance and Reformation Europe, for instance, would address the classic and recent historiography that a scholar needs to master in order to teach the course honestly at a high level.

The relationship between fields and courses is not necessarily straightforward. Historiography courses address broad fields, but most reading courses are more focused than fields. A reading course trains students how to approach works of history, how to analyze them, and how to situate them with regard to other works of history. When preparing for field exams, students draw on those skills to approach the works on their field

lists. Many of those works will not have been addressed in courses. Thus, preparing for field exams at the M.A. or Ph.D. level helps develop the independent critical thinking about the past and its interpretation that is at the core of graduate study in history.

There is no single way to prepare for field examinations. Some field examiners prefer to meet regularly with students to discuss the works on their reading list, to revise the list as time goes on, and to raise possible examination questions. Other examiners prefer to meet a few times: once to establish a list, once or twice to discuss progress, and once shortly before the exam is scheduled to determine whether the student is adequately prepared. It is important to discuss expectations with each field examiner at the outset and be clear about your responsibilities.

The AHA's Committee for Graduate Students has written a set of tips for preparing for examinations; it is linked from their "*Graduate School from Start to Finish*" web page (see below, section 11.2, for the URL).

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### 6.3. Theses and Dissertations

By far the most daunting aspect of the Ph.D. program, and the M.A. program for thesis writers, is the dissertation or thesis. If preparation for fields involves independent reading and synthesis, researching and writing a dissertation requires research skills, creativity, independence, analytic skills, synthetic skills, writing ability—and sheer persistence. Coursework and fields can develop some of those skills, but the thesis or dissertation integrates them in new and unexpected ways.

Students are often most daunted by the sheer magnitude of making “an original contribution to scholarship”. It's worth keeping in mind that an original contribution does not mean that the dissertation or thesis will create a new field from scratch, or depart from all received wisdom on its subject. Rather, it will identify an interesting, unsolved problem in the existing scholarly literature, and draw on relevant primary sources, methodically analyzed, to propose a resolution to the problem. Its sources, method, and argument must meet the standards of the profession, represented by the thesis or dissertation committee.

The best way to get a handle on expressions for the thesis or dissertation is to examine previous degree recipients' work. The shelves in Herter 601 contain a wide range of dissertations and theses produced by graduates of the department.

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### 6.4. Formal and Informal Education

It's easy for a student to get so caught up in the formal requirements for a degree that he or she neglects the informal elements in graduate study. Students who concentrate only on courses, exams, and the dissertation or thesis are missing out on important aspects of becoming a historian. No one will give you a bad grade if you skip department colloquia, talks, reading group meetings, and the Five College History Seminar, or if you don't hang out with your fellow students and talk history. But your absence will be noted, and you'll be neglecting important opportunities to discover what it means to be a historian. Moreover, meeting historians outside the department and learning about opportunities elsewhere – grants to apply for, collections recently acquired, and so forth – can prove pivotal to your own work. Lastly, observing others as they present their work publicly can help you discover good and poor practices that will sharpen your own abilities.

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## 6.5. Career and Professional Development

One especially important consideration is preparing for what comes after the degree. Students should give thought to the career trajectory they imagine after the M.A. and Ph.D. They should inform themselves of what the expectations will be and gain the necessary experience. The program organizes informal sessions on aspects of career planning and professional development, but students should take the initiative to learn more—by asking professors, by attending conferences and eventually presenting research at them, by going to professional meetings, by reading *Perspectives* (the newsletter of the American Historical Association).

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## 7. Checklists, Forms, and Examples

These checklists are intended to help you check your progress toward meeting degree requirements. Please verify them against the formal list of requirements and the checklists for degree requirements available from the Graduate School Website.

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### 7.1. Checklist of M.A. requirements

- o Course work completed (8 courses with a minimum of 30 credits), including History 691P; at least one other historiography course; either one 700-level seminar or an M.A. thesis; and any courses specifically required for the Public History or Global History M.A.
- o Language exam or alternate successfully passed—written and oral exams may not be scheduled before this
- o Date and time of written and oral exam should be scheduled through the Graduate Program Assistant. Notify Graduate Program Assistant who is the chair of the examining committee, as well as other committee members
- o Written and oral exams should be scheduled (in April for students intending to graduate in May)
- o Written and oral exams completed successfully
- o Degree Eligibility form signed by the candidate, graduate program director and department chair. Please be aware that the graduate program director or the department chair may not be available at certain times for a signature. Plan ahead so that you do not miss the deadline. No exceptions will be made. The form must be in at the Graduate School, Office of Degree Requirements by the last working day in April for May graduation.

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### 7.2. An ideal schedule for completing the M.A. program

This ideal schedule is just that: ideal. It is not set in stone, and it might make more sense for you to take courses or meet other requirements in a different order. Use it as a framework, not as a rulebook. The rules are above.

### Summer before entering the program

- Start reading for History 691P, Introduction to the Study of History
- Be aware of important deadlines and meetings in late August or early September
- For students with assistantships, sign contract by 3rd week of August as this assures you'll get your first paycheck on time
- Thursday before Labor Day: Department orientation for new graduate students and University orientation for international students
- Friday before Labor Day: University orientation for new TAs
- Either before or after Labor Day (several sessions): Human Resources orientation for students with assistantships

### 1st year, fall semester

- History 691P, Introduction to the Study of History
- 600-level course or undergraduate course taken at 500-level\*
- Students without assistantships: third course
- Take the language examination or petition for an alternative research tool
- Think about fields and discuss them with your advisor
- Consider MA thesis track
- Get in the habit of attending department seminars, colloquia, talks, etc.

### 1st year, spring semester

- 600-level historiography course
- 600- or 700-level course, or undergraduate course taken at 500-level\*
- Students without assistantships: third course
- If necessary, retake the language examination
- Continue thinking about fields; by the end of the semester, have your fields chosen, examiners lined up, and reading lists settled (more or less)
- Meet with advisor to confirm and transmit tentative plan to GPD.
- If you decide on an MA thesis, find an advisor, settle on a topic, and choose a committee Summer between first and second years,
- Begin research
- If in Public History, plan an internship for summer. Model contracts can be found here: <http://www.umass.edu/history/ph/internship.html>
- 600- or 700-level course, or undergraduate course taken at 500-level\*, or 2<sup>nd</sup> historiography course if required
- Non-Thesis students: 600- or 700-level course, or undergraduate course taken at 500-level\*
- Thesis students: register for MA thesis
- Students without assistantships: third course
- If necessary, retake the language examination
- Continue reading for fields; meet with your examiners
- Thesis writers: get thesis outline approved by your committee and the GPD 4 months before submitting (i.e., if you are submitting in April of your 2nd year, get the outline approved in December). The earlier the better. You might also want to schedule a defense at this point.
- If you are planning to continue toward a Ph.D., start the application process. If you are going to be looking for a job, start finding out the options.

## 2nd year, spring semester

- 600- or 700-level course, or undergraduate course taken at 500-level\*
- Non-Thesis students: 600-or 700-level course (if you have not yet done a 700-level course, and you are not writing a thesis, better do it now!)
- Thesis students: register for MA thesis
- Continue reading for fields
- Verify field exam schedule with everyone involved
- Thesis writers: schedule thesis defense if you have not done so.
- Fill out the Master's Degree Eligibility Form and make sure that it is complete and signed by the Graduate Program Director and the Department Chair, and filed with the Graduate School's Office of Degree Requirements by the last business day in April.

*Remember: all requirements and paperwork must be taken care of by April 15th if you want to graduate in May.*

## Summer after second year

If you are a Public History student who has not yet done an internship, do it now. (Often students register for the internship, History 698, in the spring to take advantage of tuition waivers.)

Note: at most 2 undergraduate courses may be taken for graduate credit. Don't forget to check out advanced courses at Amherst, Hampshire, Mount Holyoke, and Smith Colleges!

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## **7.3. Checklist of Ph.D. requirements**

- o Course work completed (2 600-level and 2 700-level courses, unless additional coursework was required as a condition of admission; one must be History 691P unless taken as an M.A. student)
- o Language exam or alternate successfully passed—comprehensive exam may not be scheduled until this is done
- o Preliminary dissertation prospectus given to GPD at least one month before comprehensive exam
- o Date and time of written and oral exam should be scheduled through the Graduate Program Assistant. Notify Graduate Program Assistant who is the chair of the committee, as well as other committee members
- o Dissertation committee appointed (3 history professors, 1 professor from another department or program)
- o Revised dissertation prospectus given to GPD when dissertation prospectus seminar is scheduled, at least one month before the seminar
- o Dissertation prospectus seminar held, at which all committee members are present
- o Dissertation prospectus signed by all four members of the committee and delivered to the Graduate School at least eight months before the final oral defense
- o Dissertation written that makes an original contribution to scholarship
- o Final oral defense of dissertation scheduled at least one month before the defense date
- o Final oral defense passed successfully
- o Dissertation revised according to any requirements made by the committee after the final oral defense
- o Revised and approved dissertation submitted electronically to the Graduate School in acceptable form with two copies of the signature sheet

- o Degree Eligibility form signed by the candidate, graduate program director and department chair (please be aware that the graduate program director or the department chair may not be available at certain times for a signature; plan ahead so that you do not miss the deadline. No exceptions will be made. The form must be in at the Graduate School, Office of Degree Requirements by the last business day in April for May graduation)
  - o Survey of Earned Doctorates completed and submitted to the Graduate School along with the Degree Eligibility form
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## 7.4. An ideal schedule for completing the Ph.D. program

This ideal schedule is just that: ideal. It is not set in stone, and it might make more sense for you to take courses or meet other requirements in a different order. Use it as a framework, not as a rulebook. The rules are above. However, if you do not complete your dissertation prospectus seminar by the fall semester of your third year, you may not be making satisfactory progress.

### Summer before entering the program

- o Start reading for History 691P, Introduction to the Study of History, unless you took it as an M.A. student
- o Be aware of important deadlines and meetings in August:
  - oFor students with assistantships, sign contract by 3rd week of August (this assures you'll get your first paycheck on time)
  - oThursday before Labor Day: Department orientation for new graduate students; University orientation for international students
  - oFriday before Labor Day: University orientation for new TAs
  - oEither before or after Labor Day (several sessions): Human Resources orientation for students with assistantships

### 1st year, fall semester

- o History 691P, Introduction to the Study of History (or an alternate course if you have already taken the course as an M.A. student)
- o 700-level course or independent study
- o Take the language examination or petition for an alternative research tool (unless you are excused from this requirement)
- o Discuss fields with your major advisor and come up with a field committee (one primary field and two supporting fields)
- o Start research and writing for the dissertation prospectus

### 1st year, spring semester

- o 600-level course (historiography course if required)
- o 700-level course or independent study
- o If necessary, retake the language examination
- o Schedule field examination (no more than 4 months after coursework is finished, i.e. in fall semester)

### 2nd year, fall semester

- o Complete the preliminary dissertation prospectus; submit to GPD at least 1 month before field examination
- o Take field examination in the fall
- o Register for dissertation credits if you have finished coursework and passed the language exam.
- o Appoint dissertation committee (3 historians, 1 outside member)
- o Revise dissertation prospectus
- o Schedule dissertation prospectus seminar (depending on when you take your exams, this might be done in the spring; it must be done at least a month before the defense date)
- o Identify and apply for external research grants to support dissertation research (consult with your advisor, the GPD, and the Graduate Student Grant Service to identify possible funding sources)

#### 2nd year, spring semester

- o If you haven't scheduled your dissertation prospectus seminar, do so at least one month before the seminar date.
- o Register for dissertation credits if you have finished coursework and passed the language exam.
- o Submit revised dissertation prospectus to GPD at least one month before the prospectus seminar.
- o Present dissertation prospectus at seminar
- o Submit approved dissertation prospectus to the Graduate School by the end of the semester following the field examination, and at least 8 months before the dissertation defense (normally this is not a problem in history...). Subsequent semesters (normally 3rd year, fall and spring, and 4th year, fall)
- o Register for dissertation credit (no more than 8 credits per semester) until you have at least 10 credits. It is best to do this while you have an assistantship and the associated tuition and fee waivers.
- o Pay continuation fee (formerly known as the program fee) each semester after that until you have completed the dissertation.
- o Meet regularly with your dissertation committee, especially your chair, to ensure that you are making satisfactory progress
- o You are strongly urged to begin professional activity at this point, if not before: attend conferences in your major field, present research in colloquia and conferences, and otherwise get to know the shape of the profession.
- o Familiarize yourself with the Graduate School's requirements for formatting and submitting doctoral dissertations It is much better to know the rules and produce dissertation drafts that comply with them than to have to reformat the whole thing in the last days before the deadline.
- o Keep track of when your Statute of Limitations expires; if necessary, request an extension by the deadline.

#### A year before you intend to defend the dissertation and graduate

- o In spring of the year before you intend to defend and graduate, apply for departmental financial support if you have not exhausted your eligibility i.e. if you intend to defend and graduate in the spring of your 4th year, you should apply in the spring of your 3rd year

#### When you intend to defend the dissertation and graduate

- o Ideally, this will be the spring of your 4th year; in reality, it will likely be a year or two later.
- o Make sure your dissertation committee believes that the dissertation is complete and ready to defend; arrange a defense date and time with the committee.

- o Notify the Graduate Program Assistant and GPD at least one month in advance of your defense date and time, which must be published in the “Weekly Bulletin” on the University’s *In the Loop* website beforehand.
- o After the defense, make any necessary revisions and get all paperwork done by the last business day in April (submit dissertation online; submit required, signed cover sheet; submit degree eligibility form; pay all bills; give a bound hard copy of the dissertation to the history department).

*Remember: all requirements and paperwork must be taken care of by April 15<sup>th</sup> if you want to graduate in May.*

## 7.5. Language Alternative form

University of Massachusetts Amherst, Department of History

### FOREIGN LANGUAGE ALTERNATIVE CHECKLIST

Student's name \_\_\_\_\_

SPIRE ID \_\_\_\_\_

Course proposed \_\_\_\_\_

Semester and year \_\_\_\_\_

#### CHECKLIST

1-2 page proposal attached to this checklist

Approved by student's advisor

Signature \_\_\_\_\_ Date \_\_\_\_\_

Approved by Graduate Program Director

Signature \_\_\_\_\_ Date \_\_\_\_\_

Course completed with grade of B or better

Grade \_\_\_\_\_ Date \_\_\_\_\_ Initialed \_\_\_\_\_

Graduate School notified that student has completed requirement

Date \_\_\_\_\_ Initialed \_\_\_\_\_

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## 7.6. Forms for Outlines, Prospectuses, Theses, and Dissertations

These forms are available from the Graduate School website  
(<http://www.umass.edu/gradschool>).

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## 8. Frequently Asked Questions (FAQ)

According to Patricia Ryan, the graduate program assistant, these are the most frequently asked questions about the graduate program.

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### 8.1. How do I register for History 597, 696, and 796?

To register for History 597 (Special Topics), History 696 (Independent Study—reading), and History 796 (Independent Study—research), you should get an offline course registration form from the graduate program assistant in Herter 612. Fill it out with the course number, the semester's SPIRE number for that course, the course name, the number of credits (usually 4) and your name and SPIRE ID. When it is filled out, get the faculty member's signature. Then return the form to the graduate program assistant. Note: the same procedure applies for courses taken at Amherst, Hampshire, Mount Holyoke, or Smith College for graduate credit.

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### 8.2. How do I register for thesis and dissertation credits?

To register for History 699 (Master's Thesis) and History 899 (Ph.D. Dissertation), get an offline course registration form from the graduate program assistant in Herter 612. Fill it out with the course number, the semester's SPIRE number for that course, the course name, the number of credits (usually 4 for History 699; no more than 8 for History 899) and your name and SPIRE ID. When it is filled out, get your thesis or dissertation chair's signature. Then return the form to the graduate program assistant.

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### 8.3. When should I start thinking about exams, my dissertation, or my thesis?

M.A. students should begin to reflect on your fields during the first year; ideally, you will choose second-semester courses that will contribute to at least two fields, and by the end of the year you will have a clear set of three fields with examiners chosen, so you can start to read for exams over the summer. M.A. students writing a thesis should identify potential advisors during your first year and decide on a thesis topic, in consultation with your advisor, by the end of the spring semester.

Ph.D. students should begin to think about exams and dissertations during your first semester; since you were admitted to study a major field, you should think about defining a dissertation topic within the field, and choosing your supporting and third fields. Ideally your fields will be set early in spring semester. You should think about using your 700-level research seminars or independent studies to explore your dissertation topic.

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#### **8.4. How do I establish an exam, dissertation, or thesis committee?**

Talk to your advisor and the GPD! The exam committee goes hand in hand with your fields. Your advisor and the GPD can help you define or refine your fields and suggest potential examiners. They can do the same with dissertation or thesis committees. You're free to seek advice from other faculty members too, of course.

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#### **8.5. To whom do I report the members of my exam, dissertation, or thesis committee?**

When you have set up committees that meet the department's requirements, you should notify the Graduate Program Assistant, who will prepare a memo to the Graduate School appointing the committee. The GPD will review the committee before approving it. If you have any questions about whether your committee meets the department's requirements, ask the GPD.

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#### **8.6. What paperwork is required for the M.A. and Ph.D. degree?**

Students who have completed all requirements and wish to receive a degree must file the appropriate degree eligibility form. For May graduation, this form is usually due the last business day in April. It must be signed by the GPD and the Department Chair. Ph.D. students, and M.A. students who have written a thesis, must also submit their thesis according to the Graduate School's requirements. Ph.D. students must also submit a survey of earned doctorates form and a microfilming fee to the Graduate School, as well as a bound copy of their thesis to the History Department. The Graduate School website has checklists for M.A. and Ph.D. requirements.

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#### **8.7. How many credits do I need to graduate with an M.A. degree?**

University regulations require that you have at least 30 credits for the M.A. degree. The History Department requires that these credits come from eight or more courses. Usually History M.A. students will have 32 credits (eight 4-credit courses). These credits must be either (1) graduate history courses, (2) upper-level undergraduate history courses taken for graduate credit (no more than two), or (3) graduate courses in another discipline (no more than two) that have been approved by your advisor and the GPD. At most two courses may be transferred from non-degree studies at UMass or from another institution. A course taken to satisfy the language requirement alternative may **not** be counted toward the 30-credit, 8-course minimum.

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#### **8.8. When should I submit my preliminary dissertation prospectus?**

You should submit it when you schedule your comprehensive examination, at least one month before the examination date. You may not schedule your exam until you submit the preliminary dissertation prospectus.

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## 8.9. What are the language exam alternatives?

The language exam alternative is explained above, section 3.2.2. Courses that have been accepted for the alternative include statistical methods, GIS, archeological field methods, and ethnographic methods. The Graduate Studies Committee will consider other courses if a student's advisor approves them and the student makes a convincing case that the course teaches a *research skill* that is directly related to a student's course of study. (Website design, video production, etc. are not research skills and may not be used to satisfy the language exam alternative.) See section 7.5 for a form to be used when applying for the language alternative.

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## 9. Organizations and Committees

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### 9.1. Graduate Studies Committee (GSC)

The GSC is chaired by the GPD and consists of five additional faculty members and two student members, typically an MA and a PhD candidate. Among the faculty members is one drawn from the history faculties of Amherst College, Hampshire College, Mount Holyoke, or Smith College. In addition, there are liaisons to the graduate program at each of the other colleges. The duties of the GSC include review of incoming student applications to the program as well as the awarding of grants, fellowships and prizes, and participation in general discussions about the graduate program as a whole.

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### 9.2. Graduate History Organization (GHA)

The GHA is dedicated to promoting education and facilitating progress in academia. Created and operated by the graduate students of the History Department, GHA offers professional support to history students and opportunities to interact and engage in intellectual discussions. GHA hosts an annual conference, plans monthly brown bags, and organizes other activities. Interested graduate students are encouraged to join in order to supplement their academic curriculum.

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### 9.3. Graduate Senate

The Graduate Senate has two positions for history graduate students. These two students act as representative of and spokespersons for the History Department graduate students in the senate.

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### 9.4. Graduate Employee Organization (GEO)

Graduate students at the University of Massachusetts form a collective bargaining unit known as GEO. Membership in this organization is automatic for all teaching assistants and research assistants employed by the University unless the student indicates a desire not to be included on the assistantship contract. Two stewards are elected from the History Department to represent the graduate history employees at GEO meetings and to continue organizing efforts within the department. Elections typically take place in the Fall semester.

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## 10. AHA Statement on Standards of Professional Conduct

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[In November 2008 the faculty voted to incorporate the following Statement on Standards of Professional Conduct into its Graduate Program Handbook. The statement is reproduced by permission of the American Historical Association. The most up-to-date version may be found at the AHA website, [www.historians.org](http://www.historians.org).]

### Statement on Standards of Professional Conduct

*Approved by Professional Division, December 9, 2004 and adopted by Council, January 6, 2005. (Wholly revised from an earlier statement adopted May 1987; amended May 1990, May 1995, June 1996, January and May 1999, May 2000, June 2001, and January 2003.)*

This Statement on Standards of Professional Conduct addresses dilemmas and concerns about the practice of history that historians have regularly brought to the American Historical Association seeking guidance and counsel. Some of the most important sections of this Statement address questions about employment that vary according to the different institutional settings in which historians perform their work. Others address forms of professional misconduct that are especially troubling to historians. And some seek to identify a core set of shared values that professional historians strive to honor in the course of their work.

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### 10.1. The Profession of History

History is the never-ending process whereby people seek to understand the past and its many meanings. The institutional and intellectual forms of history's dialogue with the past have changed enormously over time, but the dialogue itself has been part of the human experience for millennia. **We all interpret and narrate the past, which is to say that we all participate in making history.** It is among our most fundamental tools for understanding ourselves and the world around us.

Professional historians benefit enormously from this shared human fascination for the past. Few fields are more accessible or engaging to members of the public. Individuals from all backgrounds have a stake in how the past is interpreted, for it cuts to the very heart of their identities and world views. This is why history can evoke such passion and controversy in the public realm. All manner of people can and do produce good history. Professional historians are wise to remember that they will never have a monopoly on their own discipline, and that this is much more of a strength than a weakness. The openness of the discipline is among its most attractive features, perennially renewing it and making it relevant to new constituencies.

What, then, distinguishes a professional historian from everyone else? Membership in this profession is defined by self-conscious identification with **a community of historians who are collectively engaged in investigating and interpreting the past as a matter of disciplined learned practice.** Historians work in an extraordinary range of settings: in museums and libraries and government agencies, in schools and academic institutions, in corporations and non-profit organizations. Some earn their living primarily from employment related to the past; some practice history while supporting themselves in other ways. Whatever the venue in which they work, though, professional historians share certain core values that guide their activities and inform their judgments as they seek to enrich our collective understanding of the past. These shared values for conducting and assessing research, developing and evaluating interpretations, communicating new knowledge, navigating ethical dilemmas, and, not least, telling stories about the past, define the professional practice of history.

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## 10.2. Shared Values of Historians

Historians strive constantly to improve our collective understanding of the past through a complex process of **critical dialogue**—with each other, with the wider public, and with the historical record—in which we explore former lives and worlds in search of answers to the most compelling questions of our own time and place.

Historians cannot successfully do this work without mutual **trust and respect**. By practicing their craft with integrity, historians acquire a reputation for trustworthiness that is arguably their single most precious professional asset. The trust and respect both of one's peers and of the public at large are among the greatest and most hard-won achievements that any historian can attain. It is foolish indeed to put them at risk.

Although historians disagree with each other about many things, they do know what they trust and respect in each other's work. All historians believe in honoring the **integrity of the historical record**. They do not fabricate evidence. Forgery and fraud violate the most basic foundations on which historians construct their interpretations of the past. An undetected counterfeit undermines not just the historical arguments of the forger, but all subsequent scholarship that relies on the forger's work. Those who invent, alter, remove, or destroy evidence make it difficult for any serious historian ever wholly to trust their work again.

We honor the historical record, but understand that its interpretation constantly evolves as historians analyze primary documents in light of the ever-expanding body of secondary literature that places those documents in a larger context. By "documents," historians typically mean all forms of evidence—not just written texts, but artifacts, images, statistics, oral recollections, the built and natural environment, and many other things—that have survived as records of former times. By "secondary literature," we typically mean all subsequent interpretations of those former times based on the evidence contained in primary documents. This distinction between primary and secondary sources is among the most fundamental that historians make. Drawing the boundary between them is a good deal more complicated than it might seem, since determining whether a document is primary or secondary largely depends on the questions one asks of it. At the most basic level, though, the professional practice of history means respecting the integrity of primary and secondary sources while subjecting them to critical scrutiny and contributing in a fair-minded way to ongoing scholarly and public debates over what those sources tell us about the past.

Honoring the historical record also means **leaving a clear trail for subsequent historians to follow**. This is why scholarly apparatus in the form of bibliographies and annotations (and associated institutional repositories like libraries, archives, and museums) is so essential to the professional practice of history. Such apparatus is valuable for many reasons. It enables other historians to retrace the steps in an argument to make sure those steps are justified by the sources. Apparatus often evaluates evidence to indicate gaps in the historical record that might cast doubt on a given interpretation. Knowing that trust is ultimately more important than winning a debate for the wrong reasons, professional historians are as interested in defining the limits and uncertainties of their own arguments as they are in persuading others that those arguments are correct. Finally, the trail of evidence left by any single work of history becomes a key starting point for subsequent investigations of the same subject, and thus makes a critical contribution to our collective capacity to ask and answer new questions about the past. For all these reasons, historians pride themselves on the accuracy with which they use and document sources. The sloppier their apparatus, the harder it is for other historians to trust their work.

The trail of evidence in bibliographies, notes, museum catalogs, databases, and other forms of scholarly apparatus is crucial not just for documenting the primary sources on which a work of history depends, but

the secondary sources as well. **Practicing history with integrity means acknowledging one's debts to the work of other historians.** To copy the work of another and claim it for one's own is plagiarism—an act that historians abhor. Plagiarism violates the historical record by failing to reveal the secondary sources that have contributed to a given line of argument. It is a form of fraud, and betrays the trust on which the historical profession depends. Much more will be said about it later in this *Statement on Standards*.

Among the core principles of the historical profession that can seem counterintuitive to non-historians is the conviction, very widely if not universally shared among historians since the nineteenth century, that **practicing history with integrity does not mean being neutral or having no point of view.** Every work of history articulates a particular, limited perspective on the past. Historians hold this view not because they believe that all interpretations are equally valid, or that nothing can ever be known about the past, or that facts do not matter. Quite the contrary. History would be pointless if such claims were true, since its most basic premise is that within certain limits we can indeed know and make sense of past worlds and former times that now exist only as remembered traces in the present. But the very nature of our discipline means that historians also understand that all knowledge is situated in time and place, that all interpretations express a point of view, and that no mortal mind can ever aspire to omniscience. Because the record of the past is so fragmentary, absolute historical knowledge is denied us.

Furthermore, the different peoples whose past lives we seek to understand held views of their lives that were often very different from each other—and from our own. Doing justice to those views means to some extent trying (never wholly successfully) to see their worlds through their eyes. This is especially true when people in the past disagreed or came into conflict with each other, since any adequate understanding of their world must somehow encompass their disagreements and competing points of view within a broader context. **Multiple, conflicting perspectives are among the truths of history.** No single objective or universal account could ever put an end to this endless creative dialogue within and between the past and the present.

What is true of history is also true of historians. Everyone who comes to the study of history brings with them a host of identities, experiences, and interests that cannot help but affect the questions they ask of the past and the answers they wish to know. When applied with integrity and self-critical fair-mindedness, the political, social, and religious beliefs of historians can appropriately inform their historical practice. Because the questions we ask profoundly shape everything we do—the topics we investigate, the evidence we gather, the arguments we construct, the stories we tell—it is inevitable that different historians will produce different histories.

For this reason, historians often disagree and argue with each other. That historians can sometimes differ quite vehemently not just about interpretations but even about the basic facts of what happened in the past is sometimes troubling to non-historians, especially if they imagine that history consists of a universally agreed-upon accounting of stable facts and known certainties. But universal agreement is not a condition to which historians typically aspire. Instead, we understand that interpretive disagreements are vital to the creative ferment of our profession, and can in fact contribute to some of our most original and valuable insights.

Frustrating as these disagreements and uncertainties may be even for historians, they are an irreducible feature of the discipline. In contesting each other's interpretations, professional historians recognize that the resulting disagreements can deepen and enrich historical understanding by generating new questions, new arguments, and new lines of investigation. This crucial insight underpins some of the most important shared values that define the professional conduct of historians. They believe in vigorous debate, but they also believe in civility. They rely on their own perspectives as they probe the past for meaning, but they also subject those perspectives to critical scrutiny by testing them against the views of others.

Historians celebrate intellectual communities governed by **mutual respect and constructive criticism**. The preeminent value of such communities is reasoned discourse—the continuous colloquy among historians holding diverse points of view who learn from each other as they pursue topics of mutual interest. A commitment to such discourse—balancing fair and honest criticism with tolerance and openness to different ideas—makes possible the fruitful exchange of views, opinions, and knowledge.

This being the case, it is worth repeating that a great many dilemmas associated with the professional practice of history can be resolved by returning to the core values that the preceding paragraphs have sought to sketch. **Historians should practice their craft with integrity. They should honor the historical record. They should document their sources. They should acknowledge their debts to the work of other scholars. They should respect and welcome divergent points of view even as they argue and subject those views to critical scrutiny. They should remember that our collective enterprise depends on mutual trust. And they should never betray that trust.**

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### 10.3. Scholarship

Scholarship—the **discovery, exchange, interpretation, and presentation of information about the past**—is basic to the professional practice of history. It depends on the collection and preservation of historical documents, artifacts, and other source materials in a variety of institutional settings ranging from libraries to archives to museums to government agencies to private organizations. Historians are committed to protecting significant historical evidence wherever it resides. Scholarship likewise depends on the open dissemination of historical knowledge via many different channels of communication: books, articles, classrooms, exhibits, films, historic sites, museums, legal memoranda, testimony, and many other ways. The free exchange of information about the past is dear to historians.

Professional integrity in the practice of history requires **awareness of one's own biases and a readiness to follow sound method and analysis wherever they may lead**. Historians should document their findings and be prepared to make available their sources, evidence, and data, including any documentation they develop through interviews. Historians should not misrepresent their sources. They should report their findings as accurately as possible and not omit evidence that runs counter to their own interpretation. They should not commit plagiarism. They should oppose false or erroneous use of evidence, along with any efforts to ignore or conceal such false or erroneous use.

Historians should **acknowledge the receipt of any financial support**, sponsorship, or unique privileges (including special access to research material) related to their research, especially when such privileges could bias their research findings. They should always **acknowledge assistance** received from colleagues, students, research assistants, and others, and give due credit to collaborators.

Historians should work to preserve the historical record, and support institutions that perform this crucial service. Historians favor **free, open, equal, and nondiscriminatory access** to archival, library, and museum collections wherever possible. They should be careful to avoid any actions that might prejudice access for future historians. Although they recognize the legitimacy of restricting access to some sources for national security, proprietary, and privacy reasons, they have a professional interest in opposing unnecessary restrictions whenever appropriate.

Historians sometimes appropriately agree to restrictive conditions about the use of particular sources. Certain kinds of research, certain forms of employment, and certain techniques (for instance, in conducting oral history interviews) sometimes entail promises about what a historian will and will not do with the resulting knowledge. Historians should honor all such promises. They should respect the confidentiality of clients,

students, employers, and others with whom they have a professional relationship. At much as possible, though, they should also strive to serve the historical profession's preference for open access to, and public discussion of, the historical record. They should define any confidentiality requirements before their research begins, and give public notice of any conditions or rules that may affect the content of their work.

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## 10.4. Plagiarism

The word *plagiarism* derives from Latin roots: *plagiarius*, an abductor, and *plagiare*, to steal. **The expropriation of another author's work, and the presentation of it as one's own, constitutes plagiarism and is a serious violation of the ethics of scholarship.** It seriously undermines the credibility of the plagiarist, and can do irreparable harm to a historian's career.

In addition to the harm that plagiarism does to the pursuit of truth, it can also be an offense against the literary rights of the original author and the property rights of the copyright owner. Detection can therefore result not only in sanctions (such as dismissal from a graduate program, denial of promotion, or termination of employment) but in legal action as well. As a practical matter, plagiarism between scholars rarely goes to court, in part because legal concepts, such as infringement of copyright, are narrower than ethical standards that guide professional conduct. **The real penalty for plagiarism is the abhorrence of the community of scholars.**

Plagiarism includes more subtle abuses than simply expropriating the exact wording of another author without attribution. Plagiarism can also include the limited borrowing, without sufficient attribution, of another person's distinctive and significant research findings or interpretations. Of course, historical knowledge is cumulative, and thus in some contexts—such as textbooks, encyclopedia articles, broad syntheses, and certain forms of public presentation—the form of attribution, and the permissible extent of dependence on prior scholarship, citation, and other forms of attribution will differ from what is expected in more limited monographs. As knowledge is disseminated to a wide public, it loses some of its personal reference. What belongs to whom becomes less distinct. But even in textbooks a historian should acknowledge the sources of recent or distinctive findings and interpretations, those not yet a part of the common understanding of the profession. Similarly, while some forms of historical work do not lend themselves to explicit attribution (e.g., films and exhibitions), every effort should be made to give due credit to scholarship informing such work.

Plagiarism, then, takes many forms. The clearest abuse is the use of another's language without quotation marks and citation. More subtle abuses include the appropriation of concepts, data, or notes all disguised in newly crafted sentences, or reference to a borrowed work in an early note and then extensive further use without subsequent attribution. Borrowing unexamined primary source references from a secondary work without citing that work is likewise inappropriate. All such tactics reflect an unworthy disregard for the contributions of others.

No matter what the context, **the best professional practice for avoiding a charge of plagiarism is always to be explicit, thorough, and generous in acknowledging one's intellectual debts.**

All who participate in the community of inquiry, as amateurs or as professionals, as students or as established historians, have an obligation to oppose deception. This obligation bears with special weight on teachers of graduate seminars. They are critical in shaping a young historian's perception of the ethics of scholarship. It is therefore incumbent on graduate teachers to seek opportunities for making the seminar also a workshop in scholarly integrity. After leaving graduate school, every historian will have to depend primarily on vigilant self-criticism.

Throughout our lives none of us can cease to question the claims to originality that our work makes and the sort of credit it grants to others.

The first line of defense against plagiarism is the formation of work habits that protect a scholar from plagiarism. The plagiarist's standard defense—that he or she was misled by hastily taken and imperfect notes—is plausible only in the context of a wider tolerance of shoddy work. A basic rule of good note-taking requires every researcher to distinguish scrupulously between exact quotation and paraphrase.

The second line of defense against plagiarism is organized and punitive. Every institution that includes or represents a body of scholars has an obligation to establish procedures designed to clarify and uphold their ethical standards. Every institution that employs historians bears an especially critical responsibility to maintain the integrity and reputation of its staff. This applies to government agencies, corporations, publishing firms, and public service organizations such as museums and libraries, as surely as it does to educational facilities. Usually, it is the employing institution that is expected to investigate charges of plagiarism promptly and impartially and to invoke appropriate sanctions when the charges are sustained. Penalties for scholarly misconduct should vary according to the seriousness of the offense, and the protections of due process should always apply. A persistent pattern of deception may justify public disclosure or even termination of a career; some scattered misappropriations may warrant a formal reprimand.

All historians share responsibility for defending high standards of intellectual integrity. When appraising manuscripts for publication, reviewing books, or evaluating peers for placement, promotion, and tenure, scholars must evaluate the honesty and reliability with which the historian uses primary and secondary source materials. Scholarship flourishes in an atmosphere of openness and candor, which should include the scrutiny and public discussion of academic deception.

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## 10.5. Teaching

Teaching is basic to the practice of history. It occurs in many venues: not just classrooms, but museums and historic sites, documentaries and textbooks, newspaper articles, web sites, and popular histories. In its broadest definition, teaching involves the transmission of historical knowledge to people who do not yet have such knowledge. Whether it occurs in the classroom or the public realm, it performs the essential work of assuring that the past remains a part of living memory in the present.

Good teaching entails **accuracy and rigor** in communicating factual information, and strives always to place such information in context to convey its larger significance. Integrity in teaching means presenting competing interpretations with fairness and intellectual honesty. Doing so can support one of the most important goals of teaching: exciting the interest of those who are encountering a new historical topic for the first time, leading them toward the insight that **history is a process of living inquiry**, not an inert collection of accepted facts.

The **political, social, and religious beliefs** of history teachers necessarily inform their work, but the right of the teacher to hold and express such convictions can never justify falsification, misrepresentation, or concealment, or the persistent intrusion of material unrelated to the subject of the course. Furthermore, teachers should be mindful that students and other audience members have the right to disagree with a given interpretation or point of view. Students should be made aware of multiple causes and varying interpretations. Within the bounds of the historical topic being studied, the free expression of legitimate differences of opinion should always be a goal. Teachers should judge students' work on merit alone.

Course offerings, textbooks, and public history presentations should address the diversity of human experience, recognizing that historical accuracy requires attention both to individual and cultural similarities and differences and to the larger global and historical context within which societies have evolved. The American Historical Association is on record as encouraging educational and public history activities to **counter harassment and discrimination** on campuses and in the public realm. It encourages administrators to speak out vigorously against such incidents. At the same time, the Association disapproves of efforts to limit or punish free speech. We **condemn the violation of First Amendment rights to free speech**, as well as the harassment and vilification to which individuals have sometimes been subjected for exercising these rights.

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## 10.6. History in the Public Realm

Because **interpreting the past is so vital to democratic debate and civic life** in the public realm, historians regularly have the opportunity to discuss the implications of their knowledge for concerns and controversies in the present—including present controversies about past events. It is one of the privileges of our profession to share historical insights and interpretations with a wider public, wherever the locus of our employment. We should welcome the chance to do so, and the institutions that employ historians should recognize the importance of this aspect of our work. Historians should not be subject to institutional or professional penalties for their beliefs and activities, provided they do not misrepresent themselves as speaking for their institutions or their professional organizations when they are not authorized to do so. Practicing history in the public realm presents important challenges, for when historians communicate with a wider public, they must represent not just a particular interpretation or body of facts, but the best practices of the discipline of history itself. This means they must inevitably walk a tightrope in balancing their desire to present a particular point of view with their responsibility to uphold the standards and values that underpin their professional authority as historians. This challenge can be especially complex for public historians, whose daily working lives frequently require multiple levels of accountability, and for historians working in advocacy roles.

Public discussions of complex historical questions inevitably **translate and simplify** many technical details associated with those questions, while at the same time suggesting at least some of the associated complexities and divergent points of view. While it is perfectly acceptable for historians to share their own perspectives with the public, they should also strive to demonstrate how the historical profession links evidence with arguments to build fair-minded, nuanced, and responsible interpretations of the past. The desire to score points as an advocate should never tempt a historian to misrepresent the historical record or the critical methods that the profession uses to interpret that record.

Historians who work in government, corporate, and nonprofit institutions, as well as those occasionally entering public arenas as political advisers, expert witnesses, public intellectuals, consultants, legislative witnesses, journalists, or commentators, may face a choice of priorities between professionalism and partisanship. They may want to prepare themselves by seeking advice from other experienced professionals. As historians, they must be sensitive to the complexities of history, the diversity of historical interpretations, and the limits as well as the strengths of their own points of view and experiences and of the discipline itself. In such situations, historians must use sources, including the work of other scholars, with great care and should always be prepared to explain the methods and assumptions in their research; the relations between evidence and interpretation; and alternative interpretations of the subjects they address.

## 10.7. Employment

The American Historical Association firmly supports **fairness and due process** in all decisions involving the appointment, promotion, and working conditions of historians. Institutions should develop **published rules** governing their employment practices, and it should go without saying that they should follow these rules.

Although some historians are self-employed, most work for academic institutions, corporations, government agencies, law firms, archives, historical societies, museums, parks, historic preservation programs, or other institutions. To the extent they can influence the policies and practices of their workplace, the AHA encourages historians to do whatever they can to persuade their institutions to accept and enforce rules to ensure equity in conditions of employment. If they work in an academic institution, they should urge it to accept the 1966 *Statement on Government of Colleges and Universities*, jointly formulated by the American Association of University Professors (AAUP), the American Council on Education, and the Association of Governing Boards of Universities and Colleges.

Fairness begins with **recruitment**. Historians have an obligation to do all possible to ensure that employment opportunities in the field are widely publicized and that all professionally qualified persons have an equal opportunity to compete for those positions. This means not only the placement of job notices in appropriate publications (for example, the AHA's *Perspectives*) but also the inclusion in such notices of a completely accurate description of the position and of any contingencies, budgetary or otherwise, that might affect the continued availability of the position. An institution should not deceive possible candidates by omitting qualifications or characteristics that favor certain candidates over others (for example, a preference for unspecified minor fields). If an employer decides to alter a job description or selection criteria, the institution should re-advertise.

Fairness also involves **equal treatment** of all qualified applicants and procedures that are considerate to all applicants. For example, an employing institution should promptly acknowledge all applications and, as soon as practicable, inform applicants who do not meet the selection criteria. Likewise, it should keep competitive applicants informed of the progress of the search and promptly notify those who are no longer under consideration. It should do everything possible to accommodate finalists in arranging interviews, including the payment of expenses, where appropriate. Finally, it should ensure that those who conduct interviews adhere to professional standards by respecting the dignity of candidates, focusing their questions on the qualifications needed for the position, and avoiding questions that violate federal or state antidiscrimination laws.

Employment decisions always involve judgments. But, except in those cases in which federal law allows a specific preference, institutions should base hiring decisions as well as all decisions relating to reappointment, promotion, tenure, apprenticeship, graduate student assistantships, awards, and fellowships **solely on professional qualifications** without regard to sex, race, color, national origin, sexual orientation, religion, political affiliation, veteran status, age, disability, or marital status. A **written contract** should follow a verbal offer in a timely manner, and institutions have an obligation to explain as clearly as possible the terms of such contracts. Once signed, a contract should be honored by all parties as both a legal and ethical obligation. Employers have an obligation to clarify all rules and conditions governing employment and promotion.

Once employed, any person deserves the professional respect and support necessary for professional growth and advancement. Such respect precludes unequal treatment based on any nonprofessional criteria. In particular, it precludes any **harassment or discrimination**, which is unethical, unprofessional, and threatening to intellectual freedom. Harassment includes all behavior that prevents or impairs an individual's

full enjoyment of educational or workplace rights, benefits, environment, or opportunities, such as generalized pejorative remarks or behavior or the use of professional authority to emphasize inappropriately the personal identity of an individual. Sexual harassment, which includes inappropriate requests for sexual favors, unwanted sexual advances, and sexual assaults, is illegal and violates professional standards.

Historians should receive promotions and merit salary increases exclusively on the basis of professional qualifications and achievements. The best way to ensure that such criteria are used is to establish **clear standards and procedures** known to all members of the institution. An institution should have an established review process, should offer candidates for promotion or merit raises opportunities to substantiate their achievements, should provide early and specific notification of adverse promotion or salary decisions, and should provide an appeal mechanism.

Of particularly grave concern to historians are those institutional decisions that lead to **disciplinary action**—most important, questions of suspension and dismissal, because they may involve issues of intellectual freedom. All institutions employing historians should develop and follow clearly written procedures governing disciplinary action. These procedures should embody the principles of due process, including adequate mechanisms for fact-finding and avenues for appeal. Academic institutions should adhere to the AAUP's 1940 *Statement of Principles on Academic Freedom and Tenure*. Other institutions that employ professional historians should provide a comparable standard of due process.

Historians who work **part time or off the tenure track** should receive compensation in proportion to the share of a full-time work load they carry, including a proportionate share of fringe benefits available to their full-time colleagues; they also should have access to institutional facilities and support systems, and appropriate involvement in institutional governance.

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## 10.8. Reputation and Trust

Historians are obligated to present their **credentials** accurately and honestly in all contexts. They should take care not to misrepresent their qualifications in resumes, applications, or the public record. They should apply the same rigor and integrity in describing their own accomplishments as their profession applies to the historical record itself. The status of a book, article, or other publication that is still in the production pipeline is often an important piece of information for search committees, tenure/promotion review committees, and fellowship committees. Yet the profession has no **standardized terminology** for works in progress, often rendering their status unclear. The AHA suggests the following lexicon:

- "In Press": the manuscript is fully copyedited and out of the author's hands. It is in the final stages of the production process.
- "Forthcoming": a completed manuscript has been accepted by a press or journal.
- "Under contract to . . .": a press and an author have signed a contract for a book in progress, but the final manuscript has not yet been submitted.
- "Submitted" or "under consideration": the book or article has been submitted to a press or journal, but there is as yet no contract or agreement to publish.

Historians should not list among the completed achievements on their resumes degrees or honors they have never earned, jobs they have never held, articles or books they have never written or published, or any comparable misrepresentations of their creative or professional work.

Historians should be mindful of any **conflicts of interest** that may arise in the course of their professional duties. A conflict of interest arises when an individual's personal interest or bias could compromise (or

appear to compromise) his or her ability to act in accordance with professional obligations. Historians frequently encounter such situations as participants in some form of peer review—for example, reviewing grant applications, vetting manuscripts for publication, evaluating annual meeting program proposals, or selecting prize or award recipients. Historians should identify and, where appropriate, recuse themselves from any decisions or other actions in which a conflict of interest or the appearance thereof arises; they should avoid situations in which they may benefit or appear to benefit financially at the expense of their professional obligations. An individual should normally refuse to participate in the formal review of work by anyone for whom he or she feels a sense of personal obligation, competition, or enmity.

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## 10.9. Additional Guidance

This *Statement on Standards of Professional Conduct* offers general guidance about core values and practices of the historical profession. Because no document of this sort could ever be comprehensive, the AHA typically amends this Statement only when some new issue arises that is of such general concern that a formal policy declaration seems warranted.

For additional advice about ethics and best practices among professional historians, readers are urged to consult other declarations and publications of the American Historical Association, including best practice statements and wise counsel documents readily available on the AHA website.

Valuable insights can also be gleaned from the publications of several other historical associations, for instance, the *Ethics Guidelines* of the National Council on Public History; the *Statement of Professional Standards and Ethics* of the American Association for State and Local History; the *Evaluation Guidelines* of the Oral History Association; and the *Principles and Standards for Federal Historical Programs* of the Society for History in the Federal Government, among others.

We encourage all historians to uphold and defend their professional responsibilities with the utmost seriousness, and to advocate for integrity and fairness and high standards throughout the historical profession.

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## 11. Further Resources

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### 11.1. Graduate Program Contacts

Resource	Name	Location	Phone	Email
Graduate Program Director	Marla Miller	614 Herter	545-6791	mmiller@history.umass.edu
Graduate Program Assistant		612 Herter	545-6755	gradprogram@history.umass.edu
Graduate Assistantship Office		517 Goodell	545-5287	
Graduate Degree Requirements		534 Goodell	545-0025	
Graduate Records Office		534 Goodell	545-0024	
Graduate Registrar		532 Goodell	545-0024	
Financial Aid Services			545-0801	
GEO		201 Student Union		
International Programs Office		467 Hills South	545-2710	

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### 11.2. Pertinent Websites

Graduate Program: <http://www.umass.edu/history>

Graduate School: <http://www.umass.edu/gradschool>

Provost's Office: <http://www.umass.edu/provost/students>

American Historical Association: <http://www.historians.org>

AHA's "Graduate School from Start to Finish" website: <http://historians.org/grads/StartToFinish.cfm>