



**HANDBOOK FOR
DOCTORAL STUDENTS**

2021-2022

Core Faculty and Staff

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Program Overview

The PhD is a research degree. The principal objective of graduate training concerns the development of professional skills in historical research, and the principal source of professional employment for a holder of the PhD in history is teaching. The department seeks to prepare doctoral students for research and teaching, but we are also dedicated to preparing students for a variety of other careers, including public history and archival management.

The program includes 1) broad exposure to a general area of interest and its current literature and debates; 2) more intensive training in a special field, in which the student intends to conduct research and undertake his or her primary teaching; 3) a sound introduction to a second field; 4) training in research methodology; 5) appropriate linguistic competence; 6) completion of a dissertation judged to be a significant work of historical research and writing; 7) preparation for classroom teaching; 8) for those who so choose, ways of presenting historical knowledge in other settings.

In addition to this Handbook, all graduate students in the History Department are expected to familiarize themselves with the GSAS Policies and Procedures Manual which can be found on the GSAS website under Academic Policies and Procedures.

PERSONNEL

Primary Advisor

The primary advisor is a key person in the student's career, both in the program and in the profession. The advisor will offer guidance, direct the dissertation, and play a crucial role in career placement by supporting fellowship and job applications. Within the department, the advisor can recommend to the Director of Graduate Studies that an exception be made to departmental rules for compelling academic reasons. Students should be aware that the department allows co-advising situations involving two faculty.

Before registration, each student will be assigned a preliminary advisor on the basis of scholarly interests. This is usually a faculty member with whom the student has been in contact with during the admissions process. This is, however, a provisional assignment, and during the first year, students are expected to make their own determination of a permanent advisor, based upon both intellectual and personal compatibility. The selected advisor may or may not be the originally assigned faculty member but must be a member of the History Department; this includes faculty members with joint appointments in History, but excludes associated faculty from other departments. Students should discuss their interests with the prospective advisor, and ask whether the faculty member is willing to serve. If so, the student must formally register that advisor with the Graduate Program Administrator by completing and submitting an Advisor Declaration Form (available from the Graduate Program Administrator) by the end of the first year.

After selecting a permanent advisor, students are permitted to change advisors once. A second change of advisor is possible under exceptional circumstances, with consent of the DGS, the second advisor, and the proposed third advisor.

The faculty have adopted the following statement of advising standards:

Advising relationships take a variety of forms. Some are informal and unstructured, while others are formal and hierarchical. Some are strictly intellectual, while others evolve into long-time friendships. There are many different mentoring styles, and what works for one advising pair may not be productive for another. However, while the faculty acknowledges and respects the various textures and flavors of academic mentorship, we do not condone the abuse of graduate students in any form. Graduate students are entitled to professional treatment that respects their autonomy and integrity as students, teachers, and scholars.

Secondary Advisor

The secondary advisor serves a role similar to that of the primary advisor: offering guidance, normally serving on exam and dissertation committees, supporting fellowship and grant applications, and, in the case where a student's primary advisor is on leave or unreachable, serving as a contact point with the department. As in the case of the primary advisor, students will be assigned an initial secondary advisor before registration in their first year, and students are free to determine the secondary advisor during the course of their first year, based upon both intellectual and personal compatibility. Secondary advisors should generally be faculty with an appointment in the History Department, though faculty with affiliated or associated appointments with the History Department can serve as secondary advisor (though they cannot serve as primary advisor).

Both the primary and secondary advisors will receive copies of students' Annual Doctoral Student Assessments (see section on page 17).

Director of Graduate Studies (DGS)

The Director of Graduate Studies is responsible for the overall management of the graduate program. Students with general questions about the program should bring them to the DGS. The DGS is also the final arbiter of the regulations of the program, and has the authority to make exceptions. Although the DGS does not have the authority to override the rules of the Graduate School, the DGS can petition on behalf of students; exceptions such as extensions of time to degree, late completion of incompletes, and extending Graduate School deadlines, are the prerogative of the Dean of the Graduate School and the sub-deans.

Graduate Program Administrator

The day-to-day administration of the program is the responsibility of the Graduate Program Administrator. Because the Administrator is the communications center for the department, make sure he or she has your current mailing address, telephone numbers, and e-mail addresses. Questions about rules, deadlines, funding, grants, admissions, and other bureaucratic issues should be directed to this office. If an issue or problem requires faculty advice or approval, the Administrator will advise the student to speak with the advisor or the DGS. The administrator also maintains files of previous years' examination questions. The Administrator coordinates many of the graduate events and functions that take place throughout the year.

Graduate Program Assistant

The Graduate Program Assistant is responsible for the practical aspects of registration: providing registration materials and permission codes, when necessary, by which students officially register. The Graduate Program Assistant also directs students to graduate course scheduling information, course descriptions, and syllabi. In addition, the Graduate Program Assistant compiles the department's Newsletter, organizes and publicizes its calendars, and maintains its listserv and website content. This individual, in conjunction with the Graduate Program Administrator, also assists with the coordination of the Department's many events, workshops, seminars, and other functions.

Assistant Dean of the Graduate School for Academic Affairs: This office, located at 6 Washington Square North, provides information about issues and questions beyond the scope of the department. Notably, this office provides funding for research travel, and funding to present papers at conferences. This office also provides information on external funding for graduate students. Students with personal concerns are encouraged to make an appointment to speak with Assistant Dean Allan Corns at this office.

COURSES

Course Selection

Students select their courses from departmental offerings and, with the approval of the advisor, may take courses in other departments. Students in their second year or beyond (and students in their first year who enter the program with an MA in hand) may also take courses at Inter-University Doctoral Consortium institutions (including Columbia University, Princeton University, the CUNY Graduate Center, the New School, Fordham University, Stony Brook University, Rutgers University, and NYU Steinhardt).

Types of Courses

There are two basic formats for courses in the department. 1) Colloquia are designed as reading and discussion courses, largely in secondary literature, with several writing assignments related to that literature. With the permission of the instructor, students may substitute a research paper for

the course's normal writing assignments (thereby counting the course for the seminar requirement). 2) Seminars are designed for the writing of individual student research papers, using primary sources. Enrollment is normally limited to 16 students, and members of the seminar will present their own work, and critically discuss the work of fellow students.

After completing the Qualifying Examination, and while writing the dissertation proposal and the dissertation, students will take Independent Research or Reading courses with their advisors (or other dissertation committee members). These will be either individualized tutorials or small-group classes. Normally, Independent Research or Reading courses are discouraged during the first two years of graduate study (with the exception of one or two Independent Research or Reading course taken in the preparation for Exams in the spring of the second year).

REQUIREMENTS

The department has devised a curriculum and designed requirements intended to move students toward their dissertation as quickly as possible, while also offering grounding in the field before the specialized work of the dissertation begins. Students are required to take the written Qualifying Examination in May of the second year; during the summer and early fall after passing the qualifying exams, eligible students will participate in the Pre-Dissertation Workshop to develop their dissertation research proposal, and they will present that document (modeled on a standard grant application) for an oral examination and approval normally between September 1 and November 15 of their third year. In extraordinary circumstances, the November 15 deadline may be extended to the first week of the sixth semester, which is a final deadline for this purpose.

Courses and Credits

In order to qualify as a doctoral candidate, students must complete 72 credits of course work. Students must complete 24 points of course work in each of the first three years, to be completed by August 15 of each year at the latest (in order to remain in the program, incompletes cannot be carried from one academic year to the next). PhD students must maintain a GPA of 3.5 or above in order to remain in the program.

Courses in the first year will include Approaches to Historical Research and Writing I and a research seminar, for which the graded research paper must be submitted within two weeks after the last day of class to the Graduate Program Administrator and the advisor. The research paper must receive a minimum grade of A-. Joint students are not exempt from the first-year seminar paper requirement, but particular programs have slight variations in the timing of this requirement that are stated below. In principle, students may not submit work already submitted in one course or degree to fulfill the requirements of a second course, but exceptions may be made in consultation with the instructors of both courses, the advisor and the DGS.

Students in their first year are expected to receive a 3.5 or higher GPA at the end of the first semester and again at the end of the second semester. Students who fail to reach a 3.5 GPA in the first semester are placed on probation and are required to submit all first-year coursework by May 30; unless they raise their GPA enough for their overall first-year GPA to be higher than 3.5, they will be terminated. Students who receive less than 3.5 in the second semester are placed on probation and given a semester to “correct” their GPA or face termination. Students with incompletes as of August 15 are to be placed on probation with a deadline of September 15 whereupon they face termination.

First Year Research Paper

At least one research paper based on primary sources is required in the first year. One such project may be done as part of HIST-GA 3613: Approaches to Historical Research and Writing II (Approaches is a two-semester sequence of which only the first part is required; the second part, though not required, is one way to fulfill the research paper requirement). Students may also complete the research paper in a seminar of their choosing, provided that the graded paper is submitted no later than two weeks after the last day of class, and with a minimum grade of A-, to the Graduate Program Administrator and the advisor. Joint MEIS-History students are exempt from this requirement, as they arrive to the department with a completed MA degree. Joint IFS-History students are permitted to submit their First Year Papers in the fall of their second year.

Fields

Upon entering, all students choose a first field of concentration. The department currently offers concentrations in Africa, African Diaspora, Atlantic World, East Asia, Medieval Europe, Early Modern Europe, Modern Europe, Latin America and the Caribbean, South Asia, and the United States. Students may also choose a topical field as their first field of concentration, with the History of Women and Gender and the History of Science, Environment, and Technology particular areas of departmental strength. Finally, students may choose to develop a transregional concentration that combines two geographical fields.

Before the end of the first year, students choose a secondary field. This may be one of the fields in which the department offers a first field, or it may be thematically defined (for example, comparative slavery, history of women and gender, history of religion). It must be outside of the primary field or extend beyond it, as in a comparative or transnational field. Students choosing a topical field as their concentration must choose a geographical field as their secondary field. Students choosing a transregional concentration should choose a topical field as their secondary field. By the end of the first year, students should submit a "Declaration of Advisors & Major Field" form to the Graduate Program Administrator.

Literature of the Field

For each of the doctoral fields, the department offers a Literature of the Field course or courses, normally taken in the student's first year, but always before the Qualifying Examinations.

Change of Major Field

A student who is admitted to the PhD program in one major field of study, but who subsequently wishes to change to another major field of study must secure the signatures of the major advisor, the newly selected major advisor, and the DGS, on a "Change of Major Field" form, available from the Graduate Program Administrator. If necessary, both advisors, as well as other professors who have taught the student, and the DGS, will meet to discuss the student's proposed change. The signed form must be returned to the Graduate Program Administrator and placed in the student's file. Normally, only one such change may be made in the course of a student's career at NYU.

Language Requirement

The minimum departmental foreign language requirement is one modern language, normally satisfied by passing a language exam. The exam should be passed during the first year, and *must* be passed before the Qualifying Examination. Language requirements beyond the minimum are

determined by field, and further tailored to the research of individual students. *All* language requirements set by the field must be satisfied by the end of the third year. Students who are not native English speakers are expected to have proficiency in oral and written English sufficient for professional-level writing and oral expression, full participation in class discussions, and effective teaching. Students who are native speakers of the language relevant to their research are exempt from the language requirement.

Wherever GSAS offers a language exam, students, *including joint students*, are required to pass that exam and cannot use an alternative route of examination. Where GSAS does *not* offer an exam, the agreement of the advisor (for students in joint programs: of the History advisor) as well as the History DGS is required.

The “Road Map”

The “Road Map” lays out the program’s ideal pattern of progress with the aim of a timely completion of degree, a progressive increase in responsibility in teaching assignments, and maximum utilization of the MacCracken Program (the GSAS financial aid package). The proposed timing of teaching assignments is advice, not a rule. Each student will, in consultation with the advisor, determine the right balance between teaching and dissertation work.

For different individuals and research fields there may be good reasons to make adaptations. For example, in a given case it may be desirable for the student to go to the archives after passing their Qualifying Exams. That student might teach in the fall of the third year, and travel to archives in the spring term of the third year and return to teach in either the fall or spring term of the fourth year. The following “Road Map” provides one model for planning one’s overall educational strategy.

The “Road Map” is intended for the purpose of structuring the study and research in order to lead to a well-prepared Ph.D. It is, nevertheless, a minimum of departmental requirements: students should be aware of the importance, even urgency, of seeking grants, participating in conferences, and publishing for both their own development and professionalization, and they should pursue their venues and directions accordingly (see also “Placement,” below).

Year I

No Teaching; MacCracken Fellowship both semesters

Required Courses:

HIST-GA 3603: Approaches to Historical Research and Writing I

Literature of the Field (depends on the field)

Seminar in primary field

First-Year Paper: Graded seminar paper must be submitted by no later than two weeks after the last day of class to the Graduate Program Administrator with a minimum grade of A- (may be completed in the context of *HIST-GA 3613: Approaches to Historical Research and Writing II* or a different research seminar).

Define secondary field

Electives

Fulfill language requirement

Complete 24 points of course work by August 15 at the latest

Summer

Complete required language work

Archival work strongly recommended. Students may request the advance of their 4th-year summer funding to this first summer: in this case, a research plan is required, including for archival research to raise the first-year paper to publishable quality.

Year II

Teaching recommended: Course Assistant, one semester (reserve portion of MAC)

Identify (in consultation with advisor) Qualifying Exam Committee

Prepare Qualifying Exams reading list with Exam Committee

Yearly Review, to take place in a full faculty meeting. Students are reviewed in

November/December. Students are expected to have completed their language exam and to be current on their coursework (which is expected given that incompletes cannot be carried over past Aug. 15). Two faculty members must commit at this point to be the primary advisor and second reader on their dissertation. (This especially concerns students who have lost the confidence of their original advisor.) Students meet with their advisors after the Yearly Review.

Required Courses:

Seminar in primary field (if not taken in first year)

Electives, with a view to preparing for primary and secondary field Qualifying Exams

Independent Study: Qualifying Exam Prep

Qualifying Exams (Three Days in Early May)

Where possible, applications for preliminary research funds (e.g. Fulbright) recommended.

Complete a total of 48 points of course work by August 15 at the latest

Summer

Travel to archives as part of developing and drafting Dissertation Prospectus

Year III

Teaching: Graduate Student Adjunct Instructor, teaching sections, two semesters (if assigned a teaching position, students are strongly recommended to reserve or “bank” the portion of their MacCracken Fellowship saved)

Approval of Dissertation Prospectus, between September 1 and November 15 (under extraordinary circumstances, and with the approval of the advisor, the DGS, and the chair, this deadline may be extended to the end of the first week of the sixth semester, which is a final deadline for this purpose).

If relevant funding sources are available, apply for dissertation research grants.

Independent research for dissertation, with focus on historiography, bibliography, and local primary research (if relevant collections are available locally or through the internet)

Further language training if needed for research

No formal coursework is required after passing Qualifying Exams, though if there is a course vital to current or prospective research or teaching, one can take advantage of such courses either as auditor or for credit. Students are advised to register for Independent Study courses to make sure they complete 72 points.

Complete a total of 72 points of course work by August 15 at the latest.

Year IV

No Teaching, unless student was away in the third year, whereupon it’s recommended.

Yearly Review: the faculty meet in November-December to discuss both the current and the previous yearly review reports, so that the progress of students who may be falling behind or losing direction can be discussed in detail.

Students meet with their advisors after the Yearly Review.

Research

Recommended: Write one dissertation chapter before the end of the academic year.

Recommended: Beginning to participate in conferences and submitting material for publication by this point is strongly recommended.

Recommended: Apply for dissertation writing fellowships, internal and external.

Year V

Research and Writing

Yearly Review. Faculty meet in November-December. Students meet with their advisors after the Yearly Review.

No Teaching Required. Nevertheless, teaching is recommended. In particular, students who did not teach in their third or fourth year may want to seek a teaching assignment this year.

Apply for Mellon Dissertation Completion Fellowships and outside write-up funding for the sixth year. Note – dissertation completion fellowships generally prohibit students from teaching while holding the fellowship.

Year VI

Teaching: One Semester, normally including a recitation section

Yearly Review. Faculty meet in November-December. Students meet with their advisors after the Yearly Review.

Use reserved funds to supplement teaching pay

Complete writing

Dissertation Defense

Field Requirements

In addition to departmental requirements that apply to all students, individual fields strongly recommend the following courses .

Africa

*Approaches to Historical Research and Writing I

*Literature of the Field, Africa (1 course)

*Research Seminar, Africa (1 course)

*Electives, Africa (2 courses)

*One course in the African Diaspora (1 course)

Second Field

*Research Seminar (1 course)

*Electives (1 courses)

Total number of courses: 8

Language Requirement

*Pass one European language exam

*African languages: 4 courses, or the equivalent

African Diaspora

*Approaches to Historical Research and Writing I

*Literature of the Field, African Diaspora (1 course)

*Research Seminar, African Diaspora (1 course)

*Research Seminar African Diaspora, African, or Second Field (1 course). If the second seminar is taken in either Africa or the second field, the required courses for those fields are reduced by one.

African History (2 courses)

Second Field

(3 courses, see note below)

*Electives (2 courses)

The second field may be thematic, but choosing a geographical field may enhance versatility and marketability. A total of three courses are required if Africa is chosen as the second field—that is, one course more than is already required.

Total number of courses: 8 or 9

Language Requirement

*Pass at least one language exam

Atlantic World

*Approaches to Historical Research and Writing I

*Literature of the Field, Atlantic World (1 course); students may wish to take a second Literature of the Field course for one colloquium.

*Research Seminars (2 courses)

*Colloquia (3 courses), including at least two Atlantic regions, and distributed among regions, periods, and topics in area of research.

Second Field

The second field may be topical or regional, with colloquia selected for this field as well.

Total number of courses: 8

Language Requirement

*Pass at least one language exam.

East Asia

*Approaches to Historical Research and Writing I

*Literature of the Field or Colloquium in first field (1 course)

*Research Seminars or Colloquia (3 courses), at least one in first field, and normally two.

*Thematic field (1 course)

Second Field

(2 courses)

It is suggested that the first field comprise one country, and the second field be either an earlier time period of the first field, or a different country, or a thematic focus.

Total number of courses: 8

Language Requirement

Students are required to know either two Asian languages, or one Asian and one European language. Please refer to the “Language Requirement” section of the Handbook for information on English language proficiency.

Medieval Europe

*Approaches to Historical Research and Writing I

*Literature of the Field, or colloquium in Medieval History (1 course)

*Research Seminars (1 course)

*Electives (4 courses)

Second Field

(1 research seminar, 2 electives)

Suggested first fields are Early Middle Ages (300-1100 CE) or Central Middle Ages (900-1400 CE). It is strongly encouraged that the second field be outside of medieval history.

Total number of courses: 10

Language Requirement

*Latin: pass language exam

- *French: pass language exam, or 4 courses, or the equivalent, if language of specialization
- *German: pass language exam, or 4 courses, or the equivalent, if language of specialization
- *other languages as needed for area of specialization

Early Modern Europe

*Approaches to Historical Research and Writing I

- *Literature of the Field, Early Modern Europe (1 course)
- *Literature of the Field in another field related to the early modern period, for example, Atlantic History, Colonial Latin America, Early America, African Diaspora, World History (1 course)
- *Research Seminars (2 courses), one of which must be in Early Modern Europe. It is recommended that students undertake their second research paper in their second field.

**Second Field*

(3 courses)

Total number of courses: 8

Language Requirement

*Pass one language exam.

Modern Europe

*Approaches to Historical Research and Writing I

*Literature of the Field (2 courses), 1600-1800 and 1800 to the present, taught in the spring semester of each year.

*Research Seminars (2 courses), one of which must be in Modern Europe, and one of which may be in the second field.

**Second Field*

(3 courses)

Total number of courses: 8

Language Requirement

*Pass at least one language exam. For dissertation projects that require multiple research languages, the student must pass all relevant language exams.

Latin America and the Caribbean

*Approaches to Historical Research and Writing I

*Literature of the Field (2 courses), colonial and modern

*Research Seminars (2 courses), one of which may be in the second field

**Second Field*

(3 courses)

Total number of courses: 8

Language Requirement

*Pass at least one language exam.

South Asian

*Approaches to Historical Research and Writing I

*Literature of the Field (2 courses)

Research Seminar (2 courses)

Second Field

(3 courses)

Either another regional field or an interdisciplinary field

Total number of courses: 8

Language Requirement:

*Students are expected to demonstrate their proficiency in at least one South Asian language at the point of admission.

United States

*Approaches to Historical Research and Writing I

*Literature of the Field (2 of 3 courses): Early America, 19th Century, 20th Century (taught on a two-year rotating basis)

*Research Seminars (2 courses), one of which must be in the U.S. field. It is recommended that students undertake their second research seminar in their second field.

**Second field*

(3 courses)

Seminar recommended

Total number of courses: 8

Language Requirement

*Pass one language exam

History Science, Environment and Technology

* Approaches to Historical Research and Writing I

* Literature of the Field (1 course): Environmental History or Science and Technology (taught on two-year rotating basis).

* Literature of the Field (1 course) from a geographic field of the student's choosing.

* Research seminars (2 courses), one of which may be in the second field.

**Second field*

(3 courses)

Total number of courses: 7

Language Requirement

*Pass one language exam

History of Women and Gender

* Approaches to Historical Research and Writing I

* Literature of the Field (1 course): History of Women and Gender (taught on two-year rotating basis).

* Literature of the Field (1 course) from a geographic field of the student's choosing.

* Research seminars (2 courses), one of which may be in the second field.

**Second field*

(3 courses)

Total number of courses: 7

Language Requirement

*Pass one language exam

Qualifying Examinations

In the first semester of the second year, students choose three examiners from within the department (including faculty with joint or associate appointments), and obtain their consent to serve on the Qualifying Examination committee. In the event that there are special circumstances warranting the inclusion of one faculty member from outside the Department (whether in GSAS, or beyond NYU) the advisor should consult with the DGS and provide a justification, a record of which will go in the student's file.

The student's advisor serves as convener of the exam committee. Students must submit to the Graduate Program Administrator a form signed by all committee members before the end of the first term of the second year.

With permission of their primary advisor and of relevant faculty, of enrolling in independent studies in the fall semester of their second year to begin preparation for exams. Students need to meet with the members of their exam committees and discuss what is involved in a qualifying exam (and in its preparation) by October 1 of the second year. Preliminary Qualifying exam lists should be agreed upon and submitted by December 1 and they should be filed with the Graduate Program Administrator. While these may be amended later, the expectations need to be well known and agreed upon—they cannot be substantially shortened or lengthened.

The purpose of doctoral qualifying exams is to allow students to gain broad historiographical knowledge in recognized topical, geographic, and/or temporal areas of historical study, such that students be prepared and be qualified to teach courses in this area. The examination is not intended to be comprehensive, or to test the full range of the student's command of the field. It is based upon a sub-set of reading and study, namely a reading list generated by the student in consultation with her or his examiners. For the major field this list would normally include 75 to 100 items, less for a secondary field. Students prepare three distinct lists for their three days of exams. Two of those lists may cover similar tempo-geographical fields. The third must be topically or geographically distinct. Students may also choose to do three exams in three distinct fields to reflect scholarly interests that may exist in multiple and overlapping disciplinary contexts (eg, exams in "20th Century China," "Latin America in the national era," and "the history of political economy"). Students may designate a "topical" field, (such as gender history, the history of science and/or technology, the history of political economy, or environmental history) as their "primary" field and pursue two exams in that area (eg, exams in "gender history," "US women's history," and "19th century US History").

All three committee members read and grade the entire exam. Students work with their committee members to compose reading lists in each field. In cases where several students are to be examined in the same field and similar reading lists with the same examiners, the committee may set one exam for one day of that field.

Students must take the Qualifying Examinations in May of the second year. By March 15th of the second year, students intending to write exams should ensure that they have no outstanding incompletes from the fall of the second year. Students with more than 3 incompletes will not be allowed to take the exam and will be liable for termination from the program.

The written Qualifying Examinations are taken over three days. At 9 AM on each day of the exam, students receive, in person or by e-mail, two or three questions, from which they select one question to answer. Students may write their exams in the setting of their choice, and are permitted to consult whatever sources they deem necessary. Students will be allowed to consult with examiners once after receiving each question. Students may not, however, engage the help of others in writing, editing, or proofreading their exam essays. Faculty members are not permitted to give the exam questions to students beforehand; students will see the exam questions only at the start of each day of the exam. Prior to the examination, additional written instructions will be sent to all students; students must comply with these instructions.

The finished essay must comprise no more than 3000 words including footnotes (approximately ten double-spaced pages) and must be submitted by 4:30 PM on the same day. *Failure to submit*

the exam by 4:30 PM will constitute a failure for that day. There are two grades given for exams: Pass or Fail, and only a single grade is reported to GSAS and the Registrar for the entire exam, without distinguishing between the two fields or among the three days. A grade of Pass will be given only if a student passes all exams.

Failure in any field/exam will result in a grade of "F" for the independent reading course taken during the exam semester. This grade will not be changed, regardless of the student's results in subsequent exams. Failure of an exam disqualifies students from participation in the summer dissertation workshop held after the conclusion of their 2nd year and will also result in the forfeiting of students' summer funding between the 2nd and 3rd years.

Students who fail either field are placed on probation and will be permitted to retake the failed exam(s) in the same field(s) and with the same examiner(s). If the student fails only one field, the entire exam committee must nonetheless read and evaluate the retaken exam. Faculty members cannot remove themselves from the process of a student retaking an exam, except with compelling justification to be determined by the chair and the DGS. Under extraordinary circumstances, a student may retake the qualifying exam in another field; these circumstances must be approved by the DGS, the student's former advisor, and the student's proposed new advisor.

Students who fail one field must normally retake the exam in August; students who fail multiple fields must normally retake the exam the following December. A second failure in any field will result in termination from the program.

If the student who failed chooses not to retake the exam, a failing grade is reported, and the student is terminated from the program. Terminated students may be awarded an MA degree if they are in compliance with grade-point average and course completion requirements for good standing in the MA program.

An exception to the foregoing is a student who fails any field of the Qualifying Examination while on probation. In that case, the student cannot retake the failed portions of the exam without prior approval from the DGS, the advisor, and at least one other member of the exam committee. If the student cannot obtain the necessary approvals, s/he cannot retake the exam and will automatically be terminated from the program.

Qualifying Exams: Special Circumstances

Students with registered learning disabilities who require special accommodations for the exams should present a memo from the Moses Center to the Graduate Program Administrator specifying the nature of the accommodation requested when they submit their exam registration package.

Any student who experiences a medical emergency during the exam should contact the DGS and the Graduate Program Administrator as soon as it is safe and medically appropriate to do so (but certainly before 4:30 on the examination day). Should a student become unwell unexpectedly and choose to stop writing, s/he must attain immediate medical verification of her/his unexpected medical condition and resulting inability to continue. Such verification must be dated to the day of the exam and presented to the Department within 48 hours. The Department will consider the situation, and the student may be able to write the exam at a later date. Pre-existing medical conditions that may affect a student's ability to complete the exam must be reported to the DGS and the Graduate Program Administrator in advance of the exam date, together with medical verification.

If a student experiences a family or other emergency in the days before the exam, that information must be communicated immediately to the DGS and the Graduate Program Administrator. Special circumstances will be considered by the DGS, in consultation with the Chair.

Following the Qualifying Examinations

Students will be notified of their exam results (Pass or Fail) within two weeks of the exam date. Detailed written feedback is not provided. Students should meet with each examiner following the exam, during which time the examiner can offer feedback. After passing the Qualifying Examinations students must:

- a) Submit a Dissertation Research Proposal (Prospectus) to the Dissertation Committee for oral examination and approval between September 15 and November 15 of the third year. The end of the first week of the sixth semester is a final deadline (and is designed as an allowance for students who fail the Qualifying Examinations in May).
- b) Complete additional course work, largely through independent readings and research. Students must complete 72 points of course work by August 15 of the third year at the latest.
- c) Complete any additional language requirements beyond the departmental minimum.

Dissertation Research Proposal

Each student must prepare a Dissertation Research Proposal or Prospectus, after passing the Qualifying Exams. Normally this is done in the summer after the Qualifying Exams and early fall of the third year. It is the subject of an oral examination and must be approved in an oral defense between September 1 and November 15 of the fall term (the end of the first week of the sixth semester is a final deadline for the proposal to be approved). The scheduling of the oral defense must not be left to the last minute and should be arranged well in advance of the deadline. Students who fail one or both fields of the exam will need to rewrite the exam successfully before advancing to the Dissertation Research Proposal.

The Prospectus is intended to focus the student's thinking on the dissertation topic, sources, and methodology at an early stage of research; equally important, the Prospectus can serve as the basis of grant and fellowship applications. In fact, its structure and length is modeled on a typical grant proposal. (Joint students will follow the procedures of their home departments with respect to the proposal).

When the primary advisor and the second and third committee members agree that the Prospectus is ready, an oral examination is scheduled; the scheduling of the examination must be well in advance of the November 15 deadline. The committee normally is comprised of three members from within the department (including faculty with joint or associate appointments). In the event that there are special circumstances warranting the inclusion of one faculty member from outside the Department (whether in GSAS, or beyond NYU), the advisor should consult with the DGS and provide a justification, a record of which will go in the student's file. The oral examination runs about one hour, during which examiners ask questions about the Research Proposal itself and its relation to the field in which the proposed dissertation is embedded. After the proposal is approved, students are advanced to candidacy for the PhD degree.

The sole remaining requirement is satisfactory completion of the dissertation. Students are usually considered ABD after all coursework is completed and the language requirement satisfied, Qualifying Exams are passed, and the Dissertation Proposal is approved.

Dissertation

The dissertation is the most important accomplishment for candidates in the program and the main credential a candidate offers on the academic job market, both for teaching positions and for fellowships. As well, the dissertation usually serves as the foundation of published articles and as a draft of a book manuscript. Indeed, from the outset, students are encouraged to think of the dissertation as a book-in-the-making: the topic should be significant, and the framing of questions and arguments large enough for expansion into a significant published work. In short, students are encouraged to aspire high on the dissertation.

The dissertation is researched and written under the supervision of three members of the department, one of whom serves as the primary advisor, or two of whom serve as co-advisors. Normally, at least three Committee (core) members are members of the history department, including joint and associate faculty. The chair (advisor) must be a member of the History Department. In the event that there are circumstances warranting the inclusion of one faculty member from outside the Department (whether within GSAS, or beyond NYU) in place of one of the three departmental core members, the student, with the advisor's consent, should consult with the DGS and provide a justification, a record of which will go in the student's file.

The student works closely with the primary advisors in researching, framing, and writing the dissertation. The role of the second and third committee members is worked out among the student, the advisor, and committee members, but it is advisable for all three committee members to be involved in the process from the outset.

Before the defense, the student should circulate a pre-defense form (available from the Graduate Program Administrator) to the three core members of the committee, for them to indicate any edits that are required in advance of the defense. When the three committee members have approved the dissertation, a dissertation defense may be scheduled. Two additional readers join the first three to form a committee of five to examine the candidate at the dissertation defense. Of these two, one would normally have an appointment in the History Department. Dissertation defenses can be public: friends, family, and other interested parties are welcome to attend, at the discretion of the student. At the defense, the student will be asked to explain the arguments, significance, and future directions of the work, and the committee will raise critical questions and offer commentary intended to assist in revising the work for publication. The result can be and usually is a simple "pass," but the committee can request revisions to be reviewed either by the advisor alone or the committee as a whole. In order for the dissertation to pass, four of the five committee members must approve it.

A Note on Defense Committees

Faculty can continue to advise as departmental faculty any student admitted before they retire, and can sit on committees for students admitted after retirement as non-departmental members (i.e. as the non-departmental member of a three-person proposal committee or a non-departmental member of a five-person dissertation committee). In the event that an advisor leaves the university for another position, he/she may retain the role as advisor if he/she and the student are in agreement.

EVALUATION OF PERFORMANCE

Expectations for Coursework

All students admitted into the PhD program are assumed to possess the capacity to complete the program successfully. At the same time, the quality of student performance is continually

evaluated. Course grades, completed course work, timely progress on preparation of language competency, Qualifying Examinations, the dissertation proposal, and the dissertation are important considerations in evaluating student performance. Student performance in these areas will be continuously and carefully monitored, and any failure to meet stated deadlines may be grounds for probation.

GSAS demands a minimum 3.0 grade-point average (GPA) for PhD students to be in good standing, but permits individual departments to set higher standards. The History Department requires a minimum 3.5 GPA per semester. A student whose grade in any course falls below these expectations will need to meet with his/her advisor and the DGS and may be placed on probation.

Annual Doctoral Student Assessment

The department requires that faculty assess progress for each of their primary and secondary doctoral student advisees at least once per year. Our assessment process includes:

1. Students submit an extensive annual progress report to the Graduate Program Administrator by October 15 via Google Form, including their unofficial transcript and a 1-page written update about what they have accomplished over the past year, and their goals/plans for the current year.
2. The Graduate Program Administrator distributes all of these materials to the faculty primary and secondary advisors for each student.
3. Faculty must meet with each of their students to discuss their progress and the report they submitted.
4. The department holds an annual review meeting of faculty in November or December where student progress is discussed, with particular attention to first and second year students, and students whose advisors raise concerns regarding their progress.
5. The department provides written notification to each student regarding the results of the annual review, including any points in which the student has been found lacking and what the student must do to return to program standards.
6. All progress report materials, including notification of results, are added to the student's academic file.
7. For students in the dissertation phase, should the advisor think there has been insufficient progress, they are encouraged to convene a meeting of the core dissertation committee and student to discuss progress and establish a plan.

Yearly Review

As stated above, a yearly review of all PhD students takes place in a full faculty meeting in November/December. At the meeting, faculty will identify and discuss any students struggling as they move into the next phases of the program.

For the second year, students are expected to have completed their language exam, to be current on their coursework, to have submitted a passing first-year paper, and to have identified primary and secondary advisors. Two faculty members must commit at this point to be the primary advisor and second reader on their dissertation. For subsequent years (the 3rd year onward), the meeting should look over both the current and the previous yearly review reports, so that the progress of students who may be falling behind or losing direction can be discussed in detail. Those students who do not satisfy the faculty's expectations (because of grades, failure to identify advisor and second reader, incompletes, or persistent slow progress toward the PhD) may be put

on probation with specific criteria as to how to re-emerge from probation by the end of the spring semester of that year. Those put on probation will have to submit and follow a detailed plan for completing outstanding work (in the case of the first two years) or for completing and submitting chapters in a timely manner. Further rules for later years should be discussed in the faculty meeting.

After the yearly review, every faculty advisor should meet with each advisee to clarify any concerns and actively discuss the state of the dissertation project. Should the advisor think there has been insufficient progress or for other reasons the advisor deems necessary, she or he is encouraged to convene a meeting of the entire dissertation committee and student to discuss progress. This is a request made by several students with the purpose of encouraging more direct advisement in the early and middle stages of dissertation writing.

A student placed on probation will receive a letter from the DGS stating the specific reasons for probation, the specific terms for removal from probation, and a date by which the student's status will be re-evaluated. If the student has not fulfilled the stated requirements by that date, as determined by the advisor and the DGS, the student will be terminated.

Students have the right to appeal a decision of either probation or termination. A student who wishes to appeal must state his or her case in a letter to a panel, specially convened by the chair, consisting of three faculty members within the department, normally drawn from the Planning and Advisory Committee, who have not previously worked with the student. The student will also meet with that panel in person, and the panel will meet separately with the faculty members who made the determination of probation or termination. If the panel rules against the student, the student has the right to appeal to GSAS. Students are expected to familiarize themselves with GSAS rules regarding probation and appeal in the aforementioned GSAS Policies and Procedures Manual: <https://gsas.nyu.edu/about-gsas/policies-and-procedures/policies-and-procedures-manual-and-forms.html>

Academic Honesty and Integrity

Academic dishonesty encompasses not only plagiarism, but also any assistance that so informs or transforms a student's work that the work can no longer be attributed to the student. If a faculty member brings a charge of academic dishonesty against a student, the student has the right to reply to that accusation. Both the faculty member and the student must make their cases in writing to the DGS and the chair, as well as to a specially convened panel of three faculty members within the department, normally drawn from the Planning and Advisory Committee, who have not previously worked with the student. The student will also meet with that panel in person, and the panel will meet separately with the faculty members who made the accusation. If the panel rules against the student, the student has the right to appeal to GSAS. Students are expected to familiarize themselves with GSAS rules regarding academic integrity in the GSAS Policies and Procedures Manual. If a charge of academic dishonesty is sustained, the student will be terminated from the program.

“Incomplete” Policy

In order to remain in the program, “Incompletes” cannot be carried from one academic year to the next. Each year's coursework must be completed by August 15 at the latest, and final grades submitted. It is the student's responsibility to ensure that coursework is submitted well in advance of the August 15 deadline, in order to allow time for the final grade to be filed.

FINANCIAL AID AND EXTERNAL FUNDING

Incoming History PhD students are admitted with a five-year MacCracken Fellowship, or with a combination of outside funding and a MacCracken Fellowship. No teaching is required as a condition of holding these fellowships, although the department strongly advises sufficient teaching to develop skills that are fundamental to full preparation as a professional. (See “Road Map,” above) Although the transfer of credits is normally discouraged, students may transfer credits under certain circumstances, with the support of their advisor. If students with previous graduate work transfer 24 credits or more, their MacCracken Fellowship will be reduced to 4 years as a departmental policy.

Students in good standing receive two additional summer stipends, of up to \$4,000 each, for support in the summers following their third and fourth years. In order to receive summer funds, you will be required to submit to your History advisor, the DGS, and the Graduate Program Administrator a brief plan for your research by April 15 of each year in which you receive summer funds, and report on your progress (again, to your History advisor, the DGS, and the Graduate Program Administrator) at the end of the summer, by August 31. In rare circumstances, with the advisor’s approval, students may use one summer of the stipend in the summer following the first year in the program to fund language study or similar training deemed necessary for the student’s progress through the doctoral program. Students are also advised to apply for summer funding external to the department (ie: both within GSAS and beyond NYU). Please be advised that the maximum combined amount of the Department’s funding and any external funding cannot exceed a semester of MacCracken funding.

When MAC funding expires, the Graduate School will continue medical coverage for two years, and it will cover the Maintenance of Matriculation fees for two years as well. With the exception of the competitive fellowships noted above, the Graduate School does not fund students beyond the expiration of MAC funding. MacCracken Fellows must make satisfactory progress toward their degree in order to maintain their fellowships.

The department provides a number of competitive fellowships for students at the dissertation-writing stage that students can apply for, usually in the beginning of the Spring semester. The Graduate School also provides competitive research grants for students at the early stages of the dissertation, including grants for summer travel to archives. Toward the end of the dissertation writing process, students can apply, and if eligible, be nominated for a Dissertation Completion Fellowship. These applications are made available to the department in early Fall. The department can then make a limited number of nominations and forwards those files to the Graduate School.

Success in national grant and fellowship competitions is an important part of early professional recognition. In almost all fields, there are outside fellowships and grants available at the level of dissertation-writing. Students are urged to pay attention to website and email announcements, to inquire of their advisors about relevant funds, and to read the grant information in departmental files and in the Graduate School. Many of these opportunities are communicated in the “history announcements” regularly distributed by email to the whole body of graduate students. Students should be particularly attentive to archives and libraries that offer grants to use particular collections, as more and more historical institutions are providing funds to make their collections more accessible to scholars. It is expected that students will apply to such funding opportunities for which they qualify.

EXTERNAL FUNDING

Doctoral students who receive an external fellowship with a stipend comparable to the MacCracken before the end of their MacCracken funding period must report it to the department and are expected to use that fellowship in place of a year of MacCracken funding, *which they can then use in a subsequent year*. In most cases, students who have not received such funding will be given precedence in the conferral of the History Department fellowships that are awarded each year, normally to students close to completing the degree, so that as many students as possible can expect to have six years of full funding.

Contingent on its finances, the History Department may supplement a student's external funding in the following cases: 1) When the external fellowship is less than a year of MacCracken funding, the department may provide a supplement to bring it up to the level of a MacCracken. 2) When the fellowship recipient can demonstrate extraordinary travel expenses. 3) In very rare instances, recipients may be allowed to use a quarter of a MacCracken Fellowship together with the external funding and the department will provide funding corresponding to the used MacCracken quarter in a subsequent year.

These rules concern fellowships comparable to the MacCracken and do not apply to smaller fellowships.

TEACHING & HOURLY APPOINTMENTS

Teaching Opportunities

Teaching provides important training and experience for those seeking academic careers, and varied teaching experience offers a significant advantage on the academic job market. The "Road Map" outlines a pattern of teaching that fits with the stages of academic work and provides a sequence of teaching experiences structured to provide increasing opportunity and responsibility—beginning with grading papers, moving on to leading a discussion section, and culminating with a summer course developed by the student.

Currently there exist two forms of assignments: Course Assistant (grading papers, consulting with students on papers in office hours) or Adjunct Instructor (teaching discussion sections in a large lecture course, grading papers for that course, consulting with students on readings and on their writing assignments).

Teaching provides opportunities for students to observe the faculty at work in the classroom, and the faculty instructor takes responsibility for assisting the development as teachers of those graduate student teachers who are assigned to her or his course. In addition, the Graduate School and department offer various workshops on teaching.

The department makes every effort to assign students to courses in their fields of interest, although this is not always possible. At the same time, teaching experience outside the student's own field can enhance both professional development and candidacy on the job market. Teaching assignments are dependent on undergraduate enrollments and can never be guaranteed.

Some advanced graduate students also have the opportunity to teach a summer session course of their own design. There are, however, limited slots for such courses, and they can only be offered if there is sufficient enrollment.

Compensation and work expectations for teaching positions are governed by the contract between NYU and GSOC (UAW Local 2110).

Program Assistants

The department has a limited number of Program Assistantships (PA). Program Assistantships are various forms of assistance, mostly helping in the administration of a lecture series or program of seminars. The department assigns PAs to the following programs and projects: African Diaspora, Atlantic World, History of Women and Gender, Archives & Public History, and the *Radical History Review*.

TIME TO DEGREE

According to Graduate School rules, students entering the program with a BA degree must complete the PhD within ten years, and students entering with an MA degree who transfer 24 or more credits must complete the PhD within seven years. Approved leaves of absence are not counted within the time to degree. With the support of the DGS, students and their advisors may petition the Assistant Dean of the Graduate School for an extension of time to degree.

PLACEMENT

With a competitive national job market, students must begin preparing themselves early in their graduate careers. Such preparation should include making sure any teaching done is evaluated and documented, particularly any innovative and successful teaching strategies developed or used. It also means seeking competitive grants, even small ones, presentations at conferences, and submission of appropriate manuscripts for article publication in refereed journals. Participation as a consultant or other role on a public history project is also a valuable component of one's development of a professional profile.

Students are encouraged to speak with their advisors and the department's Placement Officer well before they are ready to enter the job market. These discussions should include matters such as preparing a CV, requesting letters of recommendation, a statement on their approaches to teaching, and selecting a writing sample. Students are also encouraged to attend the department's workshops about preparing for the market, and to set up mock interviews and job talks within the department, and to attend those of their peers. As part of the professionalization process, students should consider attending special workshops, visiting lectures, job talks, and other departmental events.

Students planning to be on the job market should begin to prepare their placement files at the very start of the fall semester. Advisors are expected to work closely with students to prepare a competitive application, but students should also consult with the department's Placement Officer in preparing their applications and placement file. The department does not manage the placement file; rather students are directed to a professional service that does this: Interfolio. Students should contact the Graduate Program Administrator for information.

Students should take care to notice and adhere to application deadlines, and make sure their materials are prepared well in advance of the time most applications are due. This work should be completed in September, with the intention to continue adding awards as they are received, or articles as they are published. Students should contact their letter of recommendation writers well before they need them, and they should keep their advisor informed of every position for which they are applying.

Advanced Certificate in Archives or Public History

The Advanced Certificate in Archives or Public History is available to non-joint PhD students as well as joint students in HJS and the IFS. The program requires satisfactory completion of 20 credit points in either concentration. For example, to complete the Advanced Certificate in Public History, students are required to take *Intro to Public History* (fall), the *Internship Seminar* (spring), and three electives. *Approaches to Public History* (spring) or another public history elective are strongly recommended. You can read more about requirements here:

<https://wp.nyu.edu/archivesandpublichistory/advanced-certificates/>

GRADUATE STUDENT CONCERNS

To address and register concerns related to student-faculty interactions and examine them fully, the department has created a *Committee on Student Concerns*.

The following guidelines are intended to give students the ability to register concerns and complaints in connection with their interactions with faculty. These guidelines do not apply to purely academic matters such as those involving grading, probation, or dismissal from a program of study, which should be addressed to the Director of Graduate Studies. Any allegations of sexual misconduct are outside the purview of the Committee on Student Concerns; by law, such allegations must be reported to NYU's Title IX office.

Students who wish to bring issues and concerns to the department's attention using the Suggestion Box should complete the following Google form:

[https://docs.google.com/forms/d/e/1FAIpQLSc-2EfCGqpi-itS0x8rJl-](https://docs.google.com/forms/d/e/1FAIpQLSc-2EfCGqpi-itS0x8rJl-GA25IRtYHeDc8xodhLNExokzU7Q/viewform)

[GA25IRtYHeDc8xodhLNExokzU7Q/viewform](https://docs.google.com/forms/d/e/1FAIpQLSc-2EfCGqpi-itS0x8rJl-GA25IRtYHeDc8xodhLNExokzU7Q/viewform). This online form does not record the email addresses of those who submit entries. All submissions will be read carefully by the Chair and DGS, as well as by the Department Manager and the Graduate Program Administrator. They will respond as they deem appropriate.

If the Suggestion Box does not suit a student's needs, and especially if the student wishes to raise a concern or complaint about a particular faculty member or members, the department invites the student to address the Committee on Student Concerns. Assisted by departmental staff, the committee will work with the student and the faculty member to assess the merits of complaints, examine problems, and recommend actions to resolve them. Its deliberations are confidential, as are the solutions it proposes. If the student is dissatisfied with these solutions, the next step would be to go to the department chair. The chair would review the case with PAC and the Committee on Student Concerns to ensure an appropriate solution. Confidentiality would be maintained. If a complaint is brought against the chair, the Committee on Student Concerns together with PAC will examine it without the participation of the chair. The same is true of the DGS and the other department officers who are ex-officio members of PAC.

If options within the department fail or are deemed inappropriate, the student may submit a grievance to the NYU administration: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/student-grievance-procedure.html>.