



**Guelph • Laurier • Waterloo**

# **Doctoral Program Regulations**

**2011-2012**

## **The Tri-University Graduate Program in History**

The Tri-University Graduate Program in History combines the faculty and resources of three of Canada's premier universities. Since 1994 our program has been educating students in innovative ways while providing them with a solid grounding in traditional historical methods. The Tri-University program integrates the scholarship and experience of over sixty graduate faculty, making it one of the biggest graduate history programs in the country. Some 150 History graduate students are currently enrolled in the program and each year we accept around 20 new doctoral students and 60 new masters students. Because of its impressive size and scope and because of student mobility among the three campuses, we are able to provide courses and supervise research in a wide range of areas. At the same time, through small seminars, close student-professor relationships and through teaching assistantships and scholarships held at one of the three participating campuses, the program is able to maintain the atmosphere of a smaller, more intimate educational institution. In our program, students benefit from combining placement in one of three departments with the resources of one of Canada's largest graduate history programs.

The Tri-University doctoral program is designed to be completed in four years of full-time study. Students enter our doctoral program for a variety of reasons, but we believe all of them are motivated by a strong desire to pursue the most advanced education for history teaching and research. We strive to move students through the field completion phase of their program in one year, so that they can devote the majority of their studies to their own research, teaching, and writing. The research phase of the dissertation can, however, be an isolating experience and so the program has created a sequence of post-field work milestones – a substantial thesis proposal that is submitted in the fifth term of study, and a colloquium paper in the seventh – to sustain intimate contact between the student and his or her advisory committee. Other innovative features of the program include a professional development seminar, taken in the first year, which guides students through grant writing and preparing themselves for research and teaching; a guaranteed funding formula which ensures that all eligible students are supported during their four years of study; a teaching practicum, which gives each student the opportunity to teach a course of their own in their final year with an academic mentor; and a system of fields designed to provide students with the background they need for their research, writing and teaching.

The Tri-University program offers an ideal balance between research and teaching preparation. It combines the benefits of one of the most accomplished graduate teaching faculty in Canada with the advantages of registration on an individual campus. By uniting research intensity and opportunities for teacher training with close interaction between student and faculty members, the Tri-University program provides students with the solid foundation they need for career success.

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## **Program Regulations**

### **1. The Program**

The program consists of a mixture of seminar courses, presentations, examinations and student instructional opportunities. Each component of the program is itemized in the section which follows. A schematic representation of the complete program can be found in article 2.2 below.

Each year the program offers major field seminars taught by individual faculty members at each of the three campuses:

- Canadian History
- Scottish History
- World History
- Early Modern European History
- Modern European History
- Medieval History
- Cold War History
- War and Society

In addition, each year the program offers a wide range of minor field seminars appropriate to the interests of the students who are admitted.

#### **1.1 Program Milestone: The Professional Development Seminar**

All doctoral students must attend the professional development seminar in their first year of the program. The seminar is designed to prepare students for success as a PhD student and for their future careers.

- The seminar will consist of nine sessions covering three topic areas – the historians' craft (researching, conferencing, publishing), careers (teaching and non-teaching work) and keys to success as a graduate students (applying for grants, and success as a teaching assistant) – with one area being taught on each campus each year.
- Attendance is mandatory and students will be assigned written and oral assignments as appropriate with the final grade of a Pass/Fail.

#### **1.2 Major Field**

The major field is the student's primary area of concentration; it provides the background and context for thesis research and will, in all likelihood, serve as the

area in which graduates apply for academic jobs. The basis of the major field is the major field reading list. Students are examined on their knowledge of their field list through a seminar and a major field/qualifying exam. These two components of the major field will each be graded separately:

- The major field/qualifying exam is written during the Tri-University Graduate Program examination period at the beginning of the second year (4th term) in the program, which is normally set for the end of the September of the second year of a student's full-time registration. Students will normally write their major field/qualifying exam in their second year (4<sup>th</sup> term) in the program. Students will be examined on their knowledge of the entire major field reading list (100 books). The exam will consist of a written portion and an oral portion with a separate grade assigned for each part. The oral portion of the exam will normally be held within three weeks of the successful completion of the written portion. A grade of B+ constitutes the minimum passing grade in each component of the major field/qualifying exam. Students may not complete the oral portion if they fail to pass the written, but they must pass the oral to successfully complete the examination process.
- Each student's examination committee consists of at least three members, including the major field supervisor, the dissertation supervisor and one other faculty member in the field under examination (see also article 3.2). Each member of the committee will grade the written component independently and will forward their grade to the major field supervisor for averaging within one week of the writing of the exam. Final examination grades will be submitted to the director who will notify the students of their grades and proceed with the scheduling of the oral component of the major field examination.
- Students unable to write the major field/qualifying exam during the Tri-University Graduate Program examination period in the fall may petition to write in the deferred exam period. The deferred examination period will normally be held in the last week of February following the examination period from which the student seeks deferral. Students seeking a deferral must submit a written petition to their advisory committee at least eight weeks prior to the Tri-University Graduate Program examination period in which they would normally be expected to write. The advisory committee will forward the petition together with its recommendation of acceptance or refusal to the director within two weeks of receipt of the petition. A final decision as to whether to accept or refuse a petition to defer will be made by the Tri-University Program coordinating committee no less than one month prior to the examination period. The time-table for deferrals may be changed in cases where the petition involves a sudden and unforeseen emergency.
- Students are normally permitted only one deferral.

- Students failing the written component of the major field/qualifying exam are permitted a second attempt. Second attempts will be written during the next exam period (regular or deferred) following the first failed attempt.
- In all matters other than those specified in this handbook, the regulations in place at the university of the students' registration will govern procedures regarding the written and oral examination.

### 1.3 Minor Fields

The minor fields represent the secondary areas of concentration; they are intended to provide students with a supplementary teaching area and a comparative understanding of works in their dissertation research area. These two goals may be combined in each minor field course or the director, in consultation with the student, the thesis advisor and the seminar instructors, may coordinate a program in which one field is primarily geared towards a second teaching area and the other towards developing an understanding of the student's research area beyond their major fields.

- The equivalent of one minor field lists (50 books) may be in the student's specialized area of concentration/research beyond that covered in the major field.

Minor fields are completed by seminar work. A grade will be assigned by each minor field instructor upon completion of each minor field seminar.

- The minor field seminars are normally completed during the first two terms of the student's program, however, students may choose to take their minor fields in their fourth and fifth terms. If students take a minor field seminar that is also being offered as a major field seminar, they will normally meet bi-weekly. Other minor field seminars will meet at such intervals as are necessary to ensure that the student has a satisfactory understanding of the minor field reading lists. The minimum requirement in a minor field seminar will be the preparation of one historiographical assignment and participation and/or presentations. The historiographical paper will be no more than 6500 words in length including citations.
- Minor field seminar instructors may require students to attend a one-term MA-level historiographical seminar in partial completion of their field requirement.
- A student who fails to pass either of his/her minor field seminars will be required to withdraw from the PhD program.
- The reading list for each minor field seminar will consist of the equivalent of 50 books.

- The minor field seminar reading list is drawn up by each minor field instructor.
- The minor field reading lists and outline will be deposited with the director prior to the completion of the field.

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#### **1.4 Program Milestone: The Thesis Proposal**

All doctoral students will present a thesis proposal to their advisory committee during the semester following the completion of their qualifying exams. The proposal represents the student's major assignment for the semester and should demonstrate the depth of a semester's research. Although the exact composition of the proposal will be determined by the advisory committee in consultation with the doctoral student, a proposal will normally include a statement of the research question to be addressed in the dissertation, a description/discussion of the major issues, a review of the principal primary/archival sources to be used, a chapter or topic outline, and a clear explanation of the originality of the proposed dissertation. The expected length is approximately 3,000 words, excluding notes and the bibliography.

The student will be examined orally on the proposal by the advisory committee within four weeks of submission of the proposal to the director. The proposal is graded as a pass/fail.

#### **1.5 Program Milestone: The Colloquium**

The purpose of the Colloquium is to give students an opportunity to demonstrate their research progress toward the completion of their dissertation, and to receive critical comments from their advisory committee as guidance for their continuing research and writing. It will normally consist of a public presentation of a chapter of the dissertation, and is held one year following approval of the thesis proposal. The exact scheduling will be determined by the thesis advisor in consultation with the student and the advisory committee. Students are expected to consult their advisory committee on a suitable topic for the colloquium.

The student will present the paper orally to their advisory committee (normally no more than 20 minutes) after which committee members will examine the candidate on their research and presentation. The colloquium presentation is a public event. Time permitting, guests attending the colloquium will be invited to ask questions following the formal examination. A pass/fail grade will be assigned by the committee.

An abstract of the colloquium paper must be approved by the advisory committee prior to scheduling the presentation. Committees may request copies of a full

draft of the paper prior to approving the colloquium, however at a minimum committee members should receive the paper itself no less than one week in advance of the presentation.

## **1.6 Language Requirement**

Students must demonstrate a reading knowledge of a second language. If no specific language is required for the student's research (as authorized by the student's advisory committee), the second language will be French. The determination of the second language will be made by the student's advisory committee in the first term of the student's registration in the program.

- Language proficiency is tested through an examination administered every fall and winter term and it is expected that a student will take the test no later than the 6th term following admission into the program.
- The language exam is intended to evaluate the candidate's reading knowledge of a second language and is not to be understood as a test of fluency. Use of a dictionary is allowed during the exam.
- A student who has already fulfilled a language requirement, for example through an equivalent exam previously taken, may have credit given for that work by his/her advisory committee.
- Completion of an undergraduate course is not in itself considered an equivalent.

## **1.7 The Teaching Practicum**

PhD students may apply to director to teach a one term/0.5 credit course in the term they successfully defended their thesis proposal and completed all other requirements preceding it. Placement will be secured for the student at one of the three participating campuses. Student teachers will be mentored and courses will be assigned in ways consistent with the procedures for teaching assignments at each of the three universities. Ongoing feedback on teaching effectiveness, including teaching evaluations, will be provided to the student instructor by the course mentor.

## **1.8 Program Milestone: Thesis and Thesis Defence**

Each student will be required to write and successfully defend a thesis of such cogency and originality as will represent a significant contribution to knowledge. The thesis will normally be between 50,000 and 90,000 words in length.

- During the preparation of their theses, students will work according to a schedule of meetings and chapter submissions determined in consultation with their advisors.

- The thesis will be examined by the students' advisory committee and at least one reader from outside the Tri-University program. The external reader will normally be an historian from a university other than the University of Guelph, the University of Waterloo, or Wilfrid Laurier University, but in special circumstances, the advisory committee may authorize the inclusion of an external examiner from a program other than history either at one of the three institutions participating in the Tri-University or from another institution.
- Thesis defence procedures and regulations at the university of the student's registration will be followed and students and committee-members should consult the appropriate Graduate Studies handbook.

## 2. General Regulations

### 2.1 Transfer Students from other History PhD programs

Students in good standing in other history PhD programs may apply for advanced standing in the Tri-University program. The terms of admission and transfer credit will be determined on a case by case basis by the admissions committee. Credit, however, will normally not be given for field examinations or papers completed prior to admission to the Tri-University PhD program.

### 2.2 Progression

Students are expected to successfully complete each component of the program according to the schedule outlined in section 1 with a minimum B+ average (78%) in each field seminar. Students failing to pass any of their field seminars will be required to withdraw from the PhD program. Should a student fail to pass any program milestone, after taking into account the provisions of article 2.3, and the regulations in effect at each university, they will also be required to withdraw from the program.

#### Schedule of completion for a four-year degree:

Year	Term	Fall	Winter	Spring/Summer
1		- Field Seminars - Professional Development Seminar	- Field Seminars (B+ average required) - Professional Development Seminar (Pass required)	Independent reading in the Major Field
2		- Major Field/Qualifying Examination (normally taken at the beginning of the term), (Pass required)	Thesis Proposal (Pass required)	- Final term to complete Language Exam (Pass required)
3		- Colloquium (Pass required)	Research and writing	Research and writing
4		Research and writing	Research and writing	- Thesis defence (Pass required)

## 2.3 Provisional Standing

Students failing to successfully complete their language exam, professional development seminar or colloquium or to receive approval for their thesis proposal according to the schedule outlined in section 1 will be assigned “provisional standing” by their advisory committee.

- Provisional standing must be applied, recorded and authorized by the students’ advisory committee. The record of provisional standing will state the condition producing the condition and the requirement that must be met in order for provisional standing to be removed.
- Provisional standing lasts for a maximum of two terms of registered (active) study from the end of the term in which it is assigned. Students must clear provisional standing by successfully removing the condition leading to its application. Students will normally be required to withdraw from the program if they fail to return to satisfactory standing within the allotted time.
- Students are normally allowed only one period of provisional standing while they are registered in the program. Students will normally be required to withdraw from the program if a second provisional standing period has to be applied.
- The record of provisional standing is maintained by the director and will not appear on the student’s official transcript. However, the record of provisional standing and the letter clearing it will be submitted by the director to the graduate officer and the dean of graduate studies at the university in which the student is enrolled within two weeks of the application of these conditions.

### **3. Administration**

#### **3.1 Thesis Advisor**

The thesis advisor is responsible for supervising the student in the development, research and writing of the dissertation. The thesis advisor will meet with the student over the course of his/her registration in the program as is appropriate and will provide the student with the such information concerning procedures, standards and expectations as the student needs to succeed in the program. In addition, the thesis advisor will:

- be a member of the student's advisory committee
- offer advise on drafts of the thesis proposal, dissertation and colloquium paper
- write letters of reference for their students as requested
- contact applicants who he or she has agreed to supervise concerning the program and his/her supervision

The thesis advisor may refuse to supervise any applicant prior to admission and may request that the director transfer a student to another advisor.

Disagreements between the advisor and student shall be referred to the director who will mediate them in consultation with the coordinating committee.

#### **3.2 Student Advisory Committee**

Each student will have an advisory committee at all times that he/she is registered in the program. The advisory committee will meet at scheduled intervals to discuss and make a record of the student's progress through the program. The advisory committee will ensure that the student has successfully completed his/her major field seminar and the professional development seminar before authorizing the student's progress through to the major field/qualifying examination. Committee members will prepare the major field/qualifying exam (normally the exam will be prepared jointly by the major field seminar instructor and the thesis advisor). Members of the advisory committee will participate in the examination of the student, in accordance with the terms set by each university's regulations regarding field/qualifying examinations and will assign a grade on the basis of the student's performance in the examination. The committee will maintain responsibility for the student's progress once the student has successfully completed his/her major field/qualifying exam. The committee will assess the student in their colloquium, will be responsible for approving the thesis proposal and will make up the Tri-University program faculty at the thesis defence.

- Each student's committee will be comprised of the director, or designate, who will chair the committee, the student's thesis advisor and two readers in the dissertation subject field. Where appropriate, committee members may be selected from among the student's minor field instructors.
- For purposes of the major field/qualifying examination, the major field seminar instructor (if not already a member of the committee) will normally take the place of one of the two readers in the dissertation subject field. If the dissertation subject field is different from the major field under examination, a further examiner in the major field will take the place of the other reader in the dissertation subject field. There will always be at least two faculty members in the field grading each major field/qualifying examination.
- The committee will determine at each meeting whether the student may continue "in good standing"; if the committee does not approve a student's continuing "in good standing" it must assign the student "provisional standing" as described in 2.3 and it will prescribe the steps needed for the student to restore his/her "in good standing" status.
- The advisory committee will make all recommendation regarding progression and will be responsible for making recommendations to the coordinating committee regarding required withdrawals.
- The advisory committee will make a record of the completion of such preconditions of research, such as ethics reviews, as are required by the student's university of registration.
- At least one member of the committee will be from a campus other than that of the student's registration.

### **3.2.b Schedule of Committee Meetings**

Students completing their degree according to the four-year schedule will meet with their advisory committees according to the following schedule. Other students will meet with their advisory committee according to the same schedule up to term 4 and then at intervals no later than the milestone completion dates specified in Section 1. A progress meeting or milestone completion meeting must be held at least once every three terms.

<b>Year</b>	<b>Term</b>	<b>Fall</b>	<b>Winter</b>	<b>Spring/Summer</b>
<b>1</b>		Progress meeting	End of term meeting to assess progress	
<b>2</b>		Major field/qualifying exam/normally at the beginning of the term	Thesis proposal	
<b>3</b>		Colloquium		
<b>4</b>		Progress meeting		Thesis defence

### 3.3 General Administration

#### 3.3.a The Coordinating Committee

##### Admissions

The coordinating committee is the Tri-University Program's central administrative body. It also constitutes itself as the admissions committee. It will meet at regular intervals during the year and during peak admission periods it will normally meet every second week to process applications. Meetings of the admissions committee will also be called by the director at any point when there are more than 10 new applications to be processed. The initial distribution of new applicants to the campuses by the admissions committee will be governed by the following criteria:

- 1) indicated student preference
    - preference may be shown by choice of field (as in Scottish history), choice of advisor (this shall be the primary consideration in the case of PhD students), or by a valid statement of campus preference
  - 2) the amount of funding for students available at each campus.
    - the committee will make every effort to maximize the funding for each applicant.
  - 3) university admission targets
    - the committee will make every effort to ensure that each university's graduate admission targets are filled with applicants of equivalent ability. It will seek to allocate applications as they are submitted in accordance with the relative size of each university's funded target.
- Following the first round of selection, the graduate officer at each campus will contact the applicant allocated to their campus to discuss the process. The graduate officer will confirm each applicant's willingness to attend their campus and will indicate proposed funding levels and the recommended advisor.
  - Applicants who during this initial contact, or at any point prior to the closure of the application process, indicate a preference for placement at another campus or who an admission's officer could not place with an advisor at their university, will have their file returned to the coordinating committee at its next meeting. The committee will then attempt to place the applicant at one of the other two campuses.

General administrative responsibilities:

- After consultation with the student admissions, will be responsible for establishing the minor fields offered each year.
- Create and amend regulations and recommend major program revisions to the departments.
- Advise the director as needed.
- Promote jointness between the faculty and students in the history departments of the three participating campuses.
- Approve all advertising for the Tri-University Graduate Program or for graduate studies in history at any of its participating history departments.
- Review all “must withdraw” recommendations from advisory committees (a review may involve an interview with the student at the discretion of the committee) and authorize all those decisions. The committee must approve or reject “must withdraw” decisions within two weeks of receipt of the recommendation from the advisory committee. Should it reject a “must withdraw” decision, the committee must set the conditions necessary for the student’s continuation in the program. All decisions made in these cases must be in accordance with the regulations of the Tri-University program and of the institution at which the student is registered. The committee will promptly inform the university at which the student is registered of all its decisions concerning progression.

### **3.3.b The Director**

Financial:

- Draft and administer the budget and supply each participating institution with an annual budget forecast and year-end closing.
- Fund raise for the program.

Advertising and Promotion:

- Arrange for advertising on behalf of the program.
- Maintain the Tri-University website.

Admissions:

- Represent the program to potential applicants.
- Receive and make available all applications for admission and prepare summaries for the admissions committee.
- Chair the admissions committee and call its meetings.
- Contact all applicants who have indicated their acceptance of placement prior to or as close to the time of an official offer as possible. The director will also inform all applicants of the status of their application

within one month of receipt of their application. The director will also be responsible for informing all those applicants the admissions committee was unable to place.

Jointness:

- Develop initiatives for promoting links among faculty and students on the three campuses
- Organize and advertise the annual Tri-University conference in collaboration with a representative from the hosting campus.
- Coordinate the professional development seminar and collect and submit student results.
- Coordinate course offerings and time-tabling with the department chairs to minimize conflicts.
- Work with the universities to secure space, resources and other matters regarding the program.
- Maintain a file for each doctoral student enrolled in the program. The file will contain an up-to-date unofficial transcript, records of standing, the major field/qualifying exam paper and answers, the colloquium paper and thesis proposal, copies of all correspondence regarding the program and its regulations, advisory committee reports and copies of documents regarding applications for funding
- File all records concerning standing, progression and withdrawal with the appropriate university graduate office.

Fields:

- Coordinate field offerings and student enrolment in the fields.
- Work with the chairs to ensure adequate rotation of fields among faculty in the three departments.
- Serve as the repository for field reading lists.
- Approve new members to advisory committees or authorize new advisors of theses when necessary.

General:

- Chair and call meetings of the coordinating committee and the advisory committees.
- Provide the department chairs with on-going information regarding the program and its decisions.
- Prepare material and replies to OCGS appraisal briefs and represent the program to OCGS.
- Annually submit a written report on the program to the department chairs and graduate deans at each university.

### **3.3.c The Departments**

- Publicize the Tri-University program wherever possible.

- Provide office space to the director on a campus in the city other than that of the director's home university.
- Treat PhD students registered at each campus equally regarding advisory committee membership and seminar space.
- Ensure that PhD students participating in MA seminars in partial satisfaction of their minor field seminar requirements are not in classes of more than 15 students.
- Provide the Tri-University operating budget in total within one month of the start of each fiscal year.
- Support and promote student and faculty activities relating to the program.
- Provide the Director at regular intervals or upon request with reports on new faculty publications.
- Credit faculty mentors of student instructed courses (teaching practicum) with that course as part of their normal teaching load. A faculty member may only be credited with one such course per year.