University of Massachusetts Boston  
Department of Conflict Resolution, Human Security, and Global Governance  
Doctoral Program in Global Governance and Human Security  

Dissertation Tracking Forms

General Comments:

-This document contains 8 sequential dissertation tracking forms, covering the process from identification of a Committee Chair in the student’s first year to the final dissertation defense. The first three of these forms require action at the Department level only, while the final 5 require signature by the Dean of Graduate Studies, and as such there are two distinct numbering sequences, one for Departmental-level forms and one for University-level forms.

The 8 steps of this process, each with an accompanying form, are as follows:

- GGHS Form A: Department Committee form
- GGHS Form B: First qualifying exam
- GGHS Form C: Second qualifying exam
- Stage 1: Notification of candidacy*
- Stage 2: Notification of Proposed Dissertation Committee*
- Stage 3: Notification of Proposal Acceptance*
- Stage 4: Notification of Intent to Defend Dissertation*
- Stage 5: Results of Dissertation Defense*

-Note that all forms require signature by GGHS GPD.
-Forms for steps marked with an asterisk require signature by Dean of Graduate Studies.
-The form for each step must be signed by the GPD (and, where necessary, the Dean of Graduate Studies) before student/candidate can proceed to the next step.

-A folder should be created for each GGHS student at the beginning of the program. Hard copies of all forms should be kept in the folder, in order, and updated as needed. This will provide both the student and the program faculty with a concrete record of progress through the program.

-These forms and instructions should be made easily available to both students and faculty in both paper and electronic forms.

-Students are responsible for their own progress toward the PhD degree. While faculty, particularly a student’s committee chair and the GPD, will assist when possible in administering the required paperwork, it is ultimately the student’s responsibility to understand the sequence of requirements toward the degree, and to ensure that the various forms are filled out in that sequence.
GGHS Dissertation Tracking Form A:

Dissertation Committee Form

Student’s Name: ____________________________________________

Student’s ID Number: ________________________________________

<table>
<thead>
<tr>
<th>Name</th>
<th>Dept/Affiliation</th>
<th>Signature</th>
</tr>
</thead>
</table>

Chair: 

Member: 

Member: 

External Member: 

CVs included for members external to the University?  ____ Yes  ____ No

Approved by the Graduate Program Director

Date:
Dissertation committee requirements:

- Committees must consist of a Chair and at least three additional members.

- This form may be submitted before the committee is complete – students may submit a version of the form with as few as one committee member, but must include a committee chair (i.e. if there is only one member listed, it must be the chair).

- This form MUST be submitted prior to taking the first qualifying examination.

- The Chair and at least one additional member of the committee must be faculty affiliated with the Global Governance and Human Security Program.

- At least one member of the committee must be from outside UMass Boston.

- A CV must be provided for all members of the committee from outside UMass Boston.

- All committee members must have a terminal degree in their field, and must have a record of scholarly publication within a period of five years prior to the formation of the committee.

- Each committee member must sign this form to indicate willingness to serve. If a signature is not feasible, attach a letter or email from the member indicating consent.

- Students can change committee members; all changes in committee membership require the submission of a new version of this form.

- A different form formalizing committee membership and requiring the signature of the Dean of Graduate Studies (Dissertation Tracking Form Stage 2), is necessary upon entering candidacy. Once the Stage 2 form has been signed and returned by the Dean, it supersedes GGHS Form A.
GGHS Dissertation Tracking Form B:

First Qualifying Examination Result

Student’s Name: ____________________________________________________________

Student’s ID Number: ______________________________________________________

Student’s Committee Chair: ________________________________________________

First qualifying Examination Result:

High Pass [ ]
Pass [ ]
First failure [ ]
Second failure [ ]

Approved by the Graduate Program Director__________________________________

Date:
University of Massachusetts Boston
Department of Conflict Resolution, Human Security, and Global Governance
Doctoral Program in Global Governance and Human Security

GGHS Dissertation Tracking Form B:
First Qualifying Examination Result

Instructions

First Qualifying Examination requirements:

- Students must have submitted GGHS Dissertation Tracking Form A (Dissertation Committee Form) prior to writing the examination.

- The examination will normally be given at or just before the beginning of students’ third semester in the program.

- Students will be expected to answer two questions from a set of five questions asked. Answers must be no more than 2,500 words, not including list of references.

- The exam will normally be distributed to students at 9am on a Monday morning, and are due by 11:59 pm on the Friday of the same week.

- Exams questions will each be read by at least two members of the core GGHS faculty. Exams as a whole will be graded as high pass, pass, or fail. Once the exam is graded, the student will be informed by the GPD, and a hard copy of Dissertation Tracking Form #2 will be put into the student’s file.

- Students who fail the exam on their first sitting will be allowed to retake the exam once. Students who fail the exam a second time may not continue in the GGHS program.

- Students may not take the second qualifying exam until they pass the first.
GGHS Dissertation Tracking Form C:

Second Qualifying Examination Result

Student’s Name: ____________________________________________________________

Student’s ID Number: _______________________________________________________

Student’s Committee Chair: __________________________________________________

Title of Dissertation Proposal: ______________________________________________

<table>
<thead>
<tr>
<th>Examiners</th>
<th>Dept/Affiliation</th>
<th>Proposal Vote*</th>
</tr>
</thead>
</table>

Chair:

Member:

Member:

Member:

Approved by the Graduate Program Director_____________________________________

Date:
Second Qualifying Examination requirements:

- The examination will normally be given no earlier than the student’s fourth semester in the program.

- Students are expected to prepare a 20-25 page dissertation proposal, including abstract, that identifies the substantive focus and analytic approach of the dissertation, and relevant existing literatures.

- A student’s committee for the second qualifying examination shall consist of the Chair and at least two other members of the Dissertation Committee as identified on GGHS Dissertation Tracking Form A. If possible, all four members should be included.

- All members of the examination committee must tentatively approve the proposal before the oral examination is scheduled, and agree that it is time for this examination to be held.

- The oral examination shall be scheduled for two hours, and shall include the student, the committee members, and any other observers agreed to by both the student and the committee chair. Only committee members shall have a vote.

- During the oral examination, the Committee may examine the student on both the content of the proposal specifically, and on the relationship between the proposed research and the fields of global governance and human security more generally.

- All members of the Committee must approve the proposal for the student to pass the examination and proceed to Candidacy. The concerns of committee members who vote “Approve with reservations” must be addressed prior to the student proceeding to candidacy.

- One or more votes “do not approve” constitute a failure of the second qualifying examination. Students may retake the examination once, after substantially revising the proposal. Students who fail the exam a second time may not continue in the GGHS program.
University of Massachusetts Boston  
Department of Conflict Resolution, Human Security, and Global Governance  
Doctoral Program in Global Governance and Human Security

Dissertation Tracking Form

**Stage 1: Notification of Candidacy**

Student’s Name: __________________________________________________________

Student’s ID Number: _____________________________________________________

Student’s Examination Committee Chair: ________________________________

Date of Admission to Program:

Date of Admission to Candidacy:

Approved by Examination Committee Chair_______________________________

Date:__________________________

Approved by the Graduate Program Director______________________________

Date:__________________________

Received by the Dean of Graduate Studies______________________________

Date:__________________________
University of Massachusetts Boston
Department of Conflict Resolution, Human Security, and Global Governance
Doctoral Program in Global Governance and Human Security

Dissertation Tracking Form
Stage 1: Notification of Candidacy

Instructions

Requirements for Candidacy:

- This form should be signed by the Examination Committee Chair at the time of the successful completion of the student’s second qualifying examination (i.e. when all members of the examination committee have voted for approval). This may be done concurrently with GGHS Dissertation Tracking Form C (Second Qualifying Examination Result).

- Upon signature of the form, the Examination Committee Chair shall forward the form to the GPD for signature, who will in turn forward the form to the Dean of Graduate Studies.

- A copy of the form signed by the Dean will be placed in the student’s file, marking the transition to candidacy for the doctoral degree.
Dissertation Tracking Form

Stage 2: Notification of Proposed Dissertation Committee

Student’s Name: ____________________________________________

Student’s ID Number: ________________________________________

<table>
<thead>
<tr>
<th>Name</th>
<th>Dept/Affiliation</th>
<th>Approved, Dean OGS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chair:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Member:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Member:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>External Member:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

CVs included for members external to the University?  ____ Yes  ____ No

Approved by the Graduate Program Director_______________________________________

Date:

Approved by the Dean of Graduate Studies__________________________

Date:
University of Massachusetts Boston  
Department of Conflict Resolution, Human Security, and Global Governance  
Doctoral Program in Global Governance and Human Security  

Dissertation Tracking Form  
Stage 2: Notification of Proposed Dissertation Committee  

Instructions  

Requirements for Candidacy:  

- This form should be completed as soon as possible upon entering candidacy (it may be submitted concurrently with the Stage 1 form, Notification of Candidacy).  

- The committee recommended in this form must match that in GGHS Dissertation Tracking Form A (Dissertation Committee Form). Note that Form A may be updated and resubmitted at any point – it must be up-to-date at the point of submitting the Stage 2 form.  

- Note that the Stage 2 form does not require signatures by Dissertation Committee members (Each updated version of GGHS Dissertation Tracking Form A does require signatures, or emails indicating willingness to serve if physical signatures are not practical).  

- A copy of the CV of the external member must be included with this Form (it will presumably already be on file as an attachment to GGHS Form A).  

- If the proposed Dissertation Committee is identical to the Second Examination Committee, the Stage 2 form may be submitted to the GPD concurrently with GGHS Form C and the Stage 1 forms.  

- A copy of the form signed by the Dean of Graduate Studies will be placed in the student’s file. Note that once the Dean has signed the form, any changes in the personnel of the Dissertation Committee require approval by both the GPD and the Dean (i.e. a new copy of the Stage 2 form must be generated and signed by both).
Stage 3: Notification of Proposal Acceptance

Student’s Name: ____________________________________________

Student’s ID Number: ________________________________________

Title of Accepted Dissertation Proposal: _________________________

A copy of the proposal is attached: Yes [ ]  No [ ]

<table>
<thead>
<tr>
<th>Dissertation Committee</th>
<th>Dept/Affiliation</th>
<th>Proposal Vote*</th>
<th>Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>


Chair:

Member:

Member:

Member:

Approved by the Graduate Program Director___________________________

Date:

Received by the Dean of Graduate Studies____________________________
Date:

University of Massachusetts Boston
Department of Conflict Resolution, Human Security, and Global Governance
Doctoral Program in Global Governance and Human Security

Dissertation Tracking Form
Stage 3: Notification of Proposal Acceptance

Instructions

Requirements acceptance of dissertation proposal:

-A copy of the proposal must be attached to this form (if the proposal is to be included electronically, it must be in Microsoft Word. Otherwise, a paper copy must be included).

-This form may not be approved by the GPD until the Dean of Graduate Studies has approved the Candidate’s Dissertation Committee (the Stage 2 form).

-The form must include votes by, and must be initialed by, all members of the Committee approved by the Dean. A form that does not indicate full approval (i.e. approval without reservations) by all members of the committee is unlikely to be approved by the Dean.

-Members of the Second Qualifying Examination Committee who are likely to be on the Dissertation Committee as approved by the Dean may approve the proposal and initial the form at the termination of the Second Qualifying Examination. (In practice, this means that if the complete Committee is present at the Examination, the form can be filled out at that point but cannot be submitted to the Dean’s Office until the Stage 2 form, Notification of Proposed Dissertation Committee, has been signed by the Dean and returned to the Candidate’s file).

-If the Dissertation Committee is different from the Second Qualifying Examination Committee, any members of the Dissertation Committee who were not on the Second Qualifying Examination Committee must approve the proposal and initial the form prior to submission to the GPD for signature.
Dissertation Tracking Form

Stage 4: Notification of Intent to Defend Dissertation

Student’s Name: ____________________________________________________________

Student’s ID Number: ______________________________________________________

Proposed Date of Dissertation Defense:

Final Dissertation Title: ______________________________________________________

Final Dissertation Committee                              Dept/Affiliation

Chair:

Member:

Member:

Member:

Date of Dissertation Defense (if different from above):

Approved by Dissertation Committee Major Advisor (for the Committee):

________________________________________                     Date:

Approved by the Graduate Program Director:

________________________________________                     Date:

Received by the Dean of Graduate Studies:

________________________________________                     Date:
University of Massachusetts Boston  
Department of Conflict Resolution, Human Security, and Global Governance  
Doctoral Program in Global Governance and Human Security  

Dissertation Tracking Form  
Stage 4: Notification of Intent to Defend Dissertation  

Instructions

Requirements for the scheduling of a dissertation defense:

-A student's readiness to defend a dissertation must be approved by all parties listed in the Stage 4 form, including all members of the Dissertation Committee, the GPD, and the Dean of Graduate Studies. Adequate time must be allowed for review of the dissertation by the Dean of Graduate Studies or a representative.

-The final oral examination shall be scheduled when all the dissertation committee members and the Office of Graduate Studies agree that the dissertation is sufficiently complete to undergo defense. All members of the committee must tentatively approve the dissertation before the final oral examination is scheduled, and agree that it is time for this examination to be held. However, approval of the dissertation, passing the defense, and/or recommending the degree are not implied by scheduling this examination.

-Notice of the defense shall appear in the "Mass Media" and "The University Reporter".

-The candidate will also be expected to deliver a public lecture on his or her research, usually on the day the final oral examination takes place.
Dissertation Tracking Form

Stage 5: Results of Dissertation Defense

Student’s Name: ____________________________________________________________

Student’s ID Number: ________________________________________________________

Date of Dissertation Defense:

Title of Dissertation: ________________________________________________________

Action by the Committee: Approve [ ] Disapprove [ ]

Dissertation Committee Dept/Affiliation Vote* Initials

*(“A” = Approve, “AR” = Approve with reservations, “N” = do not approve).

Chair:

Member:

Member:

Member:

Approved by the Graduate Program Director:

__________________________________________ Date:

Received by the Dean of Graduate Studies:

__________________________________________ Date:
Requirements for a successful dissertation defense:

- The final oral examination itself is attended by the candidate, the committee, and any invited guests.

- Only the committee members may vote, and the student can pass the final oral examination only with their unanimous approval. If, at the final examination, two members cast negative votes, the candidate will be informed that he or she has not passed the examination. If there is only one negative vote, the degree will be held up pending satisfactory resolution of the objections of the dissenting member of the committee. Final program approval is represented by the signature of the graduate program director.

- The final oral examination shall be primarily concerned with, but not necessarily limited to, the candidate's dissertation.

- The candidate will also be expected to deliver a public lecture on his or her research, usually on the day the final oral examination takes place.

- This form does not represent final completion of all requirements toward the PhD. The candidate must complete any changes to the dissertation required by the Dissertation Committee, and the final dissertation must be approved by the Office of the Dean of Graduate Studies for final submission, before the candidate is considered to have completed all of the requirements for the PhD degree.