

# **Chapter 1**

## **Responsibilities of the Directors of Graduate Studies**

The Director of Graduate Studies (DGS) is the official departmental or program administrator of the rules and regulations of the Graduate School, the designated advocate of the needs of the graduate program and graduate students, both within the department and in the University, and the initial advisor of all matriculating graduate students. Directors of Graduate Studies are nominated by the department chair or the program director and are appointed by the Dean of the Graduate School for a specified term of service. Candidates for DGS must be faculty members of the graduate program they are nominated to lead, and are expected to have had deep engagement with the teaching and training activities of the program. They should qualify for full membership on the faculty of the Graduate School. Because of the demands of the position and the sometimes contentious issues between students and faculty that the DGS must resolve, it is strongly advisable that the DGS be a senior faculty member.

Because the Director is responsible to the graduate faculty and the graduate students of the department, as well as to the staff of the Graduate School, the job is both critical and demanding. This manual is intended as a guide to the major components of that job.

The chief responsibilities of the Director are the following:

- to serve as chair of departmental graduate recruiting, admissions, and fellowship committees or to delegate such authority where appropriate;
- to oversee all matters relating to the departmental review of applications, ensuring equal, fair, and timely consideration of all applicants;
- to sign off on all departmental recommendations for admission/rejection;
- to nominate students for Graduate School fellowships;
- to prepare the annual Graduate School awards request and to allocate such funds as are allotted;
- to report student funding administered by the department or received directly by the student from an external funding agency;
- to serve as initial advisor and continuing advocate for all graduate students;
- to oversee all registration procedures and verify student enrollments;
- to monitor annually students' progress towards degree, including RCR compliance and English language requirements where mandated;
- to assess the quality of the graduate program using quantitative metrics and descriptive narrative for University accreditation reports;
- to review and if appropriate, endorse any individual exceptions requested to standard milestone examination timelines or committee participation;
- to recommend to divisional representatives of the Executive Committee desired modifications of Graduate School rules, regulations, or procedures;
- to recommend to the department chair and the Associate Dean graduate course offerings and instructors;
- to maintain complete and confidential academic records on all students in the department;
- to notify the Graduate School of all final degree examinations;
- to forward to all graduate students such announcements as are periodically sent from the Graduate School.

- to recommend to the Graduate School:
  - all M.A., M.S., or Ph.D. committee assignments;
  - all additions to or deletions from the department's graduate faculty;
  - any changes in departmental course offerings;
  - any modifications of program requirements;
  - all requests for transfers of graduate credit, leaves of absence, or time extensions;
  - probationary conditions for any student in academic difficulty.

Obviously the fulfillment of these tasks requires a considerable amount of time and attention to detail, and the department/program is expected to provide staff assistance (typically a designated Director of Graduate Studies Assistant (DGSA)). Links to commonly-used administrative forms can be found on the Graduate School web page: [Academic Policies and Forms](#). Timely and accurate submission of required forms helps the Graduate School maintain accurate records of all enrolled graduate students in order to certify, at the appropriate time, that all degree requirements have been met.

The chair of your department is responsible for determining whether or not you will receive any compensation for service as DGS. Departments often provide the DGS with secretarial or other assistance and some reduction in teaching or other administrative responsibilities. A typical term of service is three years, renewable with mutual agreement between the faculty member, chair and dean. Longer periods of service, where possible, may provide important stability for graduate programs and graduate students.

The Graduate School staff is ready to assist you in fulfilling your various duties. When exceptional situations arise, do not hesitate to call upon us for whatever advice we may be able to give. In the meantime, we hope that familiarization with this manual will help with most of the routine business you will be asked to conduct.



### **Who handles routine jobs like forming committees and scheduling examinations?**

*Since you are ultimately responsible for forming committees, not the student, it may be considerably easier for you or your assistant to request the services of individual faculty members. In general, it is not in the best interest of the graduate student to have to "negotiate" with faculty over scheduling examinations. The same principle holds as well for asking faculty to serve on examination committees.*



### **To what extent can I delegate tasks to a graduate program assistant?**

*There is, of course, no uniform answer to this question. One important principle to bear in mind is that you are the primary representative of the faculty for your graduate students. The more hands-on you are with their programs — even with routine paperwork — the more supportive students and faculty will feel you are. For the Graduate School, we require that all official paperwork be reviewed and signed by you — not by your assistant and not with a stamped signature. It is important to remember that many of these forms represent legal documents and your signature is the guarantee that actions have been approved at the departmental level.*

# **Chapter 2**

## **Graduate School Organization**

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**Box 90068**  
**Phone: 681-3257**  
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**A. Staff**

**1. Office of the Dean**

The Office of the Dean is responsible for overall administration of the Graduate School and for all of its policies and procedures, as well as monitoring of all financial operations. Although implementation of many policies may be delegated to the other offices of the School, the Dean remains the final arbiter on Graduate School matters.

**2. Academic Affairs**

The Office of the Associate Dean for Academic Affairs is responsible for general oversight of all academic regulations of the Graduate School. The Associate Dean acts on student academic matters that cannot be appropriately or satisfactorily resolved at the department or program level. The Associate Dean works with the Admissions staff to set admissions standards and review borderline or unusual applications. The Associate Dean works with the Finance unit and the Executive Committee of the Graduate Faculty (ECGF) to select and award Graduate School student fellowships. This office acts as a resource in the development of proposals for new graduate academic programs, and coordinates, as delegated by the Provost and the Dean in the Vice Provost position, the periodic external review of existing academic units. The office maintains records of the Graduate Faculty and provides support to the ECGF. In addition, this office maintains all in-school and historical student records, certifies completion of all degree requirements, including format approval for all theses and dissertations, and supports students and faculty in resolving enrollment and registration issues. Academic Affairs also coordinates and provides academic support programs, including training in Responsible Conduct of Research, the English for International Students Program, and academic career development programs.

**3. Finance & Administration**

The Office of the Associate Dean for Finance & Administration is responsible for all aspects of Graduate School budgeting and financial support, data management, and other administrative functions such as payroll, human resource policy setting and procedure implementation, and facilities operations. The Office of Budgets and Finance manages financial operations and reporting for the Graduate School, prepares and monitors Graduate School administrative and financial aid budgets and actual expenditures, and oversees institutional fellowship awards, federal financial aid and national fellowship award programs.

**4. Admissions**

The Graduate School Admission Office develops the policies and procedures by which applications to all graduate departments are processed. This office communicates with students and departments regarding requirements, application status, and final admissions

decisions and also handles issues related to the preparation of visa documents for incoming international students.

## **5. Graduate Student Affairs**

The central mission of the Office of the Associate Dean for Graduate Student Affairs (GSA) is to enhance the quality of graduate student life by working closely with individual students, student organizations, faculty, and other campus offices. The aim is to provide a broad array of programs on such issues as health, safety, housing, mentoring, and professional development. This office is committed to helping students become active participants in their personal growth and in the achievement of their educational objectives.



For a complete staff listing, see our website at:

[Duke Graduate School: Staff Directory](#)

## **B. The Graduate Faculty**

The Graduate School consists of members of the Graduate Faculty, the training and research programs that they offer, and a small central staff to administer school-wide policies and procedures. Departments and programs authorized to offer graduate degrees are responsible for nominating members of their faculties to the Graduate Faculty. There are two categories of Graduate Faculty: full graduate faculty members and term graduate faculty members.

### **1. Full Graduate Faculty Members**

Nominal prerequisites for admission to the graduate faculty as a full member include possession of the Ph.D. degree and research activity appropriate for one engaged in graduate training. Academic units (departments and programs) may set additional requirements if they choose or, in special cases, request that the Dean waive one of these prerequisites. Waiver of any prerequisites is considered in cases where the nominated faculty member has the experience and distinction of tenure track faculty members currently being appointed at Duke and will contribute demonstrably and substantially to the educational, training, and mentoring mission of the nominating department or degree program. **Only full members of the Graduate Faculty may chair examination committees and direct dissertations.** Full members of the Graduate Faculty generally participate in setting graduate degree requirements and in teaching and mentoring in their programs.

**a.** Decisions on admission to full membership in the Graduate Faculty must be voted on by all full graduate faculty members of the department or program. Nominations subsequently forwarded to the Associate Dean must include:

- 1)** an official nomination form from the Director of Graduate Studies and the Department Chair;
- 2)** confirmation that there has been a majority vote cast by members of the graduate faculty in the academic unit; and

- 3) current curriculum vitae. The Dean reserves the right of effective review of each request and has the obligation to submit to the Executive Committee of the Graduate Faculty any nomination deemed to be questionable.
- b. With Graduate School oversight, academic units are also responsible for reviewing the effectiveness of their graduate faculty and are expected to recommend removal from the graduate faculty of any of their faculty members who fail to maintain an appropriate level of scholarship or other essential participation in their graduate programs.

## **2. Term Graduate Faculty Members**

Departments and programs authorized to offer graduate degrees, and those offering graduate certificates but not degrees, may request that members of their faculty who are not full members of the graduate faculty, or appropriate expert researchers outside Duke University, be approved by the Associate Dean for temporary and limited service in their graduate programs – teaching graduate courses or serving on student examination committees, for example. Such individuals are appointed for a limited term of up to five years and are nominated by the Directors of Graduate Studies of departments, degree programs, or certificate programs upon advice of their faculties. All nominations of term graduate faculty members must then be reviewed by the Associate Dean of the Graduate School for potential approval.

Nomination forms are available on the Graduate School web site: [Academic Policies and Forms](#). The Dean reserves the right of effective review of each request and has the obligation to submit to the Executive Committee any nomination deemed to be questionable.



**Can clinical personnel in the Medical Center, academics outside of Duke, or researchers employed by non-academic entities serve as members of the graduate faculty?**

*Yes, many such individuals do serve as members of the graduate faculty. Duke clinical faculty may serve as full members if they also have joint or secondary appointments in a graduate program or department. Those who do not have such an appointment at Duke are regularly appointed as term members of the graduate faculty for specific and limited service.*

## **C. The Executive Committee of the Graduate Faculty (ECGF)**

The Executive Committee of the Graduate Faculty consists of an elected faculty chair and vice-chair plus four representatives from each of the four academic divisions: humanities, biological sciences, physical sciences, and social sciences. (The chair and the vice chair may be representatives as well as officers). Faculty representatives are elected by their respective divisions for staggered two-year terms. The Dean and the Associate Dean sit as ex officio members of the Committee. The graduate faculty, which meets on call, depends upon the Executive Committee for the formulation of policy with respect to graduate study at Duke University, as well as for other delegated responsibilities. The Executive

Committee normally meets twice a month during fall and spring semesters on matters affecting the Graduate School or graduate students.

Minutes of each meeting of the Executive Committee are available on the Graduate School's website - [Duke Graduate School: ECGF Minutes](#). It is important that you routinely review these minutes, as they frequently contain discussions of matters directly relevant to your program. You are also encouraged to be in frequent contact with members of the Executive Committee from your academic division, so that they might represent your interests and concerns on issues that come before the Committee. Any matter of concern to individual faculty members or departments can be brought before the Executive Committee. A brief note to the Dean or the Associate Dean will be sufficient to begin the process, or you may contact any current member of the ECGF or the faculty chair.



For a list of members, see our website at: [Duke Graduate School: Executive Committee of the Graduate Faculty](#)

## D. Graduate Degree and Certificate Programs

<u>Dept./Program</u>	<u>Degree Offered</u>
<a href="#"><u>Advanced Quantitative Methods in the Social Sciences</u></a>	Certificate
<a href="#"><u>African and African American Studies</u></a>	Certificate
<a href="#"><u>Anthropology and History Certificate</u></a>	Certificate
<a href="#"><u>Art, Art History, and Visual Studies</u></a>	Ph.D
<a href="#"><u>Biochemistry</u></a>	Ph.D.
<a href="#"><u>Biology</u></a>	Ph.D.
<a href="#"><u>Biomedical Engineering</u></a>	M.S., Ph.D.
<a href="#"><u>Biomolecular and Tissue Engineering</u></a>	Certificate
<a href="#"><u>Business Administration</u></a>	Ph.D.
<a href="#"><u>Cell and Molecular Biology</u></a>	Admitting, Certificate
<a href="#"><u>Cell Biology</u></a>	Ph.D.
<a href="#"><u>Chemistry</u></a>	Ph.D.
<a href="#"><u>Civil and Environmental Engineering</u></a>	M.S., Ph.D.
<a href="#"><u>Classical Studies</u></a>	Ph.D.
<a href="#"><u>Cognitive Neuroscience</u></a>	Admitting, Certificate
<a href="#"><u>College Teaching</u></a>	Certificate
<a href="#"><u>Computational Biology and Bioinformatics</u></a>	Certificate, Ph.D.
<a href="#"><u>Computer Science</u></a>	M.S., Ph.D.
<a href="#"><u>Cultural Anthropology</u></a>	Ph.D.
<a href="#"><u>Developmental and Stem Cell Biology</u></a>	Admitting, Certificate
<a href="#"><u>Developmental Psychology</u></a>	Certificate
<a href="#"><u>Earth and Ocean Sciences</u></a>	M.S., Ph.D.
<a href="#"><u>East Asian Studies</u></a>	Certificate, A.M.
<a href="#"><u>Ecology</u></a>	Certificate, Ph.D.
<a href="#"><u>Economics</u></a>	A.M., Ph.D.
<a href="#"><u>Electrical and Computer Engineering</u></a>	M.S., Ph.D.
<a href="#"><u>English</u></a>	Ph.D.
<a href="#"><u>Environmental Science and Policy</u></a>	Ph.D.
<a href="#"><u>Environmental Policy, University Program in</u></a>	Ph.D.
<a href="#"><u>Evolutionary Anthropology</u></a>	Ph.D.
<a href="#"><u>Genetics and Genomics</u></a>	Certificate, Ph.D.
<a href="#"><u>German Studies (Carolina-Duke Graduate Program)</u></a>	Ph.D.
<a href="#"><u>Global Health</u></a>	M.S., Certificate
<a href="#"><u>History</u></a>	A.M., Ph.D.
<a href="#"><u>History and Philosophy of Science, Technology and Medicine</u></a>	Certificate
<a href="#"><u>Humanities</u></a>	A.M.
<a href="#"><u>Immunology</u></a>	Ph.D.
<a href="#"><u>Information Sciences and Information Studies</u></a>	Certificate
<a href="#"><u>Integrated Toxicology and Environmental Health</u></a>	Admitting, Certificate
<a href="#"><u>Interdisciplinary European Studies</u></a>	Certificate
<a href="#"><u>Interdisciplinary Medieval and Renaissance Studies</u></a>	Certificate
<a href="#"><u>Latin American and Caribbean Studies</u></a>	Certificates

<u>Dept./Program</u>	<u>Degree Offered</u>
<a href="#"><u>Liberal Studies</u></a>	A.M.
<a href="#"><u>Literature</u></a>	Ph.D.
<a href="#"><u>Marine Science and Conservation</u></a>	A.M., M.S., Ph.D
<a href="#"><u>Master of Arts in Teaching</u></a>	M.A.T.
<a href="#"><u>Master of Fine Arts in Experimental and Documentary Arts</u></a>	M.F.A.
<a href="#"><u>Mathematics</u></a>	Ph.D.
<a href="#"><u>Mechanical Engineering and Materials Science</u></a>	M.S., Ph.D.
<a href="#"><u>Medical Physics</u></a>	M.S., Ph.D.
<a href="#"><u>Medical Scientist Training</u></a>	M.D., Ph.D.
<a href="#"><u>Middle East Studies</u></a>	Certificate
<a href="#"><u>Molecular Cancer Biology</u></a>	Ph.D.
<a href="#"><u>Molecular Genetics and Microbiology</u></a>	Ph.D.
<a href="#"><u>Music</u></a>	Ph.D.
<a href="#"><u>Nanoscience</u></a>	Certificate
<a href="#"><u>Neurobiology</u></a>	Ph.D.
<a href="#"><u>Non-Linear and Complex Systems</u></a>	Certificate
<a href="#"><u>Nursing</u></a>	Ph.D.
<a href="#"><u>Pathology</u></a>	Ph.D.
<a href="#"><u>Pharmacology and Cancer Biology</u></a>	Ph.D.
<a href="#"><u>Philosophy</u></a>	A.M., Ph.D.
<a href="#"><u>Philosophy, Arts, and Literature</u></a>	Certificate
<a href="#"><u>Philosophy of Biology</u></a>	Certificate
<a href="#"><u>Photonics</u></a>	Certificate
<a href="#"><u>Physics</u></a>	Ph.D.
<a href="#"><u>Political Science</u></a>	A.M., Ph.D.
<a href="#"><u>Psychology and Neuroscience</u></a>	Ph.D.
<a href="#"><u>Public Policy Studies</u></a>	Ph.D.
<a href="#"><u>Religious Studies</u></a>	A.M., Ph.D.
<a href="#"><u>Romance Studies</u></a>	Ph.D.
<a href="#"><u>Slavic and Eurasian Studies</u></a>	A.M., Certificate
<a href="#"><u>Sociology</u></a>	A.M., Ph.D.
<a href="#"><u>Statistical and Economic Modeling</u></a>	MS
<a href="#"><u>Statistical Science</u></a>	Ph.D.
<a href="#"><u>Structural Biology and Biophysics</u></a>	Admitting, Certificate
<a href="#"><u>Women's Studies</u></a>	Certificate



## **Can departments or programs alter their degree requirements unilaterally or do changes require the approval of the Dean and/or the Executive Committee?**

*Minor changes (e.g. a change in a particular course) do not usually require formal approval, although you must keep the Graduate School informed about them and be certain that they are publicly announced to all students in your program. More substantive changes (for example, altering the curriculum or initiating a new track of graduate training) require approval from the Dean after consultation with the Executive Committee of the Graduate Faculty. You should check with the Associate Dean to be certain.*

# **Chapter 3**

## **Admissions**

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## **A. Overview of DGS and Graduate School Responsibilities**

The process of admitting students for graduate study is a collaborative effort between The Graduate School and the department. The Graduate School sets minimum criteria and standards for admission and determines the documents required to complete an application file. The graduate admissions office bears primary responsibility for:

- 1.** Developing and making available application materials and general information about Graduate School programs.
- 2.** Collecting and processing applications and supporting documents.
- 3.** Making applications available to the department and monitoring the status of applications.
- 4.** Notifying applicants of admission or rejection decisions.
- 5.** Maintaining official data on the applicant pool.

The in-depth review of an applicant's credentials takes place within the department. Each department must develop its own system of reviewing and ranking applications, ensuring equal, fair, and timely consideration of all applicants. As the Director of Graduate Studies (DGS), you are responsible for ensuring that: 1) each application receives a timely review; 2) decision recommendations are rendered in an expedient manner; and 3) all applicant information used for review purposes is maintained in a secure and confidential environment with access being granted *only* to those individuals who have official responsibilities related to the admissions process.

This chapter provides a summary of graduate admissions procedures, outlining what you can expect us to do versus what you, as DGS, should do. In addition to reviewing these procedures, you should review the information posted on the Graduate School website (<http://gradschool.duke.edu/>), so that you will better understand the applicant's view of our admissions policies and procedures. The Graduate School's website offers a brief overview of each department, as well as a link to each individual department's website. We ask that you please facilitate our attempts to provide accurate information by making sure that your department's website is kept up to date. **It is particularly important that any information your website provides in reference to Graduate School guidelines be consistent with the information posted on The Graduate School's own website.**

## **B. Slate**

- 1.** Slate is a cloud-based admissions application and review software for faculty and administrative staff who have access to review Graduate School applications. Applicants log into Slate to work on their application. Once it is submitted, the application will be immediately visible to departments. Applications must be reviewed and decisions must be recommended in Slate. Ultimately, applicants will view their final decision letters and financial aid awards (if any) in their Slate applicant portal.
- 2.** To request access to Slate, please contact Chris Kizer, Slate Operations Manager, at [chris.kizer@duke.edu](mailto:chris.kizer@duke.edu). He will work with SISS to assist you in setting up your Slate account, and in providing any training you may require. Only SISS can grant access to Slate. Graduate Admissions simply facilitates the process for you.

**3. Common Technical Issues:**

- a. Slate is only compatible with modern web browsers. **Please be sure you are using a recent version of Chrome, Firefox, or Safari to log into Slate. Internet Explorer and Edge users will encounter bugs while navigating the website.**
- b. For all other technical issues, contact the [OIT Helpdesk](#).

**C. Application and Supporting Materials**



**Things to Note:**

*This link takes the applicant to the application instructions, including a link to the online application: [Graduate School Application Instructions](#)*

The graduate admissions office requires self-contained applications. Applicants must upload all application documents prior to application submission (with the exception of official GRE and TOEFL/IELTS scores, which are sent directly to The Graduate School from the appropriate testing agency). Except in the case of official test scores, applicants are instructed not to mail any application documents to The Graduate School. If The Graduate School extends an offer of admission, the graduate admissions office will let the applicant know what documents should be mailed to The Graduate School. Please do not direct applicants to mail any application documents to The Graduate School unless an offer of admission has been made. In exceptional cases where the mailing of application documents during the review process is deemed necessary, the graduate admissions office will contact the applicant directly to request the documents.

If any supporting documents are mailed directly to your office, bring them (with envelopes attached, as the envelopes help us determine whether items are official/confidential) to the graduate admissions office. We will add the documents to the applicant's record in Slate. ***Please do not send application documents through Campus Mail.*** Application materials often contain confidential information, and lost documents may be difficult to replace. Please bear the following points in mind:

1. All applications are submitted online.
2. The requirements for a complete application are as follows:
  - a. **Transcripts:** Essential to the review of the application are **unofficial transcripts** from any institution where the applicant earned (or will earn) a degree, studied for one semester or more, earned 12 or more hours of credit, or took courses that relate to the applicant's graduate study interests. The applicant is required to upload scanned copies of transcripts from each institution listed in the application. The applicant is also required to make certain all uploaded transcripts are legible. If you notice that a transcript is missing, illegible, or not accompanied by an English translation (if needed), contact the graduate admissions office and we will send the applicant an email requesting the missing information. This communication will

appear in the candidate's timeline record in Slate. Once the missing documentation is received, it will be added to the applicant's file.

- b. **Statement of Purpose and Resume/CV:** Each applicant must upload a **Statement of Purpose** indicating purposes and objectives in undertaking graduate study, special interests and plans, and strengths and weaknesses in the chosen field of study. A resume or CV is also required. If you notice that the Statement of Purpose or the resume/CV is missing or illegible, contact the graduate admissions office and we will email the applicant to request another copy. This communication will appear in the candidate's timeline record in Slate. Once the missing item is received, it will be added to the applicant's file.
- c. **Letters of Recommendation:** Three official **letters of recommendation** are required for each application. The letters should come from persons best qualified to evaluate the applicant's academic potential. At least two of the letters should come from evaluators in the applicant's chosen field of study. Letters of recommendation must be submitted electronically through the online recommendation system (part of the online application system). An email containing instructions for submitting the evaluation is sent to each recommender. The recommendations automatically attach to an applicant's file as they are received.
- d. **GRE Scores:** The Graduate School requires Graduate Record Examination (GRE) general test scores from applicants to most programs. In addition to self-reporting scores, the applicant must also request that ETS send official GRE scores to institution code 5156 (no departmental code is needed). Scores must not be more than five years old. While self-reported scores may suffice for departmental review purposes, official scores must be received before admission can be offered. **Note: For the 2022-23 cycle, many programs have waived the GRE test score requirement. A complete list is visible at <https://gradschool.duke.edu/admissions/apply/gre-scores>**

Applicants to any programs listed as "GRE Optional" on our webpage may submit GRE scores if they feel the scores enhance their application.

#### **Alternate test requirement available:**

- Bioethics & Science Policy (MA): Applicants may provide MCAT scores instead.
- Bioethics & Science Policy (JD/MA): Applicants may provide LSAT scores instead.
- Business Administration (Ph.D.): Applicants may provide GMAT scores instead.
- Global Health (MS): Applicants may provide MCAT scores instead.
- Population Health Sciences (MS): Applicants may provide MCAT scores instead.

Applicants who chose to submit MCAT scores will need to provide the AAMC ID and the Verification Code in the application. If the applicant is recommended for admission, the graduate admissions office will use this information to verify the self-reported scores and record them as official.

- e. **TOEFL or IELTS:** Scores from the Test of English as a Foreign Language (**TOEFL**) or the International English Language Testing System (**IELTS**) are required of any applicant whose first language is not English. The applicant must self-report the TOEFL or IELTS scores (or state a future TOEFL or IELTS exam date) in the application.
  - i. The **TOEFL** is administered by Educational Testing Service (ETS). In addition to self-reporting scores, applicants must also request that ETS send official scores to institution code 5156 (a departmental code is not needed). The Graduate School generally seeks total scores no less than 90 for the Internet-based TOEFL.
  - ii. The **IELTS** is administered by Cambridge ESOL, British Council, and IDP: IELTS Australia. More information about the test is available at [www.ielts.org](http://www.ielts.org). In addition to self-reporting scores, applicants must request that official IELTS score reports be sent directly to the graduate admissions office. The Graduate School generally seeks total scores no less than 7.0 for the IELTS.
  - iii. For the 2022-23 cycle, The Graduate School will continue to also accept Duolingo English Test examination results as an alternative to TOEFL and IELTS examinations to accommodate applicants facing test schedule disruptions caused by the COVID-19 Pandemic. The Graduate School generally seeks total scores no less than 125 for Duolingo.
  - iv. Scores for either test must not be more than two years old, and an official score report must be sent to the graduate admissions office directly from the testing agency. Personal copies are not acceptable, nor are “attested” or notarized copies.
- f. **Supporting Documents:** The applicant may use the **Additional Information** section of the application to upload any miscellaneous items the applicant feels should be reviewed by the department.
- g. **Application Fee:** The application fee is \$95. **No application is processed without the application fee.** Applicants pay the application fee by credit card at the time of application submission.
- h. **Ph.D. Degree Holders:** Applicants holding Ph.D. degrees or their equivalent are generally not eligible for admission to Duke University for a second Ph.D. The Dean of The Graduate School will consider exceptions only if the department or program demonstrates that the proposed field of study is unrelated to the field of the first Ph.D., and that the educational experience afforded by the proposed doctoral field is essential for the applicant’s long-term research objectives. Please note that applicants who have not yet had the opportunity to benefit from a doctoral education will be prioritized in the admissions and financial aid process.



## What about an applicant who cannot afford to pay the fee? Does The Graduate School ever waive application fees?

For the 2022-23 cycle, The Graduate School is piloting the formalization of a centralized application fee waiver program which will waive the \$95 fee for eligible applicants on a first come, first served basis. See details on our website here:

<https://gradschool.duke.edu/admissions/application-instructions/application-fee>

*If an applicant contacts you to request a fee waiver prior to or by the appropriate deadline, instruct them to follow the directions on the new webpage above.*

3. Within three business days of application submission, the applicant will receive an email with instructions on how to view the status of the application. **The completion of the application file is the applicant's responsibility.**
4. During the regular admissions season, submitted applications will be made available to departments for review once the application fee has been paid. If an applicant claims to have already submitted an application and you do not see the applicant's record in Bin 1 within the Department Workflow in Slate, please contact your assigned Department Specialist in the graduate admissions office.

## D. Application Deadlines

Any application submitted before or on the appropriate deadline date will be given full consideration. Programs may allow individuals with extenuating circumstances to submit after the program's application deadline. Please notify Scott Andrews (<mailto:scott.andrews@duke.edu>) or Chris Kizer (<mailto:chris.kizer@duke.edu>) of any applicants for whom you wish to extend your deadline.

### 1. Spring Semester:

**October 3** – The deadline date for submission of all applications for the spring semester. No spring applications will be accepted after this date.

### 2. For the Fall Semester:

Deadlines vary by program. Please check the Admissions website for details:

<https://gradschool.duke.edu/admissions/application-deadlines>

Also reference our Admissions Calendar in our Box folder [here](#)

**March 10** - This is the date by which **all Ph.D. programs** will close.

**April 15** - No new acceptance letters or financial aid awards can be processed after this date without special permission from the Dean of The Graduate School.

**June 1** - This is the date after which no new applications will be processed.



## What happens to late applications?

*An applicant will not be able to start or submit an application once the program's application deadline has closed. If a program wishes to allow a late application, the DGS must contact the Associate Dean of Graduate Admissions.*

## E. Processing of Applications in the Graduate Admissions Office

Once an applicant submits the application, the application is sent directly to Bin 1 of the departmental workflow within Slate for review. To prevent any delay in departmental access to applications, all submitted applications, regardless of their fulfillment of the requirements, are accessible to the department at the time of submission. Therefore, it is possible that your department will be reviewing applications with illegible or missing transcripts, less than the required number of recommendations, and/or no official standardized test scores.



## How long does it take for applications to be processed?

*During the regular admissions season, newly submitted applications are sent directly to Bin 1 of the department workflow for review. If an applicant claims to have already submitted the application and you do not see the application record in Bin 1, please wait one business day before contacting your assigned Department Specialist in the graduate admissions office.*

- 1. Illegible Documents:** Occasionally, some part of the application may be illegible or missing.
  - a. If you notice that an item is missing or illegible, please notify your Department Specialist. A communication will be sent to the applicant requesting an acceptable document.
- 2. Schools Not Listed:** In the application instructions, applicants are asked to locate each institution for which they will be uploading a transcript. In the event that an applicant is unable to locate an institution in our database, the graduate admissions office instructs the applicant to enter it as "School Not Listed". A graduate admissions staff member reviews each School Not Listed entry and updates the database with the school name.
- 3. GPAs:** Each applicant must self-report a cumulative undergraduate grade point average (UGPA) on a 4.0 scale.
  - a. If an applicant is unable to convert the UGPA to a 4.0 scale or leaves the UGPA section of the application blank, a Department Specialist will perform the UGPA calculation.
  - b. **All self-reported UGPAs that do fall within the 4.0 scale are NOT checked by a Department Specialist unless and until the department recommends the applicant for admission.**
  - c. **If you have questions about a self-reported UGPA, please ask your Department Specialist to recalculate the UGPA.**

## F. Departmental Review and Decision Recommendations



### **IMPORTANT:**

*The department must not make a commitment to an applicant, verbal or written, concerning admission OR financial award until the recommendation for admission has been approved by the Associate Dean for Graduate Admissions.*

- 1. Departmental Review:** Each department determines its own procedures for reviewing applications. You, the DGS, are responsible for ensuring the following during the review process:
  - a. All applicant information used for review purposes is maintained in a secure and confidential environment with access granted only to those individuals who have official responsibilities related to the admissions process. Duke considers Box.com to be a secure environment for sharing information and provides free Duke Box accounts to all employees: <https://duke.account.box.com/login>



### **Is there a policy about who can review applications?**

*See the “Policy on Confidentiality of Graduate Student Files” on the website at:*

*[Graduate School Application Data Security Policy](#).*

**Currently enrolled graduate students are strictly prohibited from accessing any of the data mentioned in the confidentiality policy, whether the data pertains to fellow students or to applicants.**

- b.** All applications are reviewed, and appropriate and fair treatment is given to every applicant. It is up to you to ensure that all matters related to the consideration of applicants are handled equitably and, where necessary, are documented.



### **How can a department switch an application to another department?**

*Due to the interdisciplinary nature of much of the research in departments and programs, it sometimes happens that an application file starts out in one department before the faculty reviewers realize that it is more appropriate for the file to be reviewed by another department. When an application file is transferred to another department after either of the programs’ application deadlines, The Graduate School must have documentation of a) the applicant’s agreement to the change (an email message is acceptable), b) an email from the DGS of the new department stating a willingness to review the application, and c) confirmation from the DGS of the department to which the applicant originally applied stating their confirmed intention to release the application to the new department. Contact your Department Specialist for more information.*

- c.** Relevant information communicated by the applicant to the department is relayed to your assigned Department Specialist so that the applicant’s file can be updated.



### **What do I do if an applicant asks to withdraw before a decision is made?**

*Please forward the applicant correspondence to your assigned Department Specialist. The graduate admissions office will add the email to the applicant’s file*

*for documentation purposes and take the appropriate steps to withdraw the applicant.*

- d. Decisions are submitted in a timely fashion in Slate for every applicant who applies to your department.



#### **Is there a deadline by which the department needs to make decisions?**

*The Graduate School requires that all Ph.D. applicants receive notification of the status of their files no later than two weeks before April 15.* Departments should submit their decision recommendations by March 29 to allow time for the graduate admissions office to send out decision letters a full two weeks prior to April 15. Many applicants are well aware of the April 15 agreement stated in the Council of Graduate Schools “Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants” (<http://cgsnet.org/april-15-resolution>).

The earliest decisions are usually made in January, with the review process continuing for most departments into February and early March. Whatever the department's schedule, bear in mind that it is crucial that applicants be informed of admission decisions as soon as possible.

2. **Decision Recommendations:** Only the DGS in each department has the security access in Slate to submit recommended decisions to the graduate admissions office. Slate allows for the submission of one of three recommended decisions: Recommend Deny, Recommend Waitlist, or Recommend Admit.

#### **G. Graduate School Processing of Recommended Decisions**

Submitted decisions will trigger a series of actions on the application in Slate. After one business day, The Graduate School will perform several final checks on the applications. **These checks must be completed before the recommended decision can be approved by the Associate Dean for Graduate Admissions.**

1. **Recommend Deny:** After a Recommend Deny decision is registered for an applicant, the graduate admissions office notifies the denied applicant that a decision has been made and asks the applicant to log into their Slate Applicant Portal to view the decision.



#### **Does it matter whether or not the department keeps track of deny reasons?**

*Yes. An applicant who has been denied admission will often contact the graduate admissions office requesting an explanation. In such situations, the graduate admissions office tells the applicant to contact the department directly to determine the reason for the denial.*

2. **Recommend Waitlist:** After a Recommend Waitlist decision is registered for an applicant, the graduate admissions office notifies the waitlisted applicant that a decision has been made and asks the applicant to log into their Slate Applicant Portal to view the decision. The applicant can choose to withdraw from the waiting list from their

Applicant Portal. Unless the applicant withdraws from the waiting list, the DGS will be required to enter a final decision for the waitlisted applicant in Slate at a later date.

3. **Recommend Admit:** After a Recommend Admit decision is registered for an applicant, an Admissions Specialist reviews the applicant's file to ensure that all Graduate School admissions requirements have been fulfilled and that all necessary financial award processing (where applicable) has been completed. Once this review is complete, the applicant's file is sent to the Associate Dean for Graduate Admissions for approval.



#### **IMPORTANT:**

*If the department sends a financial award letter to an applicant, the department should also send a copy of this letter (signed or unsigned) to the graduate admissions office so that this correspondence can be added to the applicant's Slate file. Please email the letter to [grad-admissions-center@duke.edu](mailto:grad-admissions-center@duke.edu).*

- a. During this process, it may be determined that the applicant's file requires an additional review by either the Associate Dean for Graduate Admissions or the Senior Associate Dean of Academic Affairs before the decision is approved.
- b. If the Associate Dean for Graduate Admissions approves the DGS's decision recommendation, the graduate admissions office notifies the applicant that a decision has been made and asks the applicant to log into their Slate Applicant Portal to view the decision. The applicant can accept or decline their offer of admission from their Applicant Portal until April 15 or 15 days after the decision notification, whichever is later. The DGS and the DGSA can easily see when an applicant has received his/her decision letter by logging into Slate. The letter will be visible on the Timeline and also in the Departmental Workflow.

**Departmental Service Requirements Letter:** Each admitted Ph.D. applicant should receive a departmental service requirements letter within two weeks of being admitted. A template for the letter is included at the end of this section of the DGS manual.

## **H. Required GRE/GPA for Admission to The Graduate School**

The Graduate School does not specify a strict cut-off point for GRE scores or undergraduate grade point averages. While we obviously seek to admit above-average students, we realize that scores and grades do not provide a complete picture of an applicant.

While GRE scores are often a controversial subject, most departments continue to find them a useful tool for making comparisons among applicants. In an effort to ensure that scores are used appropriately, the GRE Board sets usage policies and publishes guidelines that are distributed to test takers as well as score users. For more information, view the ETS guidelines at <http://www.ets.org/gre/institutions/scores/guidelines>. Only if we follow the guidelines established by the GRE Board can we expect their support if an admission decision is ever legally challenged. It is most important to remember that **GRE scores are only one component of an applicant's file. While useful, they should never be considered apart from all available credentials, and they should never be the sole basis**

**for rejecting or accepting an applicant.** The Graduate School's approach to the GRE can best be described as vigilant yet flexible; we keep a watchful eye on our school-wide averages but review each applicant's file in a holistic manner, as we expect departments to do.

The GRE test reports the Verbal Reasoning and Quantitative Reasoning measures **on a 130 – 170 score scale in 1-point increments**. A sample pdf of the score report is available here: [http://www.ets.org/s/gre/pdf/institution\\_score\\_report.pdf](http://www.ets.org/s/gre/pdf/institution_score_report.pdf).

## I. Non-Degree Admission

In the online application, applicants have very few options to apply for non-degree admission. There are two types of non-degree applicants: a) applicants to the Office of Continuing Studies and b) international exchange students. In the rare case that an applicant should be admitted as a non-degree student within your department, please contact the Graduate School Admissions office to discuss next steps.

- 1. Non-Degree Applicants:** Applicants who wish to undertake non-degree graduate work at Duke University must be formally admitted to The Graduate School by the Admissions Dean. Non-degree admission is granted in two different categories: (1) admission as a non-degree student through an affiliated international exchange institution with a specific department, or (2) admission through the Office of Continuing Studies (CED) as a non-degree student without department affiliation.
  - a.** Prerequisites for admission include a four-year U.S. bachelor's degree (or the equivalent) from a regionally accredited institution, unofficial transcripts from each institution listed in the application, a statement of purpose, and two official letters of recommendation. Applicants who do not speak English as a first language must also submit official TOEFL or IELTS scores.
  - b.** Duke graduate course credits earned by a non-degree student before the student is granted full admission to The Graduate School may be transferred to a graduate degree program if: (1) the action is recommended by the student's DGS and approved by the Dean; (2) the coursework is not more than two years old; (3) the credit awarded does not exceed one full-time semester; and (4) all coursework received grades of B or higher. This is considered retroactive credit, not a transfer of credit. More information about retroactive credits can be found on The Graduate School website.
- 2. International Exchange Applicants:** The Graduate School has entered into a number of international exchange program agreements to promote international collaboration in the exchange of educational, intellectual, and cultural ideas. Applicants admitted to these programs are pre-screened and allowed one year of non-degree study.
  - a.** Prerequisites for admission include a four-year U.S. bachelor's degree (or the equivalent) from a regionally accredited institution, unofficial transcripts from each

institution listed in the application, a statement of purpose, and two official letters of recommendation. Applicants who do not speak English as a first language must also submit official TOEFL or IELTS scores.

- b. Each student's tuition and stipend costs are covered according to the terms of Duke's agreement with the host institution. There are no monetary costs to the department. In addition to being recommended for admission by the DGS, the exchange student must be admitted to The Graduate School through the regular channels.

## J. Student Response to an Offer of Admission

Once a candidate accepts or declines an offer of admission, their record in Slate will update accordingly. The department staff should notify The Graduate School whenever they receive an applicant's response to an offer of admission that is not reflected in Slate and should ask the applicant to officially record the response by entering the decision through the Applicant Portal in Slate

- 1. **Decision Deadlines:** The deadline for officially accepting the offer of admission is April 15 or two weeks from the receipt of the admission notification, whichever is later.
  - a. Duke University is a signatory of the Council of Graduate Schools resolution regarding student obligation for accepting financial support prior to April 15. Under the resolution, students are under no obligation to respond to offers prior to April 15.
  - b. If the given deadline passes, and the graduate admissions office has not heard from the applicant, the applicant will be administratively withdrawn.
- 2. **If the applicant *declines*:** Applicants are asked to officially decline offers of admission from their Slate Applicant Portal. The graduate admissions office will track decline reasons and make them available in the yearly report. Application information will be stored by The Graduate School for one year, should the applicant decide to reapply.
- 3. **If the applicant *accepts*:** Applicants are asked to officially accept offers of admission using their Slate Applicant Portal. **The matriculation process cannot start until the student has accepted the offer online.**



### What if an applicant wants to defer to a future term?

*All deferral requests must begin at the department level, with the applicant emailing their request with specific rationale. If the DGS supports an applicant's deferral request, then the DGS must submit the request through our form in Slate (guide provided in our Box folder [here](#)). The DGS's request must state a legitimate reason for the deferral and the length of the requested deferral period (no more than one year from the admission term). This request will be reviewed and decisioned by the Associate Dean for Admissions. Deferrals are seldom granted and most likely the applicant will need to reapply.* The Graduate School defers

the applicant's accepted offer and not their admission offer. Valid reasons for a deferral include health issues, visa issues beyond the student's control, or military service. The official steps for a deferral request can be found on our webpage [here](#).

## K. Steps to Matriculation

After the applicant accepts the admission offer online, the matriculation process proceeds as follows:

1. The graduate admissions office sends the student an email requesting **official, confidential transcripts** from each institution listed in the online application. Once the official transcripts are received, an Admissions Specialist compares the grades and GPAs listed in the official transcripts to those listed in the student's unofficial transcripts. The graduate admissions office also checks the official transcripts to confirm that any degrees the student was expected to receive have been conferred.



### **IMPORTANT:**

*The Graduate School reserves the right to rescind any offer of admission if any discrepancies are found between the unofficial transcripts uploaded to the application and the official transcripts received from the student's educational institutions. If proof of the awarding of the undergraduate degree is not on file by mid-semester of the student's first enrollment term, registration for the following term will be blocked.*

2. A Department Specialist guides incoming students who are not U.S. citizens or U.S. Permanent Residents through the **visa process**.
  - a. Each applicant receives an email with instructions for submitting a Visa Services web form request for either an I-20 form (for an F-1 Student visa) or a DS-2019 form (for a J-1 Visiting Scholar visa).
  - b. After submitting the web form, the student is asked to send the following documents directly to The Graduate School:
    - i. Visa Services web form Signature Page
    - ii. photocopy of passport
    - iii. copies of previous visas (if applicable)
    - iv. proof of funding\* (often the Duke admit/award letter)

\*U.S. immigration law requires that Duke University have documented evidence that a student has adequate financial resources to cover the estimated cost of attendance as determined by the Office of Financial Aid for one year. A self-funded student must submit an official bank statement demonstrating an adequate balance. If a student is sponsored by a parent or organization, he or she must also submit a signed sponsor's statement.



## How does Duke's financial support of an international student impact the visa process?

If an international student will be receiving financial support from Duke that is not reflected in the admission letter sent by The Graduate School, please notify the graduate admissions office of this fact as soon as possible so that the student's visa request can be processed. Questions concerning financial support should be directed to The Graduate School's Office of Financial Aid.

3. After all required documentation has been received, a graduate admissions staff member will matriculate the student. In the case of U.S. students, matriculation occurs upon receipt of all required official transcripts. In the case of international students, matriculation occurs upon receipt of required visa documentation and official transcripts.

## L. Information for Admitted Students

The admission letter directs newly admitted students to their Slate Applicant Portal. Once the student has accepted their offer, their Portal will populate with the graduate student checklist also available on our website, which will help admitted students track any necessary paperwork they must complete before the beginning of their program.

*(<http://gradschool.duke.edu/admissions/admitted-students>) The graduate admissions office does not send any new student information through the mail.*

1. **NetID:** OIT distributes NetIDs to incoming students via email upon matriculation. Generally speaking, the activation email reaches the student within three business days. The student is then able to activate their NetID and email account. The activation email is re-sent every two weeks until the NetID is activated. If a matriculated student has not received the email, ask the student to contact the OIT help desk.
2. **DukeCard:** All Duke students are expgro.

### 3. Health Requirements

- a. **Proof of Immunization:** North Carolina law requires all students enrolled in colleges or universities in this state to present proof of certain required immunizations on or before the first day of matriculation. To access the immunization form, an admitted student will need a Duke NetID and password. Students' questions about immunization requirements should be directed to Student Health ([Student Health Immunization Compliance](#)).
- b. **Health Insurance:** Information concerning health insurance, including details about plan coverage, contact information, claims submission, and dependent coverage is available from Student Health ([Student Affairs Health Insurance](#)).

- 4. Housing:** A limited amount of on-campus housing is available for first-year non-U.S. citizen grad students. A wide variety of housing is available off campus. Students should consult the [Graduate and Professional Student housing](#) website for details on the various types of housing available both on and off campus.
- 5. Orientation:** Orientation Week is typically held the last full week of August. The presence of ALL newly admitted graduate students is strongly encouraged at Graduate Student Orientation. More information about Graduate School orientation events can be found at [Graduate School Orientation Week](#).
- 6. English Language Placement Exams:** The Graduate School requires that students whose first language is not English demonstrate proficiency in academic English by taking [oral and written exams](#) upon their arrival at Duke. The exams are typically given each semester in the week prior to the beginning of classes, and students must arrive at Duke in time to take them. The Pratt School of Engineering manages the English language placement for all students attending Pratt.

Non-degree students are exempt from the exam requirements. Exemption requests for other students are handled on an individual basis according to the criteria listed on the [EIS website](#). Questions can be directed to Brad Teague, EIS Assistant Dean/Director at [brad.teague@duke.edu](mailto:brad.teague@duke.edu).

## **MASTER'S NO AWARD POSSIBLE LETTER (TEMPLATE)**



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

Due to limited departmental funding, we are unable to offer you a Duke scholarship for pursuit of this degree. Please know that this lack of funding in no way reflects our view of your credentials or your ability to succeed as a master's student. If you require funding for your studies, we encourage you to research master's funding opportunities online (The Graduate School's [Find Funding](#) page is a good place to start) and to apply for any relevant opportunities as early as possible.

Information regarding Duke University requirements, course registration, housing, disability services, cost of attendance, and other important matters can be found online at our [admitted student website](#) and our [financial aid website](#).

This admissions offer is valid until {Enrollment-Response-Deadline}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

Admission to a master's program is a significant personal and professional milestone. Congratulations, once again, on this outstanding accomplishment.

Sincerely,

Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education



## MASTER'S DEPARTMENT NOTIFIES OF AWARD LETTER (TEMPLATE)



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

Details of your financial support package will be sent to you directly by your admitting department or program under separate cover. Information regarding Duke University requirements, course registration, housing, disability services, cost of attendance, and other important matters can be found online at our [admitted students website](#) and our [financial aid website](#).

In October 2019, the Council of Graduate Schools (CGS) renewed the Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants, which outlines student rights and obligations concerning acceptance of offers of financial support. A copy of this resolution can be accessed on the [CGS website](#).

This admissions offer is valid until {Enrollment-Response-Deadline}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

Admission to a master's program is a significant personal and professional milestone. Congratulations, once again, on this outstanding accomplishment.

Sincerely,



Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## MASTER'S NO MENTION OF AWARD LETTER (TEMPLATE)



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

Information regarding Duke University requirements, course registration, housing, disability services, cost of attendance, and other important matters can be found online at our [admitted student website](#) and our [financial aid website](#).

This admissions offer is valid until {Enrollment-Response-Deadline}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

Admission to a master's program is a significant personal and professional milestone. Congratulations, once again, on this outstanding accomplishment.

Sincerely,

Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## **MASTER'S EXTERNAL FUNDING LETTER (TEMPLATE)**



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

I understand that you have applied for or have been awarded an external fellowship and congratulate you on that as well. If you have been awarded an external fellowship, and have your award documentation, please complete the Graduate School Financial Aid Office's [External Funding Intake Form](#).

Details of your financial support package will be sent to you directly by your admitting department or program under separate cover. Information regarding Duke University requirements, course registration, housing, disability services, cost of attendance, and other important matters can be found online at our [admitted students website](#) and our [financial aid website](#).

This admissions offer is valid until {Enrollment-Response-Date}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

Admission to a master's program is a significant personal and professional milestone. Congratulations, once again, on this outstanding accomplishment.

Sincerely,

A handwritten signature in black ink, appearing to read "John".

Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## PHD EXTERNAL FUNDING LETTER (TEMPLATE)



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

I understand that you have applied for or have been awarded an external fellowship and congratulate you on that as well. If you have been awarded an external fellowship, and have your award documentation, please complete the Graduate School Financial Aid Office's [External Funding Intake Form](#). Be assured that our financial aid office will work with your external funding source, and your department, to ensure that you receive a full tuition scholarship and fellowship package that is at or above the level of your standard departmental award through at least the fifth consecutive year of your doctoral studies since your matriculation term, provided you maintain satisfactory academic progress.

Information regarding Duke University requirements, course registration, housing, disability services, and other important matters can be found [online](#). In addition you will have access to the many [professional development programs](#) and [student support services](#) of The Graduate School, all of which are designed to help you succeed here at Duke and beyond.

Your admitting department will communicate its expectations for teaching training and research training with you directly. After the fifth year, you are responsible for tuition and fees, but you will have the opportunity to apply for a sixth-year tuition scholarship from your graduate program if no other funding source is available. You can find more information about our financial support on our [financial aid website](#). [Click here](#) for a full breakdown of the cost of attendance. I also encourage you to speak with your program's director of graduate studies if you have questions about departmental funding.

As a member of the Duke graduate community, we expect you to make a good faith effort to apply for all possible institutional and external scholarships and fellowships available to students in your field, and we commend your current efforts in this regard. Not only do external scholarships and awards support The Graduate School's commitment to provide five consecutive years of full support for all Ph.D. students,

they are also a prestigious and valuable acknowledgement of your research and scholarship. In the event that you are successful in the competition for an external scholarship or fellowship that can be used for your first year of study, we expect that you will accept that award in place of Duke's support package and notify us accordingly. To ensure that your acceptance of any external award does not put you at a financial disadvantage, The Graduate School will work with your department to supplement the external fellowship, as needed, to bring your support to at least the total amount outlined in the offer of financial support.

Health insurance is required for all Duke students. Dental insurance is not required, but an optional benefit. If you choose to enroll in Duke's student medical insurance plan (Duke SMIP) or the dental insurance plan, The Graduate School will cover the cost of your individual premium through the first six consecutive years.

Information on both insurance plans can be found at <https://gradschool.duke.edu/medical-dental>. International students holding F-1 or J-1 visas are required to enroll in the Duke SMIP. Domestic students may choose not to enroll in the Duke plan; however, those who do not enroll must meet the [waiver criteria](#) and provide proof of comparable alternative insurance coverage.

In October 2019, the Council of Graduate Schools (CGS) renewed the Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants, which outlines student rights and obligations concerning acceptance of offers of financial support. A copy of this resolution can be accessed on the [CGS website](#).

This admissions offer is valid until {Enrollment-Response-Deadline}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

Admission to a Ph.D. program is a significant personal and professional milestone. Congratulations, once again, on this outstanding accomplishment.

Sincerely,



Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## PHD RESEARCH ASSISTANTSHIP LETTER (TEMPLATE)



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

As a student in the program, you will receive a first-year financial award that consists of a tuition and fee scholarship, student health and dental insurance coverage, and a stipend. As part of Ph.D. training, we believe one needs to engage in research training by being a research assistant in your first year. Your department will provide more information on research assistant expectations as well as other particulars specific to your department. In addition you will have access to the many [professional development programs](#) and [student support services](#) of The Graduate School, all of which are designed to help you succeed here at Duke and beyond.

Details of your first-year financial support package are listed at the bottom of this letter. As part of your financial support, after the first year you may be required to conduct further research training and/or teaching training. Your admitting department will inform you of any such training requirements within the next five business days. Information regarding Duke University requirements, course registration, housing, disability services, and other important matters can be found [online](#).

The Graduate School and your department will ensure that you are supported through at least the fifth year since your matriculation term -- which means you will be provided with the standard departmental stipend and tuition and fees scholarships for those years -- provided that you remain in good academic standing, complete your department's teaching or research training requirements, and are making satisfactory progress toward your degree. Your admitting department will communicate its expectations for teaching and research training with you directly. After the fifth year, you are responsible for tuition and fees, but you will have the opportunity to apply for a sixth-year tuition scholarship from your graduate program if no other funding source is available. You can find more information about our financial support on our [financial aid website](#). [Click here](#) for a full breakdown of the cost of attendance. I also encourage you to speak with your program's director of graduate studies if you have questions about departmental funding.

As a member of the Duke graduate community, we expect you to make a good faith effort to apply for all possible institutional and external scholarships and fellowships available to students in your field. Not only do external scholarships and awards support The Graduate School's commitment to provide five consecutive years of full support for all Ph.D. students, they are also a prestigious and valuable acknowledgement of your research and scholarship. In the event that you are successful in the competition for an external scholarship or fellowship that can be used for your first year of study, we expect that you will accept that award in place of Duke's support package and notify us accordingly. To ensure that your acceptance of any external award does not put you at a financial disadvantage, The Graduate School will work with your department to supplement the external fellowship, as needed, to bring your support to at least the total amount outlined in the offer of financial support.

The tuition and fee scholarship, as well as your individual health and dental insurance premium, will be disbursed directly to your student account. Your stipend will be distributed monthly beginning in August. You should, therefore, plan accordingly for your arrival in August.

Health insurance is required for all Duke students. Dental insurance is not required, but an optional benefit. If you choose to enroll in Duke's student medical insurance plan (Duke SMIP) or the dental insurance plan, The Graduate School will cover the cost of your individual premium through the first six consecutive years. Information on both insurance plans can be found at <https://gradschool.duke.edu/medical-dental>. International students holding F-1 or J-1 visas are required to enroll in the Duke SMIP. Domestic students may choose not to enroll in the Duke plan; however, those who do not enroll must meet the [waiver criteria](#) and provide proof of comparable alternative insurance coverage.

In October 2019, the Council of Graduate Schools (CGS) renewed the Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants, which outlines student rights and obligations concerning acceptance of offers of financial support. A copy of this resolution can be accessed on the [CGS website](#).

This admissions offer is valid until {Enrollment-Response-Deadline}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

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Sincerely,



Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education



## PHD STANDARD FELLOWSHIP LETTER (TEMPLATE)



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

As a student in the program, you will receive a first-year financial award that consists of a tuition and fee scholarship, student health and dental insurance coverage, and a fellowship stipend. In addition you will have access to the many [professional development programs](#) and [student support services](#) of The Graduate School, all of which are designed to help you succeed here at Duke and beyond.

Details of your first-year financial support package are listed at the bottom of this letter. As part of your financial support, after the first year you may be required to conduct further teaching training and/or research training. Your admitting department will inform you of any such training requirements within the next five business days. Information regarding Duke University requirements, course registration, housing, disability services, and other important matters can be found [online](#).

The Graduate School and your department will ensure that you are supported through at least the fifth year since your matriculation term -- which means you will be provided with the standard departmental stipend and tuition and fees scholarships for those years -- provided that you remain in good academic standing, complete your department's teaching or research training requirements, and are making satisfactory progress toward your degree. Your admitting department will communicate its expectations for teaching and research training with you directly. After the fifth year, you are responsible for tuition and fees, but you will have the opportunity to apply for a sixth-year tuition scholarship from your graduate program if no other funding source is available. You can find more information about our financial support on our [financial aid website](#). [Click here](#) for a full breakdown of the cost of attendance. I also encourage you to speak with your program's director of graduate studies if you have questions about departmental funding.

As a member of the Duke graduate community, we expect you to make a good faith effort to apply for all possible institutional and external scholarships and fellowships available to students in your field. Not only do external scholarships and awards support The Graduate School's commitment to provide five consecutive years of full support for all Ph.D. students, they are also a prestigious and valuable acknowledgement of your research and scholarship. In the event that you are successful in the

competition for an external scholarship or fellowship that can be used for your first year of study, we expect that you will accept that award in place of Duke's support package and notify us accordingly. To ensure that your acceptance of any external award does not put you at a financial disadvantage, The Graduate School will work with your department supplement the external fellowship, as needed, to bring your support to at least the total amount outlined in the offer of financial support.

The tuition and fee scholarship, as well as your individual health and dental insurance premium, will be disbursed directly to your student account. Your stipend will be distributed monthly beginning in August. You should, therefore, plan accordingly for your arrival in August.

Health insurance is required for all Duke students. Dental insurance is not required, but an optional benefit. If you choose to enroll in Duke's student medical insurance plan (Duke SMIP) or the dental insurance plan, The Graduate School will cover the cost of your individual premium through the first six consecutive years. Information on both insurance plans can be found at <https://gradschool.duke.edu/medical-dental>. International students holding F-1 or J-1 visas are required to enroll in the Duke SMIP. Domestic students may choose not to enroll in the Duke plan; however, those who do not enroll must meet the [waiver criteria](#) and provide proof of comparable alternative insurance coverage.

In October 2019, the Council of Graduate Schools (CGS) renewed the Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants, which outlines student rights and obligations concerning acceptance of offers of financial support. A copy of this resolution can be accessed on the [CGS website](#).

This admissions offer is valid until {Enrollment-Response-Deadline}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope. In addition, you will be asked to submit your final transcript from Duke University with the degree conferral information after your graduation in December of 2022.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

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Sincerely,



Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## PHD TEACHING ASSISTANTSHIP LETTER (TEMPLATE)



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

I am pleased to inform you that you have been admitted to Duke University's Electrical and Computer Engineering - Ph.D. program for the 2024 fall term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

As a student in the program, you will receive a first-year financial award that consists of a tuition and fee scholarship, student health and dental insurance coverage, and a departmental stipend. As part of Ph.D. training, we believe one needs to practice the art of teaching by being a teaching assistant. Your department will provide more information on teaching assistant expectations as well as other particulars specific to your department. In addition to the support outlined above, you will have access to the many [professional development programs](#) and [student support services](#) of The Graduate School, all of which are designed to help you succeed here at Duke and beyond.

Details of your first-year financial support package are listed at the bottom of this letter. As part of your financial support, after your first year you may be required conduct further teaching training and / or research training. Your admitting department will inform you of any such training requirements.

Information regarding Duke University requirements, course registration, housing, disability services, and other important matters can be found [online](#).

The Graduate School and your department will ensure that you are supported through at least the fifth year since your matriculation term -- which means you will be provided with the standard departmental stipend and tuition and fees scholarships for those years -- provided that you remain in good academic standing, complete your department's teaching or research training requirements, and are making satisfactory progress toward your degree. Your admitting department will communicate its expectations for teaching and research training with you directly. After the fifth year, you are responsible for tuition and fees, but you will have the opportunity to apply for a sixth-year tuition scholarship from your graduate program if no other funding source is available. You can find more information about our

financial support at our [financial aid website](#). [Click here](#) for a full breakdown of the cost of attendance. I also encourage you to speak with your program's director of graduate studies if you have questions about departmental funding.

As a member of the Duke graduate community, we expect you to make a good faith effort to apply for all possible institutional and external scholarships and fellowships available to students in your field. Not only do external scholarships and awards support The Graduate School's commitment to provide five consecutive years of full support for all Ph.D. students, they are also a prestigious and valuable acknowledgement of your research and scholarship. In the event that you are successful in the competition for an external scholarship or fellowship that can be used for your first year of study, we expect that you will accept that award in place of Duke's support package and notify us accordingly. To ensure that your acceptance of any external award does not put you at a financial disadvantage, The Graduate School will work with your department to supplement the external fellowship, as needed, to bring your support to at least the total amount outlined in the offer of financial support.

The tuition and fee scholarship, as well as your individual health and dental insurance premium, will be disbursed directly to your student account. Your stipend will be distributed monthly beginning in August. You should, therefore, plan accordingly for your arrival in August.

Health insurance is required for all Duke students. Dental insurance is not required, but an optional benefit. If you choose to enroll in Duke's student medical insurance plan (Duke SMIP) or the dental insurance plan, The Graduate School will cover the cost of your individual premium through the first six consecutive years. Information on both insurance plans can be found at <https://gradschool.duke.edu/medical-dental>. International students holding F-1 or J-1 visas are required to enroll in the Duke SMIP. Domestic students may choose not to enroll in the Duke plan; however, those who do not enroll must meet the [waiver criteria](#) and provide proof of comparable alternative insurance coverage.

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Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

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Sincerely,



Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## **PHD DEPARTMENT NOTIFIES OF SERVICE LETTER (TEMPLATE)**



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

I am pleased to inform you that you have been admitted to Duke University's {Academic-Plan} program for the {Admit-Term} term. Duke University operates with a highly selective admissions policy, and I congratulate you upon this positive decision.

Details of your first-year financial support package are listed at the bottom of this letter. Information regarding Duke University requirements, course registration, housing, disability services, and other important matters can be found [online](#). In addition you will have access to the many [professional development programs](#) and [student support services](#) of The Graduate School, all of which are designed to help you succeed here at Duke and beyond.

The Graduate School and your department will ensure that you are supported through at least the fifth year since your matriculation term -- which means you will be provided with the standard departmental stipend and tuition and fees scholarships for those years -- provided that you remain in good academic standing, complete your department's teaching or research training requirements, and are making satisfactory progress toward your degree. Your admitting department will communicate its expectations for teaching and research training with you directly. After the fifth year, you are responsible for tuition and fees, but you will have the opportunity to apply for a sixth-year tuition scholarship from your graduate program if no other funding source is available. You can find more information about our financial support on our [financial aid website](#). [Click here](#) for a full breakdown of the cost of attendance. I also encourage you to speak with your program's director of graduate studies if you have questions about departmental funding.

As a member of the Duke graduate community, we expect you to make a good faith effort to apply for all possible institutional and external scholarships and fellowships available to students in your field. Not only do external scholarships and awards support The Graduate School's commitment to provide five consecutive years of full support for all Ph.D. students, they are also a prestigious and valuable acknowledgement of your research and scholarship. In the event that you are successful in the competition for an external scholarship or fellowship that can be used for your first year of study, we expect that you will accept that award in place of Duke's support package and notify us accordingly. To ensure that your acceptance of any external award does not put you at a financial disadvantage, we will

supplement the external fellowship, as needed, to bring your support to at least the total amount outlined in the offer of financial support.

The tuition and fee scholarship, as well as your individual health and dental insurance premium, will be disbursed directly to your student account. Your stipend will be distributed monthly beginning in August. You should, therefore, plan accordingly for your arrival in August.

Health insurance is required for all Duke students. Dental insurance is not required, but an optional benefit. If you choose to enroll in Duke's student medical insurance plan (Duke SMIP) or the dental insurance plan, The Graduate School will cover the cost of your individual premium through the first six consecutive years.

Information on both insurance plans can be found at <https://gradschool.duke.edu/medical-dental>. International students holding F-1 or J-1 visas are required to enroll in the Duke SMIP. Domestic students may choose not to enroll in the Duke plan; however, those who do not enroll must meet the [waiver criteria](#) and provide proof of comparable alternative insurance coverage.

In October 2019, the Council of Graduate Schools (CGS) renewed the Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants, which outlines student rights and obligations concerning acceptance of offers of financial support. A copy of this resolution can be accessed on the [CGS website](#).

This admissions offer is valid until {Enrollment-Response-Deadline}. Please accept or decline this offer using your Applicant Portal. If you choose to accept this offer and have not yet submitted your official, confidential transcripts, please do so as soon as possible. Official transcripts must be sent to The Graduate School directly from the institution issuing the transcript, or by the student in a sealed envelope bearing the institution's stamp on the outside of the envelope.

Through this offer of admission, we are expressing our confidence that you will excel in your chosen field. I hope you will decide to enroll at Duke and contribute to the work of our scholarly community. If you have any questions about your admission offer, please contact the graduate admissions office at (919) 684-3913 or [grad-admissions@duke.edu](mailto:grad-admissions@duke.edu).

Admission to a Ph.D. program is a significant personal and professional milestone. Congratulations, once again, on this outstanding accomplishment.

Sincerely,



Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## **DENY LETTER (SAMPLE)**



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

Your application and supporting documents have been carefully reviewed by the {Academic-Plan} department and by The Graduate School. As is often the case, the number of well-qualified applicants for admission to the Duke University Graduate School far exceeds the number of available places. Consequently, we are unable to admit all applicants judged capable of successful graduate work, and I regret that we cannot offer you admission to the {Academic-Plan} program.

Thank you for giving us the opportunity to consider your application. I wish you the very best in your future career.

Sincerely,

A handwritten signature in black ink, appearing to read "Suzanne Barbour".

Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## **DENY FROM WAITLIST LETTER (SAMPLE)**



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

We previously informed you that your application was sufficiently strong to allow for the possibility of admission if additional spaces became available in the {{Academic-Plan}} program. The number of excellent applicants to The Graduate School and our policy of limited enrollment have made it impossible for us to offer admission to more than a small number of the applicants who applied. I regret that our class is now full and we are unable to offer you admission.

Thank you for giving us the opportunity to consider your application. I wish you the very best in your future career.

Sincerely,

A handwritten signature in black ink, appearing to read "Suzanne Barbour".

Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

## WAITLIST LETTER (SAMPLE)



{Decision-Released-Date}

{First} {Last}  
{Address Block}

Dear {First} {Last},

We have reviewed your application to the {{Academic-Plan}} program for the {{Admit-Term}} term and are impressed by your credentials. While we cannot offer you admissions at this time, your application is sufficiently strong to allow for the possibility of admission at a later date. Your name has therefore been placed on an alternate list from which we will choose if vacancies occur.

Please accept or decline your space on the alternate list by logging into your Applicant Portal within the next 15 days. Once you have accepted, we will notify you promptly by email if a vacancy should occur. If you make other plans for the next year, please notify us by logging into your Applicant Portal and declining your spot on the alternate list. We appreciate having had the opportunity to review your application.

Sincerely,

A handwritten signature in black ink, appearing to read "Suzanne Barbour".

Suzanne Barbour, Ph.D.  
Dean of The Graduate School  
Vice Provost for Graduate Education

# **DEPARTMENTAL SERVICE REQUIREMENTS LETTER**

## **INSTRUCTIONS & TEMPLATE**

### **Instructions for service requirements letter**

- **List the service requirements for years 1 through 5 of Ph.D. study.** We understand that you may not know exactly what future service requirements will be, but please outline your expectations as best you can right now.
- **Be sure to state whether the departmental service requirements are for academic or compensatory purposes.** To prevent errors and financial liability to your department, please do not reference funding amounts (i.e. dollar amounts) in your service requirement letters. Note that first-year funding details are already included in the student's Applicant Self-Service account.
- **Inform the student that (s)he will receive an annual reappointment letter at the beginning of each subsequent academic year.** (You can and should include financial amounts in these reappointment letters. Guidelines for the reappointment letter are in Chapter 4, Part F, item 2 of the DGS Manual:  
[https://gradschool.duke.edu/sites/default/files/documents/dgs\\_manual\\_ch04.pdf](https://gradschool.duke.edu/sites/default/files/documents/dgs_manual_ch04.pdf).)
- **Include contact information for the department's DGSA, in case students have follow-up questions.**

### **Service requirements letter template**

A service requirements letter template is included on the next page. You can modify the blue fields in the template as needed to suit your department's circumstances.

The template is not meant to be 100% "prescriptive." Please personalize the language in accordance with your department's requirements and communication style. (The wording of the first, second, and sixth paragraphs, in particular, will most likely vary substantially by department.) You should pay special attention to the details included in paragraphs 3 through 5, but you do not have to use the same exact wording provided in the template.

If you are already sending a welcome letter, you do not need to send a separate letter about service requirements. You can simply merge the details about service requirements into your welcome letter.

Dear [Student Name]:

On behalf of the [Program Name] department, I congratulate you on being admitted to the [Program Name] Ph.D. program. We understand that you may be facing a number of competing offers and deadlines, but we hope that you will thoughtfully consider our offer to join the intellectual community at Duke.

The Graduate School has already sent you an official admission offer, as well as instructions for accepting admission and accessing financial award details in your Applicant Portal. This letter outlines the service requirements of your admission offer.

As noted in your admission offer, the [Program Name] department, in conjunction with The Graduate School and external funding entities, will support you at or above the standard departmental stipend level and cover your tuition and fees for five years. Your funding for the first academic year, [date range], will consist of a [fellowship/teaching assistantship/research assistantship/graduate assistantship]. Your [fellowship/teaching assistantship/research assistantship/graduate assistantship] stipend will be paid to you in equal monthly installments on the [last workday of the month/25<sup>th</sup> of the month], beginning in [month and year]. [If necessary, also state the following: *As a condition of accepting the teaching assistantship/research assistantship/graduate assistantship, you must provide evidence of employability as required by federal government regulations.*]

Funding for the second through the fifth years of Ph.D. study will be provided through a combination of [fellowship/teaching assistantship/research assistantship/graduate assistantship] funds. At the beginning of each of those years, you will receive an annual reappointment letter describing the financial support and service requirements for that year. Note that, as part of their [academic/funding] requirements, all Ph.D. students in the [Program Name] department are expected [to teach/to do research/to provide faculty assistance] for [specified number] semesters. This [teaching/research/faculty assistance] requirement must be met during [specified timeframe] of your graduate studies.

To receive the funding support described in this letter, you must remain in good academic standing, fulfill all departmental service requirements, and be making satisfactory progress toward your degree.

We look forward to welcoming you to the [Program Name] department. If you have any questions about the program or your admission offer, please contact me directly or our department's program coordinator, [Name of DGS&A], at [contact number or email address].

Sincerely,

[Signature of Director of Graduate Studies]

Director of Graduate Studies

# DGS Manual

## Chapter 4. Budgets & Finance

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*As Director of Graduate Studies, you are responsible for managing the resources available for the support of graduate students, for understanding the different mechanisms by which graduate students are paid, and for reporting information about graduate student support to and from The Graduate School (TGS).*

## A. STUDENT CHARGES

### 1. PhD Tuition

PhD students are charged tuition based on a flat rate per semester: fall, spring and summer. During the summer and after the third year of study, the PhD flat rate is substantially less, which reflects the fact that PhD students typically do not take classes during the summer term nor following completion of their preliminary examination. Tuition and Fee [rates](#) for PhD Students can be found on TGS website.

### 2. Master's Tuition

Master's students are also charged tuition based on a flat rate per semester: fall, spring and summer. The full-time master's summer flat rate will be one-half the fall/spring rate for each summer term I and II. Master's students who are enrolled less than full-time in each summer session will be charged at a per credit rate.

Master's students are required to enroll in and pay tuition for at least three semesters of full-time study. Thereafter, students will be charged at an estimated per credit rate.

Tuition and Fee [rates](#) for Master's Students can be found on TGS website.

### 3. Mandatory Fees

Fees for the use of University services (e.g., health, recreation, transcript, student activity, and student services fees) are also charged on a per-term basis. TGS provides scholarships for all mandatory fees charged to PhD students during the first five years of study at Duke. The recreation fee for students studying on the Beaufort Marine Lab Campus is mandatory for all years of study. The recreation fee for PhD students studying in Durham is mandatory for the first three years of study. PhD students in years 4 and 5 of study have access to the campus recreation centers, but the recreation fee is not charged directly to their accounts.

PhD students beyond the fifth year of study are required to opt in if they wish to continue using the campus recreation centers (e.g., the Wilson and Brodie gyms). If a student chooses to use the facilities, their student account will be charged a recreation fee per six-month period (July 1–December 31 & January 1–June 30) and they will be financially responsible for paying this fee through their student account (similar to parking, flex account, and other incidental student charges).

In some cases, health and recreation fee waivers can be granted for students who are not studying on the Durham or Beaufort Marine Lab campuses. Requests for waivers must be submitted prior to the start of each semester, and no later than the last day of drop/add for the term. Waivers are not automatically renewed and a new request must be submitted for each semester. Requests for health fee waivers should be emailed to [waiver-request@dm.duke.edu](mailto:waiver-request@dm.duke.edu). Please include the student's name and EMPLID, as well as the term for which the waiver is being requested.

#### 4. Summer Registration

Graduate Students must be registered for the graduate Continuation course in the Summer I term, if they are receiving financial support from Duke University that is related to their studies or who will be meeting an academic milestone at any point during the summer.

More information on summer registration can be found in the Graduate School Summer Registration [policy](#) posted on our website.

All students registered during the summer will be charged the summer health fee unless a waiver is granted for students who are not physically located on the Durham or Marine Lab campus, as noted above.



**Things to Note:** *The cost for summer graduate level classes that are related to the PhD student's course of study will be covered by the summer flat-rate tuition charge. PhD students who register for undergraduate courses that are unrelated to their course of study will be required to pay for those courses out of pocket at the standard rate. Students interested in summer course registration should discuss their plans with their DGS prior to enrollment.*

#### 5. Health and Dental Insurance

Duke University requires that all students have health insurance coverage during all enrolled terms. International students holding F-1 or J-1 visas are required to purchase the Duke student medical insurance plan (Duke SMIP). Domestic students may either purchase the Duke SMIP or request a waiver by demonstrating comparable health insurance coverage through another domestic plan.

All registered students are expected to enroll or waive SMIP coverage through DukeHub prior to the beginning of the plan year, which runs from August 1<sup>st</sup> to July 31<sup>st</sup>. Students who have not enrolled or provided proof of comparable health insurance coverage by September 15th of the plan year will be automatically enrolled and charged for the Duke plan at the individual student-only rate.

Student Dental Insurance Policy (SDIP) is an optional benefit for current students. Students can enroll online through the Student Health Dental Insurance [webpage](#).

The Graduate School will award scholarships for the individual SMIP and/or SDIP insurance premium for PhD students in the first six consecutive years from matriculation and PhD Research Assistants (RA) in any year of study who enroll. PhD students in years 1-6 or PhD Research Assistants in any year who RA for at least one semester (fall or spring) are also eligible for these scholarships while on leave of absence.

Health and dental insurance charges and Graduate School scholarships will be posted directly to the student's Bursar account. More information concerning the [policy](#) on insurance payments can be found on TGS website.

PhD students who are eligible for TGS health insurance premium scholarships, but who meet the [Student Health Waiver criteria](#) and choose to waive the Duke SMIP for the entire year in favor of another comparable plan will receive a \$600 stipend supplement \$600 in November. No stipend supplement is offered for waiving SDIP.

Master's students are financially responsible for the cost of health and dental insurance charges. More information on the Duke SMIP and SDIP, including, rates, coverage

benefits, dependent care coverage, and providers can be found on the Duke Student Health Insurance [site](#).

Questions concerning eligibility for insurance premium scholarships and payments in general should be directed to [grad-finaid@duke.edu](mailto:grad-finaid@duke.edu) in the Graduate School Office of Budgets and Finance.

## 6. Charge Posting

Charges are posted to student accounts and students are notified of the charges through bills sent by the Bursar's Office via Duke Email. Students can also view their accounts online through DukeHub. Additional information concerning charges and payments on student accounts can be found on the [Bursar website](#).

# B. STUDENT FINANCIAL SUPPORT

## 1. PhD Students

It is the expectation of TGS that PhD students will be fully supported for a minimum of five consecutive years, beginning with their year of matriculation, and provided, of course, that they are making satisfactory progress toward their degree.

PhD students are supported in a variety of ways. Funding may be in the form of fellowships, teaching or research training, or some combination of fellowship and training. Other students will receive competitive fellowships funded through Duke endowed gifts, external sponsors, private or government sources. In many of the basic medical science programs, students are appointed to training grants for their first two years of study and are thereafter required to train as research assistants funded by an advisor's research grant or other institutionally funded research project.

While financial commitments are made to PhD students for a set number of years, we expect all students to make a good faith effort to obtain external support at some point during their funding period and students should be encouraged to pursue these opportunities.

It is important to keep in mind that it is the endowed and external tuition funding that provide financial resources for departmental graduate awards budgets. Without external sources of tuition revenue, there would be no funds available to support departmental fellowship budgets. It is therefore essential that we encourage maximization of external funding whenever possible subject, of course, to Duke policy and external regulations.

## 2. Master's Students

It is the expectation of TGS that master's students will be fully responsible for ensuring that they have the means to support themselves, and the ability to pay tuition and fees due to the University.

Support for master's level students varies by program. Prospective and current students are encouraged to speak to the program director for specific details on the financial support packages available, along with any employment questions.

Duke University Graduate School financial aid packages for master students are limited to the federal financial aid offered by [Direct Lending Federal Loan Programs](#). In order to be considered for federal financial aid which includes federal work study funding; a student must complete the FAFSA application. The FAFSA (Free Application for Federal Student Aid) is required for any need-based loan program along with [federal work study](#). Below is one of the basic eligibility requirements to receive federal student aid:

- Be a United States Citizen or an eligible noncitizen
- A student who has a “green card” (in other words, if a student is a permanent resident alien), a student will be considered an “eligible noncitizen” and will be able to get federal student aid if the student meets the other basic eligibility criteria.

*When Making Awards to Individual PhD Students, Please Keep the Following General Information in Mind:*

#### 1. Leaves of Absence (LOA)

Students contemplating leaves of absence should be aware that, for financial purposes, all guarantees of financial support are calculated from the date of initial matriculation. For example, if a graduate program has stated that a student will be supported through the fifth year of graduate study and the student takes a leave of absence for one of those years, the student would forfeit one year of institutional support unless the graduate program has specifically communicated otherwise. PhD students in years 1-6 and Research Assistants in any year who RA for at least one semester (fall or spring) are eligible for Graduate School insurance support while on LOA.

#### 2. Recommended Minimum Stipend Levels

TGS establishes a recommended minimum stipend level each year for the different schools in order to maintain the competitiveness of its graduate awards relative to peer institutions. While departments are free to award stipends that are greater than the recommended minimum (within the constraints of their graduate awards budgets) departments that wish to award stipends that are, as a general rule, lower than the recommended minimum must have approval from the Dean of TGS.

#### 3. Stipend Supplementation

There are several means by which PhD students can supplement their standard departmental stipend award: certain Graduate School Fellowships for both incoming and continuing students, prizes and merit awards, supplementation of external fellowships, supplemental teaching or research training, and other assignments not related to their program of study. More detailed information concerning opportunities and limitations can be found in TGS PhD Stipend Supplementation [policy](#).

#### 4. TGS Competitive Fellowships and Other Awards

TGS offers a number of fellowships and awards available to both PhD and master's students. Please visit our Find Funding [webpage](#) for additional information.

Students may also win prizes and merit awards from outside TGS or from organizations external to Duke University. These types of awards may be accepted in addition to any Graduate School, departmental, or external fellowship stipend support package.

## C. DEPARTMENTAL GRADUATE AWARDS BUDGET PROCESS

Across all departments, graduate awards budgets are funded through a combination of graduate tuition revenues, institutional resources of the home school in which the program faculty reside, external fellowships, sponsored research projects, training grants, and graduate student fellowship endowments. Graduate awards budgets are structured in such a way that financial resources can be managed by controlling the number of incoming students a department is authorized to matriculate. Each year, there is a collaborative review of current year student funding projections for all schools with graduate programs, for the purpose of determining an appropriate incoming class size.

While this general planning process is the same for all departments, the specific methodology used to determine available resources for graduate awards budgets for individual departments and programs will vary by the school in which the program resides.

## D. ANNUAL BUDGET SUBMISSION

Each fall, departments will be asked to submit a budget proposal via the Graduate Student Funding (GSF) tool, for the following year. This budget proposal should list each continuing student, their proposed funding for the following year, and the proposed funding for the number of incoming students the department wishes to matriculate. During the budget process, there is a collaborative review of current year student funding, as reflected in the GSF tool, and comparison of projected commitments to continuing students. Based on the remaining funds available to support an incoming class and an analysis of external support patterns, the schools will authorize a number of students to be matriculated by the department in the coming year. Departments will be notified in writing as to the number of students they are authorized to matriculate and their student awards budget for the upcoming year.

## E. OTHER FUNDS AVAILABLE TO SCHOOLS

### 1. Federal Work-Study

Master students must complete the FAFSA to determine their eligibility for the Federal Work-Study award. These funds may be used to provide 75% of the funding for graduate students who show financial need and who are in teaching or graduate training roles in the department. The remaining 25% of the funding for these students must be distributed from University funds (i.e., the graduate student teaching assistant budget, or other departmental funds). Students must be certified as eligible to receive Federal Work-Study funds by TGS Office of Budgets & Finance.



***IMPORTANT:*** Departments wishing to take advantage of this additional funding source should contact [grad-finaid@duke.edu](mailto:grad-finaid@duke.edu) in TGS Office of Budgets & Finance for assistance in determining their students' eligibility.

## 2. Recruitment Budgets

PhD departments and programs may receive a recruitment allocation at the same time they receive authorization for an incoming class size. The allocation is determined by multiplying a rate per slot by the number of new students that the department is authorized to matriculate.

Recruitment budgets are appropriated from TGS to each department after incoming class sizes are determined, which generally is at the beginning of the recruitment season. These funds may be reduced or cancelled based on the available resources within the other schools and specific recruitment format changes. Following recruitment season, departments are required to submit a recruitment report to the Dean of TGS, summarizing recruitment initiatives, particularly those relating to recruitment of underrepresented groups, and statistics.

## F. FIRST-YEAR AWARD AND REAPPOINTMENT LETTERS TO PHD STUDENTS

TGS requires that all PhD students, both incoming and those returning for second and subsequent years of graduate study, receive an initial award or reappointment letter clearly specifying the student's financial support for the coming year.

### 1. First-Year PhD Award Letters

The Graduate Admissions Office will generate a Financial Aid Notification or offer of initial award for all first year PhD students with the offer of admission. This offer letter provides the necessary information to an admitted student to decide about matriculating at Duke. The goal of the initial award letter is to communicate to the student the level and type of support the student may expect to receive over the period of his or her graduate career.

### 2. Reappointment Letters

Departments are expected to provide written award letters to students entering their second and later years. Reappointment letters should fully describe the details of student funding and differentiate specifically between fellowship support and assistantship training (teaching and/or research).

*Please keep the following in mind when writing reappointment letters:*

- Reappointment letters should be clear in separating tuition and fee awards from fellowship stipend and TA/RA training support.
- Specific information about how the student's tuition, fees, and health insurance will be distributed, (i.e., directly to the Bursar's Office by TGS or whether the student is responsible for the payment), should be included.
- Amounts allocable for fellowship stipends and amounts allocable for teaching and/or research training should be clearly differentiated.
- Letters should include the date that the student will receive his or her first stipend and the number of months he or she will receive the payment, or a detailed payment schedule.

- Any information concerning specific assignments (i.e. courses, faculty, grants, named fellowships, etc.) should be provided, if known.

## G. STUDENT PAYMENTS THROUGH SISS AND UNIVERSITY PAYROLL

Once decisions about student support have been made, distribution of tuition, fees, fellowship stipends and assistantships must be initiated.

DGSAs (or designees within a department or program) are responsible for initiating data and submitting that data to TGS Office of Budgets & Finance.

Distributions of tuition, fees and health insurance from Duke University fund codes are posted directly to students' Bursar accounts through the GSF tool, which resides in the Duke University Student Information System (SISS). TGS and the SISS Office worked together to create a new structure that combined the best features of the former funding tool and the possibilities of what could be done in PeopleSoft. The Graduate Student Financials (GSF) tool is the result.

The GSF is designed to provide reporting at each important step, giving users in both the Departments and TGS an easy and intuitive tool for tracking student funding. DGSAs (or designees within a department or program) are responsible for entering funding information in the GSF tool and submitting that information to TGS Office of Budgets & Finance for review.

TGS Budgets and Finance Office staff will review and approve submitted data within GSF. It is imperative that distributions be posted in a timely manner to avoid late payment charges on student accounts. Changes to students' funding sources should also be made through the GSF tool.



**IMPORTANT:** The [GSF DGSA User Manual](#) (PDF) is designed to help users understand how to use GSF on a daily basis. A training video is also offered [GSF training video](#) (Recorded June 2020).

Stipend and assistantship distributions are made through University payroll systems. Fellowship stipends generally have no teaching or research training requirements and are distributed through the non-compensatory system near the last day of each month. Assistantship funding for teaching or research is made through the compensatory system and is generated near the 25<sup>th</sup> of each month.

### 1. Teaching Assistantships Training

All graduate departments and programs to support teaching training are encouraged to use the budgeted per-course rate established by Trinity College. The balance of the stipend should be processed as fellowship on the non-compensatory payroll system. This will better ensure consistency of pay rates for similar assignments across the graduate student population. Current Teaching Assistantship rates can be found on the TGS Tuition, Fee, and Stipend [schedule](#).

## 2. Research Assistantships Training

Stipend support for PhD student research training must be processed through the compensatory system. This, coupled with tuition remission and fringe benefits, must reflect appropriate support levels for research performed on the research grant or institutional research project. Student stipend support must be charged to each funding source in proportion to the level of effort expended. All iForms concerning changes in support for RAs will be routed through TGS Office of Budgets & Finance to ensure consistency in funding. More information on RA support and tuition remission can be found in the Tuition Remission [policy](#) on TGS website.

## 3. Tax Liability

Scholarships and fellowships are considered to be income under the Tax Reform Act of 1986. Students may exclude from this income the amount of the award paid for tuition and course-required fees, books, supplies and equipment. While students must report fellowship stipend distributions as income, there are no withholding or reporting requirements for the University.

- No taxes will be withheld from fellowship stipend distributions unless the student requests tax withholding.
- If a student requests tax withholding, fellowship stipends will be reported by the University to the IRS using a 1099-MISC form.
- If no withholding of taxes is requested, the student will receive a courtesy letter showing the total amount of fellowship stipends distributed to the student for the calendar year.

Research or teaching stipends, however, are subject to federal and state income taxation, even if the training is a requirement for the degree. Work-Study funds for research or teaching training are taxable as well.

- Students receiving this financial support are required to complete W-4 tax forms, and federal and state income taxes will be withheld.
- Registered students are not required to pay FICA (i.e., Social Security and Medicare) taxes nor does the University contribute the employer share.
- In order to remain exempt from payment of FICA taxes, students must remain registered for all semesters in which they are receiving compensatory stipends.



**IMPORTANT:** [Internal Revenue Service \(IRS\) Publication 970](#) provides specific information about tax deductions and credits available to graduate students. Faculty and staff may not provide tax advice to students. Students are encouraged to visit the [IRS](#) website or a tax professional for tax advice.

## 4. Placing Students on University Systems

Departments are responsible for initiating forms for fellowship stipends and assistantships. To initiate distributions of fellowship stipends, the department must complete a non-compensatory form for each student. These forms should be transmitted to the Corporate Payroll Office by the published deadlines in which the transaction is to

take place. International students must also complete an electronic Foreign National Form (FNF), which emailed to them by the Duke@Work system after the non-compensatory hire is initiated.



**IMPORTANT:** *Departments that want to make non-compensatory stipend distributions against any fund codes other than the standard departmental graduate awards funds (168-xxxx) must submit documentation (i.e. fellowship award or reappointment letters) to clarify the funding associated with the distribution.*

To initiate teaching and research assistantship distributions in the compensatory system, the department must complete iForms and an I-9 form for each student. Students must also submit W-4 forms for mandatory tax withholding.

One-time fellowship distributions may be made through the non-compensatory system with the appropriate paperwork. One-time distributions may also be made through the compensatory system by submitting a Supplemental Pay form via iForms.



**IMPORTANT:** *While non-compensatory forms include a place to indicate the beginning and end dates for distribution, forms used for the compensatory system do not. This means students who are teaching or research assistants during the academic year who are not receiving summer support must be entered at \$0 rate for the summer months. To enter a student at \$0 rate for the summer, departments must submit a Rate and Schedule Change iForm. When a student graduates or otherwise discontinues enrollment, a Termination iForm must be submitted to the Corporate Payroll Office to remove the student from the system entirely.*

Note that additional information concerning distribution policy and procedure, forms and schedules, training opportunities, contact information, etc., for both the non-compensatory and the compensatory payroll, can be found on the [Corporate Payroll Services](#) website.

## 5. TGS Monitoring Funding Expenses

DGSAs are expected to monitor graduate student funding expenses throughout the year to ensure that students are receiving financial support accurately and from the correct funding source. Actual monthly distribution detail is loaded into the GSF in order to facilitate this monitoring and review process. Note, however, any manual adjustments made during the year to payroll may require departmental reconciliation using SAP payroll data.

As stated earlier, TGS relies on accurate information from departments, regarding how students are being funded, for reporting and analysis. DGSAs should be diligent in ensuring that students are supported in accordance with departmental intentions.



**IMPORTANT:** *If you find that payroll expenses have been charged to an incorrect cost center, you must submit the appropriate paperwork to correct the error. Payroll errors that cannot be corrected in time for year-end close may result in your department having fewer resources available with which to support students.*

## H. GRADUATE SCHOOL FELLOWSHIPS AND AWARDS

TGS provides fellowships for incoming and continuing students, as well as a number of miscellaneous awards to support academic travel and dissertation research. As a DGS, you are responsible for:

- distributing fellowship announcements to current students,
- setting up a mechanism within your department for selecting the department's nominees,
- writing letters of nomination to the Dean for those selected, and
- ensuring your departments nominees have submitted completed application in the fellowship application online platform.

The departmental recommendations have proven to be critical to the success of a student's application, both for incoming and continuing fellowships. You should keep in mind that the selection committee is composed of a cross-section of scholars. It is very unlikely that more than one person on the committee will be familiar with the student's area of interest. Therefore, the recommendations should be specific about the strengths of the applicant and should describe why you think the student will succeed in his/her chosen field and how the applicant fits with the research agenda of the department.



**Things to Note:** *Full funding Graduate School fellowships that provide tuition, stipend, and fee support may not be held in conjunction with other funding – either compensatory or non-compensatory, without prior approval from TGS.*

## 1. Competitive Fellowships for Incoming PhD Students

Competitive fellowships for incoming PhD students are awarded during the admission process in order to recruit the best and brightest candidates for admission to our Graduate School. TGS will request nominations for these fellowships in January after all priority applications have been received and processed by the Office of Graduate Admissions.

Nominations are due in late January, and decisions will be communicated to candidates for admission and to departments in late February to early March.

Nominee application packages are generally reviewed by a subcommittee of the Executive Committee of the Graduate Faculty (ECGF), the Dean of TGS, and/or the Dean's delegates. The Graduate Admissions Office will notify awardees of the fellowship award, either with or subsequent to, the offer of admission.

The call for nominations will include specific instructions for submitting nominations to TGS. However, requirements and stipulations common to all or most fellowships are listed below:

- Directors of Graduate Studies should submit with each application a completed "Fellowship Nomination Form" indicating for which Graduate School Fellowship the candidate is being nominated and the candidate's ranking among the department's nominees.
- The department must also submit a letter supporting each applicant being nominated for a fellowship that requires a letter
- Students must be eligible for admission to the PhD program in TGS. We strongly recommend, although do not require, that fellowship nominees be offered admission prior to nomination. We recognize that due to the timing of evaluations and campus visits, admission decisions are not always known at the time fellowship

nominations are due. We expect, however, that departments will not nominate candidates who are unlikely to be offered admission or departmental awards.

- All fellows must register as full-time students throughout the tenure of the fellowship and must maintain satisfactory progress toward their degree.
  - Graduate School fellowships are provided to allow students ample time to focus on their PhD program requirements, not departmental training requirements, and the student's time must be protected for such activity.
2. Non-Competitive Fellowships for Incoming PhD Students

Most first and second year PhD students in Trinity College, School of Nursing and Sanford School of Public Policy are eligible to receive a non-competitive summer research fellowship. This fellowship award, provided only to students who have no other source of summer support, will fully cover the summer tuition and health fee and will provide a stipend to be paid in three equal installments during the summer. This award, which carries no teaching or research requirements, is contingent upon students remaining in good academic standing.



**Things to Note:** For information on specific fellowships, application criteria, and submission requirements, please visit our [Find Funding webpage](#), where you can narrow the list using a number of filters such as student status, funding source, and academic division.

3. Competitive Fellowships for Continuing Students

TGS offers a number of competitive fellowships for continuing students as well. In general, these fellowships are awarded to provide students with additional financial support, provide students in the Humanities and Social Sciences with summer research funding, and provide departments with additional funding to supplement their graduate awards budgets.

A call for nominations will be distributed by TGS in the fall with nominations due to TGS for the following academic year or summer.

The call for nominations will include specific instructions for submitting nominations to TGS. However, requirements and stipulations common to all or most fellowships are listed below:

- In general, students must have completed all degree requirements, and the preliminary exam, for consideration for a competitive Graduate School fellowship for continuing students (*see individual award announcements for exceptions to this eligibility requirement*).
- Students must register for continuation for all semesters during which they receive a fellowship stipend.
- Most fellowships will provide a scholarship to cover tuition, mandatory fees, in addition to the monthly stipend associated with the fellowship.

- For most academic year fellowships (excluding Summer Research Fellowships) TGS will also pay for one full year of medical insurance at the individual level, should the awardee choose to enroll in the Duke Student Medical Insurance Plan.
- Academic year stipends will generally be paid in equal monthly installments.
- Other than the Bass Instructional Fellowship Program, Graduate School Internships and Library Internships, no teaching or research is required of any Graduate School fellowship, nor may a student engage in any teaching or research assistantship during the term of their academic year fellowship. Graduate School fellowships are provided to allow students ample time to research and complete their dissertation and PhD program, and the student's time must be protected for such activity.



**IMPORTANT:** *No other external or internal fellowship may be held in conjunction with a Graduate School academic year full funding fellowship, except by the express written permission of the Dean of TGS.*

If a student wins both an external fellowship and a Graduate School fellowship, the student will be expected to accept the external fellowship. TGS will supplement the external fellowship up to the amount of TGS fellowship stipend, and will cover tuition, fees and health insurance to the extent that those are not provided by the external fellowship. Fellowships are awarded only for the specific term under consideration. Deferrals are generally not permitted.

A committee comprised of members from the Executive Committee of the Graduate Faculty (ECGF) evaluates and selects all applicants.

TGS Office of Budgets & Finance will notify departments and the students in approximately January for summer fellowships and February for academic year fellowships.

## I. PHD STUDENT FRINGE BENEFIT RATE

The fringe benefit rate for graduate student compensation was implemented to attribute the cost of health insurance to the source of students' compensatory stipend. Sharing the total cost of health insurance through the PhD student fringe benefit charge will allow a greater number of students to receive the health insurance payment as part of their stipend support package, thus making Duke's support packages more competitive.

The fringe benefit rate has been expanded to incorporate health and recreation fees in order to simplify the accounting for those two components of the student support package. Additional information on fringe benefit rates can be found on the Duke Financial Services [website](#).

### 1. Rate Determination

This rate is assessed on all PhD students' compensatory funding, (i.e. students receiving biweekly or monthly funding distributions). The fringe rate expense will post to account code 610700. Non- compensatory or fellowship stipends are not charged fringe benefits.



**Things to Note:** Find PhD current fringe benefit rates at [Tuition, Fee, and Stipend Schedule](#) on TGS website.

## 2. Enrollment Criteria

The PhD student fringe benefit rate will only be applied if the student is enrolled. If a research, graduate, or teaching assistant is not registered, both the student and the fund providing the student's funding will be charged FICA. The student will be charged at the rate of 7.65 percent which will be deducted from their stipend, and the department or grant (if allowable) at a higher fringe benefit rate of 7.7 percent. Once the student enrolls the fringe benefit rate will revert from 7.7 percent (FICA) to the current fringe benefit rate for PhD students.

## 3. Research Assistants

PhD students who are supported on institutional research grants or projects must be funded using G/L account 601200 and must have a position within the graduate and professional student personnel sub area (0006). The fringe benefit rate and tuition remission rate will be charged against this compensation and will need to be distributed by the grant or project.

## 4. Work-Study

Fringe benefits are not an allowable charge on the Federal Work-Study fund code. In this case the fringe benefit expense charged to the designated work-study code will be paid by TGS.

## J. TGS BUDGETS AND FINANCE CALENDAR

The following represents a general calendar of financial events that typically occur throughout an academic year. Note that this is not intended to be a comprehensive list but simply a guideline to assist you in planning your annual activities. \*from *The Graduate School*

### SEPTEMBER

- Deadline for submission of student iForms for the fall term
- PhD and master's scholarships posting continued\*
- GSF reviewed, updated and/or verified to reflect actual funding in preparation for fall variance projections to Provost
- Call for Continuing Student Fellowship nominations distributed\*

### OCTOBER

- Health insurance payments for eligible students posted to student accounts\*
- Budget instructions for next academic year distributed to departments\*
- Departments prepare graduate awards budget request
- Fall Variance report due to Provost using updated GSF data for year-end projections
- Departmental budget meetings
- Continuing Student Fellowship nominations due to Graduate School

### NOVEMBER

- Departments submit graduate student award budget proposals to Graduate School
- Budgets & Finance department review of graduate awards budget submissions
- Payment of health insurance waiver incentive

### DECEMBER

- GSF reviewed, updated and/or verified by DGSAs to reflect actual funding in preparation for spring variance projections to Provost.
- Approved number of incoming students communicated to departments

### JANUARY

- Deadline for submission of student iForms for the spring term
- Spring Variance report due to Provost using updated GSF data for year-end projections.
- Graduate Awards Budget finalized\*
- Graduate School tuition and fee rate proposal due to Provost\*
- Graduate School Budget due to Provost\*

- Competitive Summer Research Fellowships announced\*

## FEBRUARY

- Graduate School budget reviewed with Provost\*
- Registration for summer term begins
- Continuing Student Fellowship Awards announced

## APRIL

- Summer bills generated;
- Registration for fall term begins
- Final Graduate Award Allocation letters distributed to departments\*

## MAY

- Summer bills due
- Summer scholarships and tuition remission posted\*
- Incoming students are uploaded to the GSF
- Departments asked to review upcoming year GSF and graduate student payroll and update as necessary in preparation for fall/spring scholarship postings

## JUNE

- Deadline for submission of student iForms for the summer term
- Departments asked to review current year GSF and graduate student distributions and update as necessary in preparation for year end
- Fall bills generated
- Graduate School reconciles actual graduate awards expenditures preparation for year-end\*

## JULY

- Fiscal year end close

## AUGUST

- Year-end report due to Provost\*
- PhD and master's scholarships and tuition remission posted to student Bursar accounts\*

# **Chapter 5**

## **Graduate Student Affairs**

### **Enhancing the Quality of Graduate Student Life**

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## **A. Vision**

To create an environment of support that inspires Duke's graduate students to achieve their professional goals.

## **B. Mission**

To enhance the quality of graduate student life by working closely with individual students, student organizations, faculty, and other campus offices through seven core components: advocacy, communications, diversity, evaluation, outreach, programs, and student groups.

## **C. Core Objectives**

The core objectives of Graduate Student Affairs (GSA) are to assess student needs, build student support and resources, and identify, recruit, and retain a diverse student population. This is accomplished through comprehensive programming developed after evaluating students' needs, partnering with student groups, and actively recruiting and preparing underrepresented students to be fully engaged as Duke graduate students. GSA staff combines these program components with innovative outreach, high levels of communication, and advocacy to enhance the quality of graduate student life.

## **D. Program Components**

GSA hosts various programs that mark students' progress throughout their graduate careers.

- New Student Orientation aids students in their transition to Duke by providing information about the academic community, policies, and resources.
- The Graduate Student Resource Fair takes place during New Student Orientation and features representatives from various university offices and the local community.
- A Milestone Recognition Reception for PhD candidates honors those who pass preliminary examinations each year.
- During Commencement weekend, GSA hosts the PhD Hooding Ceremony, which celebrates the culmination of doctoral study.

## **E. Professional Development Programs**

GSA provides strategic leadership to ensure that Graduate School students can identify the full range of career options available to them and develop the transferable skills to succeed in those careers. The Graduate School sponsors and partners with groups and offices across campus to provide programs, resources, and professional development events to help students with every step along the way—from identifying potential career paths, to developing skills to compete for them, to managing their career. These offerings help prepare students for success in the full range of careers open to master's- and Ph.D.-prepared professionals. For an overview of Graduate School professional development programming, consult our [one-page handout](#) and [video introduction](#). For more information, visit The Graduate School's professional development website, [gradschool.duke.edu/professional-development](http://gradschool.duke.edu/professional-development).

## **F. Mentoring**

GSA recognizes that mentoring is vital to graduate students' success, and The Graduate School is committed to cultivating a culture of mentoring in graduate education at Duke. Students with strong mentoring relationships are more productive, more involved in the campus community, and more satisfied with their graduate school experience. Mentoring support ensures that students are well trained, successfully complete their degrees, and obtain promising job opportunities. A dedicated [\*\*mentoring resources website\*\*](#) ensures that graduate students and the university community have the necessary tools to succeed.

## **G. Social Programs**

GSA coordinates activities designed specifically to encourage social interaction among graduate students. Several events during New Student Orientation Week help new students become acquainted with fellow students and Duke faculty. Graduate and Professional Student Appreciation Week recognizes graduate and professional students' contributions to Duke's academic climate with a roster of social events, practical workshops, and talks that highlight the research contributions of graduate students to the Duke community. To provide regular networking opportunities for graduate students with children, GSA also hosts several GradParents Group events each year. In addition, GSA coordinates the annual Homecoming Celebration and other special events to promote community, such as gatherings for faculty and students of color as well as LGBTQ and allies.

## **H. Diversity and Inclusion**

The Graduate School is dedicated to and benefits from a student population diverse in background, culture, socioeconomic status, race, ethnicity, and work and life experiences that contribute to a fuller representation of perspectives within the academic life of the university. The Graduate School encourages applications from all those sectors of society, including prospective students whose life experiences may include the challenge of access due to a disability.

As part of Duke's long-standing commitment to increase the diversity and quality of its graduate student body, The Graduate School works to:

- increase enrollment of students from traditionally underrepresented groups,
- provide students with sufficient funding to complete their graduate studies in a timely manner, and
- promote an academic and social environment where these scholars can flourish.

A key mission of the Office of Graduate Student Affairs is to coordinate, supplement, and expand the recruiting efforts of graduate departments and programs. Targeted recruiting strategies are vital to these efforts, and the involvement of Duke's graduate faculty is central to these strategies. Each year, GSA staff and faculty participates in recruitment fairs across the country that enable us to meet potential graduate students and to answer any questions they might have about Duke's graduate programs. Other mechanisms The Graduate School employs in the recruitment of students from diverse backgrounds include participation in national consortia designed to promote graduate education and targeted recruitment visits to institutions that serve students from historically underrepresented groups. GSA also

supports the [\*\*Summer Research Opportunities Program\*\*](#) (SROP), which identifies potential graduate students in the biomedical sciences in their undergraduate years, and the [\*\*Duke University Center of Exemplary Mentoring\*\*](#), which recruits and supports Ph.D. students from underrepresented minorities in the physical sciences and engineering.

Visit [gradschool.duke.edu/about/commitment-diversity](https://gradschool.duke.edu/about/commitment-diversity) for more information on The Graduate School's commitment to diversity and inclusion.

## I. Program Support

GSA's programs are developed, supported, and enhanced through four program support elements: advocacy, communications, student group support, and program evaluation. These elements ensure that GSA develops its programs and resources in such a way that they are accessible, inviting, and responsive to the needs of all segments of the graduate community. GSA is committed to giving students access to resources needed to achieve their scholarly, personal, and professional goals by recognizing the importance of student wellbeing, students with families, and student groups.

## J. Advocacy

GSA makes every attempt to assess and to respond to the concerns of Duke graduate students. The [Child Care Subsidy](#), and efforts to recognize and promote best practices in graduate student [mentoring](#), are examples of initiatives that arose from GSA's response to students' expressed needs and concerns. In many instances, GSA is the initial point of contact for graduate students, offering informal counseling, advising, and follow-up.

Furthermore, GSA acts as the liaison between The Graduate School and the Career Center, [Counseling and Psychological Services](#) (CAPS), [Duke Reach](#); the Office for Institutional Equity, the Disability Management Office, the central university [Office of Student Affairs](#), and other campus offices. The Office of Graduate Student Affairs collaborates with Duke's graduate departments and the university administration. In addition, GSA representatives are members of national committees, graduate consortia, and professional associations concerned with issues related to graduate student life.

The Graduate School makes a conscious effort to solicit and incorporate input from our graduate students as we work to enhance their experience. This is done in many ways, including standing meetings between the school leadership and various student organizations, particularly the Graduate and Professional Student Government, the official representative body for Ph.D. and master's students in The Graduate School. Aside from those meetings, there are several other ways we receive input from our students: the Graduate Student Affairs Advisory Committee, the GSA Graduate Student Liaisons, and the Council of Presidents. To learn more about those channels and how you can get involved, visit <https://gradschool.duke.edu/student-life/get-involved-share-your-ideas>.

## K. Communications

GSA works directly with The Graduate School's senior director of communications to ensure cohesive communication within the graduate community and the university. GSA

staff members serve on various committees that explore and evaluate new models of communication with students.

GSA also uses a number of online resources to foster ongoing communication among graduate students, faculty, and staff:

- The Graduate School's listserv and social-media platforms deliver timely, targeted, and relevant information to keep students informed about GSA events and other university programs.
- The Graduate School's newsletter shares relevant and current information with students, alumni, faculty, and staff.
- The newsletter highlights student issues, features student profiles, and identifies useful resources. Visit <https://gradschool.duke.edu/about/newsletters> to subscribe to the newsletter.
- The online Student Handbook and Student Resources sections of The Graduate School website help students quickly find the information they need.

## L. Student Group Support

GSA advises and assists a number of [\*\*graduate student organizations\*\*](#), including but not limited to: the Black Graduate and Professional Student Association, the Bouchet Society, Duke Chinese Students and Scholars Association, DukeOUT, the Hurston-James Society, the Graduate and Professional Student Government, GradParents Group, Duke F1RSTS, the Society for the Advancement of Chicanos Native Americans in Science, the Society of Duke Fellows, and Women in Science and Engineering. Graduate student groups help GSA invest its resources into programming that addresses the specific needs of various segments of the graduate community that may not be addressed within academic disciplines.

## M. Program Evaluation

Developing formal and informal procedures for program evaluation is crucial in assessing the effectiveness of GSA services and in instituting new programs. Formal evaluation of GSA's programs is carried out through surveys of major activities, followed by analysis and progress reports. Assessment of GSA's effectiveness is also supported by collaborating with other Graduate School offices throughout the admissions process and to prepare retention data. Informal evaluations of GSA events are conducted with individual students, student groups, and graduate faculty. Additionally, GSA regularly seeks feedback from its Graduate Student Affairs Advisory Committee (GSAAC). Composed of faculty, students, and staff representing each broad disciplinary area in The Graduate School, GSAAC's role is to serve as an evaluative resource in program development and to help in adopting specific strategies to meet program goals.

# **Chapter 6**

## **Registration**

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All students must register each fall and spring semester for “Continuation” until all degree requirements are completed, unless waived by an approved leave of absence granted by the associate dean. Failure to maintain continuous registration each fall and spring without explicit approval will result in administrative withdrawal from the University. In some cases, summer registration is also required (see section E).

### **A. Regular and Late Registration**

Enrolled students, using the Automated Computer Enrollment System (ACES), register via the web for the fall and spring semesters, as well as for the summer sessions, at the dates and times announced by the Registrar. Students who fail to register at these times will incur a late registration fee. For web registration procedures, consult the registrar’s home page at: <http://registrar.duke.edu/>.

New students, students returning from an approved leave of absence, and reinstated students register via the web in August (for Fall semester), January (for Spring semester), or May (for Summer sessions).

### **B. Advising**

Each semester you should discuss with each student in your program the total number of units of registration needed and approve their courses, seminars and research registrations. We encourage you to keep a record of approved registrations for your students, particularly as these relate to Graduate School course requirements for master's students and to departmental requirements for the Ph.D.



#### **Who should provide regular advising to graduate students?**

*All graduate students need clear information on departmental and program requirements and policies, as well as supportive advice on what options are available to them. As DGS, it is your direct responsibility to see that the students in your program get accurate and helpful information. Proper advising requires the attention of a faculty member actively involved in the curriculum. For small programs, of course, advising is a task easily handled by a single person; larger ones should develop a more extensive system of faculty mentoring and advising to be sure that all aspects of the department or program are adequately covered. Please pay particular attention to dual-degree and joint-degree students, as these are frequently forgotten in the advising system even though they may need advice even more than your regular Master's or doctoral students.*

### **C. Required Registration Loads**

In doctoral programs, full-time or part-time status is assigned to each student by the DGS prior to the beginning of each semester (international students must be classified as full time for visa purposes). This status governs the amount of tuition charged for each semester. Please be aware that the required number of courses (that is, course requirements beyond those specified in **Chapter 8** under Master's Programs) is established by the department. Doctoral candidates must register and pay tuition for the equivalent of six semesters of full-time tuition and subsequently for tuition remission for each additional semester and summer (if required to register during the summer by their degree program) until all degree requirements are met and their dissertations are turned in to the Library. Students must

register for Continuation to be active in their programs and for the proper tuition to be charged.

Beyond any additional program-specific requirements, **full-time master's candidates must register for nine units per semester until a minimum of 30 units of degree credit have been accrued, over a minimum of three semesters** (the full summer term being the equivalent of a semester). Full-time master's candidates may register for more up to twelve units with DGS permission, and for less than nine units **only in the final semester** in which they are completing the degree credits required by their master's program. If no further course work is necessary for the master's degree, the registration should be "Continuation" each semester and summer (if required to register during the summer by their degree program) until degree requirements are completed. Full-time registration for master's students now involves payment of a flat semester tuition, not registration for any arbitrary number of course units.

Students in master's programs requiring theses customarily register for up to six (6) units of "Ungraded Research." The term "Ungraded Research" may also be used to designate the counterbalance registration required in master's programs where units of credit have been transferred from another school into the degree program at Duke (See Chapter 8, Section C: "Transfer of Credits").

The minimum course load for part-time graduate students in a degree program is three (3) units per semester, as long as the student is not receiving financial support from Duke. Part-time students are not eligible to receive institutional financial support or to take courses under the inter-institutional agreements with neighboring institutions.

All students (including part time) must maintain continuous registration during the fall and spring semesters of the academic year from the time they are admitted to a degree program until its completion, unless a leave of absence is approved by the associate dean. **Students are not required to register in the summer unless they are receiving financial support or need summer residency for course work or other research, or because they are scheduled for a preliminary or other examination. Note: if an exam occurs when a student is not registered, the exam will not count under any circumstances.**



### When should I designate a student as part-time?

*Master's students are designated as part-time when they take fewer than 9 units in a given semester (save their final one.) It is very unusual for doctoral students to be accorded part-time status. Some are forced into this position simply because they cannot afford full-time tuition for a particular semester, but still wish to enroll in a course or two; others — people working in Research Triangle Park, for example — would like to do as much of their coursework as possible under part-time status. In either case, please remember that students classified as part-time are ineligible for institutional support.*



### Can doctoral students switch from full-time to part-time at any point in their degree programs?

*Yes, although remember that they must also complete the residence requirement, so*

*there is a limit on the number of terms during which they can be part-time. The Ph.D. has a minimum one-year requirement that can be fulfilled only as a full-time student. To meet this requirement, the student must pay full-time tuition for two consecutive semesters (fall and spring semesters of the same academic year). **Remember, too, that international students must be registered full-time in order to maintain their student visas.***

#### **D. Registration Procedures for Students**

After you have advised the student on course selection, the student goes to a computer and registers using the Automated Computer Enrollment System (ACES) at the following address: <http://registrar.duke.edu/registration>. All students are expected to register at the times specified by the university. A late registration is charged students who fail to register on time. Installment payments for appropriate tuition and fees can be arranged only via payroll deduction from University paychecks. **It is the responsibility of your office to provide students with the necessary forms for such payroll deductions at the time of registration.** Students registering for the ensuing semester will receive bills from the Bursar prior to the beginning of the semester.

Students who are being funded by the Graduate School, the department, or an outside funding agency should check with the Bursar to make sure that their accounts have been credited with the proper amount. Periodically, you will receive from the Graduate School lists of students who have outstanding balances on their Bursar accounts. They should be advised to clear this balance as soon as possible, because outstanding balances will block students from further registration. At the start of each term, students who are required to register but fail to pay their balances, or make arrangements for doing so that are satisfactory to the Bursar's office, will be withdrawn from the university.



#### **Do Ph.D. students have to register for a minimum number of course units?**

*No. Ungraded research is used only in special circumstances (primarily for required counterbalancing of credits when students take courses at one of our inter-institutional partner campuses). The minimum requirement is that PhD students must be registered for Continuation in fall and spring. Some programs also require summer registration.*



#### **What should I do with a first-year PhD student who arrives after the two-week registration period?**

*In most circumstances, we will work with you to arrange informal independent studies for the student, since he/she will not be allowed to enroll in an ongoing class. Late students may, of course, be incorporated into laboratory settings as quickly as feasible. However, the program should decide carefully at what point it is no longer academically feasible for the student to arrive, based on the completion of program requirements. Deferrals can be granted in some cases for starting at the next semester or next academic year. For foreign students, bear in mind that a student visa requires that the student be fully engaged in his or her academic program for the entire semester.*



**Suppose a new foreign student can't get to this country until after the end of the second week of classes. Can I register that student before he/she arrives?**

*No, both University policy and immigration regulations prohibit such registration.*

## **E. Special Procedures for the Summer Sessions**

Students who hold awards or who are being paid on research grants must register for the summer to receive a summer stipend. Summer registration will also be required for any student taking a graduate examination (prelim or final) or a graduate course during that term. PhD students registered for the summer pay a flat-rate tuition that covers graduate work (courses, exams, or research experiences) required by their degrees. However, undergraduate courses are not covered by graduate tuition and, if taken, will generate additional tuition charges beyond the flat-rate tuition—and those additional charges will be the responsibility of the student. Please be aware that students who are registering for the purpose of conducting research, taking courses, or receiving summer stipends need to register for the Summer Full Term, not Summer Terms I or II.



### **Things to Note:**

*Students have to register for the summer to apply for student loans. In such cases, their fees will be waived. Please contact the Office of Financial Aid for procedures. Students have to register for the summer to take prelims or a non-thesis master's exam, or to defend a dissertation or master's thesis during the summer. Students who register for "Continuation" and later decide to take a course will not be able to make this change through ACES. They will need to register manually through the Graduate School.*

## **F. Changes in Registration**

Changes in registrations are made using ACES only at times announced in the Official Schedule of Courses, which can be found at: [Schedule of Courses](#). After you have approved the change in registration, the student follows instructions from ACES on the web.

During the first two weeks of the fall and spring semesters, registration may be changed with your approval if no reduction of fee is entailed. If fees are reduced, the approval of the dean of the Graduate School is required and must be received no later than the first week of the semester. **No late registration or drop/add will be allowed after this period.**

**Students who drop a course after the second week will have a W (Withdrawal) recorded on the transcript and will receive no financial reimbursement. See the Course Withdrawal Form on Graduate School web site: [Graduate School Commonly Used Forms](#).**

During the summer session, all course changes must take place within three days of the beginning of the term. Thereafter, course credit will be dropped only with a recorded notation of W.



## **How can a student withdraw from a course after the second week?**

### **What is the last date a withdrawal would be permitted?**

*Students may withdraw from a course up to the last day of classes in the semester.*

*Withdrawals occurring after the Drop/Add period, however, require a justifiable reason approved by the DGS, the instructor, and the Associate Dean. Please be aware that withdrawing from a course is not the same as dropping it and receiving a tuition refund; any withdrawal after the first two weeks of class will still require full payment of tuition, and the student's transcript will carry the notation W for the course. See the Graduate School Bulletin for regulations governing refunds.*

## **G. Cooperative Registration for Courses Offered at North Carolina Central University, the University of North Carolina at Chapel Hill, North Carolina State University and the University of North Carolina at Greensboro**

Only full-time students are eligible for "inter-institutional" registration (see Bulletin), and such registration requires at least an equivalent number of units be taken at Duke during the same semester. The student should first register at Duke for the desired course(s) in the normal process of registration. After securing a form from the Duke Registrar certifying eligibility for inter-institutional registration, the student must then complete the registration process at the cooperating institution. Tuition will be charged for all course(s) at the Duke rate.

Doctoral students who have completed all the necessary coursework at Duke may still take courses under the inter-institutional agreement; however, the student will have to register for an equivalent number of units at Duke to "counterbalance" the credits at the other institution (remember that PhD tuition charges are disconnected from registration units: a student who has completed all coursework has probably completed tuition payments for the requisite 6 semesters, and the counterbalancing credits will not generate any additional tuition on the student's Duke transcript).

Any additional fees for courses at other institutions (e.g., laboratory or computer fees) are the responsibility of the student and are not considered part of Duke tuition.



## **Can a master's student who has only one remaining course to reach the minimum of 30 units take that course at UNC-CH, NCCU, NCSU or UNC-G under the inter-institutional agreement?**

*In recent years, the registrars at our sister institutions have agreed to this in principle, but there is no guarantee that agreement will continue. Consult with the Associate Dean before attempting such a registration.*



## **Can students from UNC-CH, NCCU, NCSU, or UNC-G enroll in Graduate Certificate Program?**

*No, students from other universities are not eligible to apply for Graduate School Certificates.*

## **H. Courses Below 500-Level for Graduate Degree Credit**

With the approval of their Director of Graduate Studies, graduate students may enroll in undergraduate courses to round out their programs of study. Students pursuing a master's degree are limited to two undergraduate courses; doctoral students may take as many as required. **In either case, students must receive a grade of B- or better to have such courses counted as part of their earned graduate credit.**

## **I. Audited Courses**

In order to audit a course, a student must have the approval of the instructor of the course. The student takes the written approval to the Registrar's Office for manual registration. Any student registered full-time in a degree program may audit courses without charge during the fall and spring semesters. Otherwise an audit fee is charged.

## **J. Language Courses**

The Graduate School has no foreign language requirement for either the master's or the doctoral degree. Individual departments, however, may require such languages as they deem appropriate. The Director of Graduate Studies is responsible for tracking the completion of departmental requirements. The Graduate School no longer certifies language examinations or completion.

You are responsible for informing all students of departmental procedures and requirements concerning foreign languages.

The Summer School has recently established a series of courses in foreign languages for reading purposes. These classes do not require formal Graduate School registration, although they do generate tuition costs. The Graduate School pays 70 percent of this fee and expects the department to pay the rest. We believe it is in the interest of programs requiring foreign language proficiency to try to set aside a portion of their Graduate Awards budget to help students defray the costs of this instruction.

# **Chapter 7**

## **General Academic Regulations**

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## **A. Credits**

The following regulations pertain to credits earned outside the Duke University Graduate School:

### **1. Graduate Credit Earned before the A.B. Degree Is Granted**

Ordinarily no credit will be allowed for graduate courses taken before a student has been awarded the A.B. or B.S. degree. However, an undergraduate student at Duke University, who at the beginning of the final semester lacks no more than three courses in order to fulfill the requirements of the bachelor's degree, may apply for admission to the Graduate School for that final semester. If the student meets the requirements for admission, permission may be obtained from the dean of the Graduate School to enroll in graduate courses. No more than four courses (including both undergraduate and graduate courses) may be taken during the semester. In addition to undergraduate registration, the student must register in and pay tuition for those courses to the Graduate School at the beginning of the semester in which graduate credit is to be earned in order for the courses to be credited toward a graduate degree program. **This means that the student will pay both undergraduate and graduate tuition for the graduate courses, unless the graduate admitting program awards tuition to the student.**

### **2. Transfer of Graduate Credits**

For master's programs, the transfer of graduate credit does not reduce the required minimum registration of 30 units for a master's degree at Duke. For Ph.D. students, one semester of full-time tuition credit may be given if the student has completed a relevant graduate degree at another institution. No credit will be given to those students who receive a master's degree at Duke en route to the Ph.D. Up to one semester of tuition credit may be given to students who have completed graduate course work at Duke as non-degree students. Financial credit for the above programs will be given only after the student has completed one full-time semester in a degree-granting graduate program. The Graduate School does not transfer credits from another institution for Ph.D. students. (Departments are free to consider previous course work in determining further course requirements for the student—academic credit is distinct from financial credit or registration requirements for the degree.)

## **B. Grades and Academic Standing**

Grades in the Graduate School are as follows: *A, B, C, F, and I*. An *I* (Incomplete) indicates that some portion of the student's work is lacking, for an acceptable reason, at the time the grades are reported. For students enrolled in the Graduate School, the instructor who gives an *I* for a course specifies the date by which the student must make up the deficiency. If a course is not completed within one calendar year from the date the course ended, the grade of *I* becomes permanent and may not be removed from the student's record. The grade of *Z* indicates satisfactory progress at the end of the first semester of a two-semester course. For unclassified graduate students enrolled in the summer session, a temporary *I* for a course may be assigned after the student has submitted a written request. If the request is approved by the instructor of the course, then the student must satisfactorily complete the work prior to the last day of classes of the subsequent summer term. A grade of *F* in a major course (courses within a student's department or field) occasions dismissal from a degree program,

except in extraordinary circumstances beyond a student's control. A grade of *F* in any other course occasions at least academic probation and may also occasion dismissal.

To be certified as making satisfactory progress towards the degree and to be in good academic standing, graduate students must maintain at least a 3.0 (*B*) cumulative grade point average (GPA). Students falling below this average jeopardize not only their financial support, but their continuation in the graduate program and eventual graduation. Note that students who are not in good academic standing cannot receive federal financial aid.

However, grades alone are insufficient to qualify a student as being in good academic standing. Research progress and the potential to accomplish master's or Ph.D. level research successfully, and to present research results cogently, will also be taken into account in assessing the academic standing of a student. Progress and potential are determined by a student's committee, who has the right to recommend withdrawal of a student at any time.

Any student who is not in good academic standing, for whatever reason, will be placed on probation if there is not a need for more immediate dismissal. The terms of probation will be determined by the Associate Dean in consultation with the student's DGS. A letter detailing the terms of probation and requirements to be taken off probation will be provided to the student at the start of the probationary period and added to the student's record. Usually probation is for a period of one semester, with a requirement that terms be met or the student will be dismissed.

Except in extraordinary cases approved by the dean (e.g. a 2.99 GPA and a strong dissertation or thesis), a student can graduate only if he or she is in good academic standing.

#### **C. Identification Cards**

Graduate students are issued identification cards that they should carry at all times. The card is a means of identification for library privileges, athletic events, and other university functions or services open to University students. Students will be expected to present their cards on request to any University official or employee. The card is not transferable, and fraudulent use may result in loss of student privileges or dismissal from the Graduate School. A report of the loss of a card must be given immediately to the Duke Card Office (**919-684-5800**). There is a fee to replace the lost Duke Card.

#### **D. Interruption of Program and Withdrawal from the Graduate School**

Students are expected to meet academic requirements and financial obligations to remain in good standing. Certain nonacademic rules and regulations must be observed also. The Duke Community Standard and Graduate School standards of conduct must be met. Failure to meet these requirements will ordinarily result in summary dismissal by the appropriate officer of the University.

**The University reserves the right, and matriculation by the student is a concession to this right, to request the withdrawal of any student whose academic performance at any time is not satisfactory to the University.** A student who wishes for any reason to withdraw from the Graduate School during the Fall, Spring, or Summer session must notify

in writing both the director of graduate studies in the major department and the associate dean of the Graduate School prior to the date of the expected withdrawal and no later than the published last day of classes for that semester or Summer session. If students wish to withdraw from courses in the Summer session, they must consult both the director of graduate studies in the major department and the director of the Summer session. For refunds upon withdrawal, see the chapter on "Financial Information."

A student who must withdraw before completion of a graduate program after successfully completing at least one semester of graduate study, may, with the approval of the major department, request that the dean issue a certificate of graduate study.

#### E. Leave of Absence

A leave of absence for a total period of time no longer than two semesters may be granted because of medical necessity, family obligations, receipt of an external award, employment related to the student's research project, or other acceptable reasons. A request for a leave of absence in a given semester should originate with the student, be endorsed by the student's faculty advisor and director of graduate studies, and be submitted to the associate dean of the Graduate School for consideration **prior to the beginning of the semester for which the leave is requested**. Leaves are normally granted for only one semester, but a second semester's leave may be requested. A student is eligible to request a leave of absence only if in good academic standing and only after having completed at least one semester at Duke. Time limitations which pertain to the various degrees and the completion of courses that have received a grade of I (incomplete) are not waived.



#### Things to Note:

*Students contemplating leaves of absence for reasons other than medical necessity (as indicated in a letter from the treating physician) should be aware that, for financial purposes, all guarantees of financial support are calculated from the date of initial matriculation. For example, if a graduate program has stated that a student will be supported through the fifth year of graduate study and the student takes a leave of absence for one of those years for reasons other than medical emergency, the student would forfeit a year of institutional support.*

#### F. English Proficiency for International Students

All new international students whose first language is not English must demonstrate proficiency in speaking and writing English. See the EIS section in Chapter 10 for further information on how competency is certified. **EIS courses do not count towards the minimum number of graded courses required for master's degrees.**

#### G. Library Privileges

Graduate students are entitled to carrels only if registered as full-time students. Only students who have attained candidacy (passed the preliminary examination) are eligible for closed carrels, if they are available in the library.

## **H. Student Health and Insurance**

The Student Health Fee entitles the student to outpatient treatment through the University Student Health Program, inpatient treatment in the University Infirmary, and services provided by Counseling and Psychological Services. The health fee should not be confused with the Duke Student Health Insurance Plan, which covers a large number of medical costs above and beyond the treatment available through the University Health Program. Full-time and part-time students who are entitled to coverage by the Student Health Program are also eligible for the supplementary insurance policy.

Duke University requires all students to have health insurance coverage. Please refer to **Chapter 4** for information on health insurance coverage.

# **Chapter 8**

## **Master's Programs**

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## A. The A.M. and M.S. Programs

The A.M. and M.S. programs require a minimum of 30 units of degree credit, at least 24 of which must be graded coursework, and a final examination administered by the student's M.A. or M.S. committee. Some master's programs require more than 30 units, but 30 is the minimum Graduate School requirement. In addition, three full terms of tuition must be paid (e.g. Fall, Spring and Summer I/II, or Fall, Spring, Fall). The enrollment cap is 12 units of graduate credit per semester. In addition, for students starting in 2013-14 and thereafter, Master's candidates must have completed training in Academic Integrity and Responsible Conduct of Research (RCR). The current requirement is a four-hour training session held during orientation week. Documented completion of RCR training for PhD students will also suffice. Students whose first language is not English and who do not place high enough on the placement exam administered during orientation week are required to take English language courses as determined by their placement scores.



**Do the credits listed for Continuation (CTN) on a student's transcript count toward the 30 units necessary for an M.A. or M.S.?**

*No, they do not.*



**Do the credits listed for Responsible Conduct of Research (RCR) orientation and workshops (GS 710, GS711, GS712) on a student's transcript count toward the 30 units necessary for an M.A. or M.S.?**

*No, they do not.*



**Do the credits listed for Graduate School (GS) English language courses on the student's transcript count toward the 30 units necessary for an M.A. or M.S.?**

*They cannot count toward required graded units, but if, for example, the M.A. or M.S. program requires less than 30 graded units, they can count as "Ungraded Research." Note that the Graduate School requires a minimum of 24 graded units in M.A. and M.S. degrees (with the exception of certain dual J.D.-M.A./M.S. degrees), and thus English language courses could never account for more than 6 ungraded units.*



**Do credits listed for GS700, GS701, or GS702 on a student's transcript count toward the 30 units necessary for an M.A. or M.S.?**

*They can be counted in the same way as the GS720A, GS720B, GS721A, and GS721B are counted, as units of "Ungraded Research" under the circumstances described above for the case of English language courses.*



**Summary:** None of the GS courses discussed above can ever count toward the required graded course units in any degree program; in other words, they can never be substituted for required core courses or for required elective courses.

Master of Science programs generally require some formal write-up of a student's research, whether it takes the form of a thesis or a more informal research paper. All M.A./M.S. degrees must conclude with some form of completion exercise (see below).

Master's examination committees must have at least three members, all of whom should be members of the graduate faculty (the rare exceptions to this policy should be explained when the committee is proposed; such candidates will be considered for appointments to the Graduate Faculty and may serve if approved). One committee member should represent the department of the student's minor or a clearly differentiated area of research in the major department or program. The Director of Graduate Studies recommends the committee and its chair, using the appropriate form, to the Associate Dean for approval. The final committee must be approved at least one month prior to the final examination. In exceptional cases a shorter timeframe may be requested by the DGS. The date of the Associate Dean's signature on the committee approval form serves as the official date of record for committee approval.

For master's examination committees, the chair may be a term faculty member, if eligible and approved for this role by the Associate Dean. Term faculty eligible to chair master's committees are Duke faculty members who have extensive and demonstrable experience in the graduate teaching and research training activities of the graduate degree-granting department or program, including prior service on four or more graduate examination committees. These qualifications should be documented in a letter of support for the potential committee chair, signed by the DGS and/or program chair or director. The Graduate School will maintain a list of Duke term faculty members approved to chair master's examination committees. The period of approval for a term member to chair master's committees in a given program will coincide with the remainder of the term appointment to the Graduate Faculty.

## **B. Time Limits**

At least three terms of tuition must be paid, and no more than 12 units of credit may be taken per term without permission of the associate dean. Thus the minimum time necessary is three terms, but this can include fall, spring and summer terms. Master's candidates who are in residence should complete all requirements within two calendar years of their first registration. All requirements for a master's degree must be completed within six calendar years from the date of first registration. Such requirements met more than six years before will not count toward graduation.

## **C. Transfer of Credit**

A maximum of 6 units of graduate credit may be transferred from an accredited school if it is not extension coursework, correspondence course credit, or credit taken before the bachelor's degree is earned. A minimum grade of "B-" (or the equivalent) must have been earned on any work proposed for transfer credit. After a student has completed 12 units of coursework at Duke, the proposed transfer of credit must be approved by the DGS and by the Associate Dean. Requests for transfer should be submitted on the appropriate Graduate School form (go to: [Academic Policies and Forms](#)) and are recorded only upon presentation

of an official transcript. Transfer credit may not be over six years old at the time requirements for the Duke degree program is completed.

Transferring course work does not reduce the minimum of 30 units at Duke required for a master's degree, and thus students are required to register for units at Duke equivalent to the number of transferred units. This registration may consist of additional coursework or it may be "Ungraded Research" in preparation for their thesis or final exam.

#### **D. Courses Below 500-Level for Master's Degree Credit**

With the approval of their Director of Graduate Studies, master's students may enroll in undergraduate courses at Duke University to round out their programs of study. Students pursuing a master's degree are limited to **two** undergraduate courses, and **they must receive a grade of B- or better to have such courses counted** as part of their earned graduate credit.

#### **E. Retroactive Credit**

Credit for graduate courses taken at Duke (but not taken as an undergraduate) before admission to the Graduate School or while registered as a non-degree student may be carried over into a graduate degree program if (1) the action is recommended by the Director of Graduate Studies and approved by the Associate Dean; (2) the work is not more than two years old; (3) the amount of such credit does not exceed 12 units; and (4) the work is of "B- " level or better. A request for retroactive credit may be made on the Graduate School Retroactive Transfer Form: [Academic Policies and Forms](#). This option is open to students who have taken their work at Duke through Continuing Education, within the Graduate School as non-degree students, or in the summer session as unclassified students.



#### **Can I request transfer credits and retroactive credits for the same master's student?**

*Yes, provided the appropriate criteria have been met.*

#### **F. Final Examination**

All master's students must have a final oral examination, which normally occurs in the final term of enrollment. It is the responsibility of the Director of Graduate Studies to schedule the examination and to inform both the student and the committee of its place and time. Normally the candidate's advisor will serve as chairperson and presiding officer of the examining committee. The committee is composed of term and full members of the Graduate Faculty previously approved for this role by the associate dean. The committee must be approved 30 prior to the student's exam. The student's committee administers the examination and certifies the student's passing or failing by signing the master's examination card. All committee members must participate in the examination and all members present must sign the exam card. The DGS may petition the Associate Dean for a committee member (other than the chair) to participate remotely via videoconference (e.g. Skype) if necessary for the examination to proceed, but a majority of the committee must be physically present in any case. A remote participant must document his/her vote in writing to the Graduate School, via a signed PDF statement forwarded from the DGS or DGSA. An

examiner who fails the student must sign the examination card and clearly write “Fail” next to his or her signature. At least three (3) graduate faculty members must vote to pass the candidate. Consequently, if the committee is composed of only three (3) graduate faculty members, a single negative vote fails the candidate. If the committee is composed of four (4) or more graduate faculty members, then a single negative vote, provided it is not the vote of the committee chair, does not fail the candidate. Two (2) or more negative votes always fail the candidate. Students may, with committee approval, retake the examination not earlier than one (1) month from the date of the original examination, and the retake must be administered by the same committee. The Committee chair must sign the examination card on the line indicating that a retake has been approved, and the retake must then be approved by the Associate Dean.

## **G. Master’s Thesis**

The final examination for most master’s students is based on an original thesis prepared entirely by the student that presents his or her research, its context, and its conclusions.

Basic requirements for preparing the thesis are prescribed in the Duke [Guide for the Preparation of Theses and Dissertations](#), available on the Graduate School’s web site. For more specific aspects of form and style, the student may consult to use [A Manual for Writers of Term Papers, Theses, and Dissertations](#) by Kate L. Turabian or some other approved manual of style.

The thesis must be submitted electronically to ProQuest and reviewed by the Graduate School Office **at least two weeks** before the scheduled date of the examination and on or before the announced deadline for the semester of graduation (see [Graduation Deadlines](#)).

The examination card is provided by the Graduate School to the student when the master’s thesis is approved for defense. If the candidate passes the examination, each member of the committee signs one copy of the thesis title page and the abstract page, which accompany the signed exam card when it is returned to the Graduate School. If the candidate is judged to have passed the examination except for minor revisions in the thesis, the examiners may sign with the understanding that the prescribed revisions will be made to the satisfaction of the thesis supervisor, who will later certify to the Graduate School completion of the revisions. The candidate will have one month to make changes in the thesis requested by the Committee. If the student needs a period longer than one month to make changes in the thesis, an extension may be requested by the DGS to the Associate Dean. The period of one month after the examination for submitting the final version of the thesis to ProQuest **cannot apply if the examination occurs just prior to the end of the summer term, or the fall or the spring semesters. At those times the corrected copies of the thesis must be returned as quickly as is necessary in order to meet specified deadlines for the awarding of the degree.** If, at the end of the semester or term, the student cannot meet these deadlines and needs longer than one month to return the thesis, the student will be required to register for the ensuing term or semester (with corresponding fees) in which the degree will be awarded.

## **H. Non-Thesis Examination**

Non-thesis examinations take several different forms across the Graduate School, but the committee voting rules are the same as for a thesis examination. The most common examinations are the following: written or oral exams on a prescribed reading list or body of material; oral exams on a paper or set of papers submitted by the student; or oral exam on a research project or memo. The doctoral preliminary examination may also serve as the final examination for the master's degree. You should inform the Graduate School which type of examination the department will use for any given student.

The Director of Graduate Studies provides the student's committee with the Non Thesis Master's Examination Card used to indicate completion, or failure to achieve completion, of all requirements for the degree. (For blank cards, please contact Susan Williford at 681-3248 or [susan.williford@duke.edu](mailto:susan.williford@duke.edu).) After the final examination, the DGS should see that the properly signed card is returned to the Graduate School.



### **Do we have to schedule a formal examination for a non-thesis master's degree?**

*Yes, all master's degrees require a final examination conducted by a graduate faculty committee of at least three members, approved in advance by the Associate Dean.*

## **I. Apply for Graduation**

The Apply for Graduation Form must be filed by the student no later than January 25 for a May degree, June 15 for a September degree, and October 15 for a December degree. The form is filed online in ACES.

After each deadline, a list of degree candidates, who have applied to graduate, will be provided to the degree program. **The program should review the list carefully and report any errors to the Graduate School.** Failure to include a student on the graduation list may lead to an additional required semester of registration, a significant hardship for a student intending the graduate.

## **J. Dual or Joint Master's Degree Programs**

The Graduate School currently offers a variety of joint and dual degree programs, most of which involve students enrolled in professional degrees who also wish to earn a master's in the Graduate School at the same time. Joint degrees are those in which there is a hybrid set of requirements and blended tuition, with each degree being mutually dependent on the other. Dual degrees are two different degrees pursued by a single student, with each having its standard requirements and tuition. Dual degrees are not mutually dependent. The most familiar of such joint degrees are the JD-MA/MS degree programs now being offered by the Law School in conjunction with certain Arts and Sciences, Engineering, and Public Policy programs. The MD/PhD is a well-known dual degree combination. Proper advising of the joint/dual degree students can be complex, and attention should be paid to their requirements and the timing of their degree work in order to avoid degree auditing problems that might compromise a candidate's chance to graduate with each degree.

Departments wishing to develop a joint or dual degree program should follow the procedures listed in Chapter 10 under New Program Proposals. In dual-degree programs, students are admitted to the master's units under the normal Graduate School mechanisms explained in the Admissions chapter of this manual.

The most common individualized dual-degree program is the concurrent pursuit of a master's degree by a Ph.D. student pursuing his or her doctoral degree. The Graduate School currently allows such PhD students to earn one concurrent master's degree without additional charge. Concurrent programs may be approved by the Graduate School on an ad hoc basis where it can be shown that sufficient academic reason exists for the combination of course and research interests. Doctoral students wishing to pursue a master's degree in any department other than the one to which they were originally admitted must apply to and be granted admission into the master's program. **Please be aware that Ph.D. students who receive a disciplinary master's degree en route to their Ph.D. cannot pursue a master's degree in another department without paying for an additional 30 units of graduate credit.**



### **Can students switch from a master's program to a Ph.D. program?**

*No. Master's students must formally apply to the doctoral program. If a student originally applied to your Ph.D. program, but was accepted for a master's degree program, the same rules apply: the student must re-apply for the Ph.D. program. Consult the Graduate School in all instances where questions arise.*



### **Must I notify you of a student who is switching from a Ph.D. program to a terminal master's?**

*Yes, our records must reflect the degree being pursued (and there could be a significant difference in the tuition charges). The Graduate School should be notified no later than the beginning of the semester in which the student intends to complete the terminal master's. Please consult Academic Affairs in the Graduate School before making this degree program change, however, because there may be unexpected consequences.*



### **Although my department does not offer a master's degree en route to the Ph.D., may we on occasion offer a terminal master's to doctoral students who will not continue to the Ph.D.?**

*Yes, provided that the Executive Committee of the Graduate Faculty has formally approved a terminal master's in your program, that the Graduate School is appropriately notified, and that the student has completed all the Graduate School requirements for such a degree (e.g., 30 units, 24 hours of graded coursework, etc.). This means that you should pay particular attention to the number of **graded** course units being accumulated by students whose continuation toward the Ph.D. is in some question. Moreover, hastily switching a student from a Ph.D. program to a terminal master's track when credit units required for the master's are not completed often has a significant financial impact on the student, because the student will have to pay tuition for any additional terms required.*



## Can my Ph.D. students earn a master's degree in another discipline en route to their Ph.D.?

*Yes, in principle. Permission to take concurrent master's and doctoral degrees, as well as arrangements for the tuition owed for those degrees, must first be obtained from the Associate Dean of the Graduate School. Where formal joint or dual master's programs have been approved by the Graduate School, students must still apply and be accepted by the department or program from which they wish to receive the master's degree. The DGS of the student's home program must also approve pursuit of the concurrent degree. Please refer to forms and procedures found here: [Academic Policies and Forms](#).*



### Things to Note:

*Please note that doctoral students pursuing a master's degree en route to the Ph.D. in the same department or program would normally incur additional tuition charges for any additional concurrent master's degree in a different department or program. **The principle is that no Ph.D. student can receive more than one master's degree en route to the Ph.D. without incurring additional tuition charges.***

# **Chapter 9**

## **Doctoral Programs**

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The formal requirements for the Ph.D. degree are the following: payment of the equivalent of 6 semesters of full-time tuition, fulfillment of the residence requirement of two consecutive semesters, course requirements as determined by the individual degree programs, formal training in the Responsible Conduct of Research (RCR), the preliminary examination, submission of a dissertation on original and independent research, and a final examination conducted by the student's Ph.D. committee. Beyond RCR credits, the Graduate School itself has no minimum number of course credits; such requirements are up to the individual doctoral programs. Note, however, that students whose first language is not English and who do not place high enough on the placement exam administered during orientation week are required to take up to three English language courses as determined by their placement scores.

## A. Ph.D. Committee

The Ph.D. committee consists of at least four, and often five, approved Graduate Faculty members. It should be appointed early enough to advise in the formulation of the student's program and in defining the research topic for the dissertation. This committee includes at least three Graduate Faculty members from the major department or program, and one minority representative, usually from outside the student's department. . *However, in departments with wide disciplinary interests, the minority representative may come from an area of departmental research far from the student's own area. The rationale for designating a minority representative, regardless of departmental affiliation, must be stated on the committee form.*

The committee must be appointed and approved by the Associate Dean ***at least one month (30 days)*** before the preliminary examination. The DGS recommends the committee's composition to the Associate Dean by means of a committee approval form provided by the Graduate School and submitted electronically: [Academic Policies and Forms](#)). **The date of the Associate Dean's signature on the committee approval form serves as the official date of record for committee approval. The degree program graduate administration is responsible for notifying the members of the committee of their appointment and for scheduling all examinations.** Normally, the same committee administers both the preliminary and the dissertation examinations, but this is not required. The procedure for establishing the original committee should be followed in making any necessary changes in a student's committee. **All such changes in a committee must be submitted electronically and approved by the associate dean before the exam takes place, or an exam may be invalidated.**

**Members of the committee are drawn from the Graduate Faculty of Duke University.** It is not necessary that all committee members be Duke faculty, but a majority must be so. **A person who is not a full member of the graduate faculty in a graduate degree program at Duke should be appointed a term graduate faculty member for a term that corresponds to the projected duration of the committee service.** The chair must be a full member of the Graduate Faculty from the student's degree department or program. Please use the forms available on the following Graduate School website: [Academic Policies and Forms](#). The Office of Academic Affairs reviews all nominations to the Graduate Faculty, and the Associate Dean determines whether a given person is qualified to serve in a particular committee role.



## **Can faculty members who have left the University continue to serve on Ph.D. committees?**

*Yes, students are normally given the opportunity to complete work begun with faculty members even after they have left Duke. Departments should not feel bound to extend this option, however, for students who have not passed preliminary examinations at the time of the faculty member's departure from the University. Note that the faculty member's membership in the graduate faculty is terminated upon departure from Duke, and the former faculty member will thus need to be appointed as a term graduate faculty member for the term of committee service. If the departed faculty member was the student's advisor, a co-advisor will have to be appointed from among the Program's full graduate faculty members to act as co-chair of the student's committee.*



## **Does the Graduate School provide funding to cover travel expenses of non-Duke or ex-Duke faculty who serve on examination committees?**

### **Can a member participate remotely?**

*The Graduate School provides no funds for the administration of any examination. Remember that for the preliminary and final examination, a committee member, by permission of the Associate Dean, may be out of the examining room and participating by videoconference or other communication link. More than one member may participate remotely, with prior approval, but only if a majority of the committee is present in person. The chair must be present in person in all cases, though if there are two co-chairs, one may participate remotely. Students should realize that appointing faculty members who are not at Duke to their committees can considerably complicate the logistics of holding an exam or defense and for turning in the requisite signed documents to certify their degree by the graduation deadlines.*

## **B. Program**

**So that students clearly understand what is required of them, the department must provide all entering students a full description of its normal procedures, its expectations about coursework and research agendas, its examination policies, and wherever possible, a detailed list of all courses and seminars that will be, or are expected to be, offered during the student's career.** The point is that in order to help the student and the committee plan an appropriate course of Ph.D. study, both must be kept abreast of all regulations and opportunities relevant to that study.

## **C. Quality of Work**

It is the duty of the Graduate School to enforce the minimum requirements for remaining in a degree program and for graduating. Departments may set higher standards (such as a minimum grade point average that is higher than the 3.0 required of all students by the Graduate School), provided that all students are notified in writing of those standards at the time of matriculation. Departments may also recommend the dismissal of any student whose performance indicates that he or she will not complete the program satisfactorily. The Associate Dean should be informed of departmental requirements exceeding the minimum standards and of all departmental recommendations to dismiss a student on this basis. Note that any dismissal must be made by the Graduate School, not by the student's

department or program. In cases where a department wishes to impose a probationary period on a student, this must be discussed with the Associate Dean in advance. The terms of such probation and conditions for removing it must be discussed with the Associate Dean, who will issue the formal probationary terms to the student. These become part of the student record (but not the transcript).

Please bear in mind the principle expressed in Chapter 7, paragraph 2.D.: **The University reserves the right, and matriculation by the student is a concession to this right, to request the withdrawal of any student whose academic performance at any time is not satisfactory to the University.** It is important to document poor academic performance in order to allow both the degree program and the Graduate School to take appropriate action. Such documentation should be dated and is best in written form that is shared with the student, so that the student cannot claim not to have been informed about her or his standing in the program.

#### **D. English Language Proficiency**

All new international students whose first language is not English must demonstrate proficiency in speaking and writing English. See the EIS section in Chapter 10 for further information on how competency is certified. EIS courses do not count towards the minimum number of graded courses required for master's degrees.

#### **E. Foreign Languages**

The Graduate School has no foreign language requirement for the Ph.D., but individual departments are free to establish their own requirements. These must be communicated to the Graduate School. If your department has such a requirement, it is your responsibility to ensure that all students know the levels of competency required and the mechanisms for gaining/certifying that competency.

#### **F. Responsible Conduct of Research**

All graduate students at Duke University are required to complete a series of training sessions in the Responsible Conduct of Research (RCR). As explained in more detail on the Graduate School web site, these sessions normally consist of two components: the first is an orientation workshop given at the beginning of each academic year. All students in the Biomedical Sciences will attend the general introductory workshop at the Duke University Marine Laboratory. Students in the Humanities and Social Sciences will attend a similar introductory workshop in Durham, as will students in non-medical Biological Sciences, Physical Sciences and Engineering. All Ph.D. students will subsequently attend a minimum number of RCR forums or other training experiences (including workshops and courses) scheduled throughout the academic year on topics related to responsible conduct of research. Students in the Biomedical Sciences receive 12 units of credit for the Beaufort workshop; students attending the on-campus introductory workshop receive 6 units of credit. Both groups must register for and complete 6 more units of training: Biomedical Sciences students are required to complete 18 hours of training; students in other programs, 12 units.

**(See Chapter 12 for a detailed description about RCR training and policies)**

## **G. Progress Toward Degree**

All Ph.D. students after the initial year of study must submit to their DGS an annual report on their progress toward the degree. Depending on departmental policy, these may be filed directly by the student or by the student's committee chair. The DGS will be asked to certify that an annual progress report has been submitted for each student past his/her first year. Failure to file this report will jeopardize the continuation of any student. The report should be forwarded to the student's advisor and/or doctoral committee if prepared directly by the student. In cases where the DGS and/or committee feel that progress is inadequate, the Associate Dean must be notified.



**Can the graduate faculty of a department decide at any point that a student is not making satisfactory progress or is unlikely to complete the doctoral program successfully?**

*Yes, the faculty can recommend the termination of a student at any point. The committee will need to provide rationale and documentation for the basis of such a decision. The Graduate School recommends that departments routinely review students' annual progress towards degree reports and discuss any inadequacy in progress with the student. The department must maintain a written record of all communications with students concerning their progress. Any recommendation to dismiss a student must be discussed with the Associate Dean, and any formal notice of dismissal will come from his/her office.*

**Terminal Master's Degree.** *Provided that the university has formally approved a terminal master's in your program, that the Graduate School is appropriately notified, and that the student has completed all the Graduate School requirements for such a degree (e.g., 30 units, 24 units of graded coursework, etc.), a student may exit a Ph.D. program with a terminal master's degree. Particular attention should be paid to the number of **graded course units** being accumulated by students whose continuation toward the Ph.D. is in some question. Hastily switching a student from a Ph.D. program to a terminal master's track when credit units required for the master's are not completed has a significant financial impact on the student, because the tuition structure for A.M. or M.S. degrees is different from the Ph.D. tuition structure. Please consult the Office of Academic Affairs whenever a degree program decides to offer the possibility of a terminal master's, so that we can audit the student's academic record to see whether all requirements for a master's have been met.*

## **H. Residence**

The minimum residence requirement for the Ph.D. is two consecutive semesters paying full-time tuition.

## **I. Time Limits**

A student registered for full-time study should pass the preliminary examination by the end of the third year. A student who has not passed the examination by this time must address a request for an extension to her or his DGS, and the DGS must officially request an extension from the associate dean of the Graduate School. The request for extension must explain the reasons for the delay and set a date for the exam. Except under highly unusual circumstances, extensions will not be granted beyond the middle of the fourth year. In cases

where the preliminary exam has not been passed by this point, such students will be on academic probation with a short timetable for dismissal. Final attempts to pass the preliminary examination will require letters of support from the DGS and principle dissertation advisor.

Credit is not generally allowed for graduate courses or foreign language examinations that are more than six years old at the date of the preliminary exam. Similarly, credit will not be allowed for a preliminary examination that is more than five years old at the date of the final exam. In cases of exceptional merit, the dean of the Graduate School may extend these limits. Should either of these limits be exceeded without the dean's permission, the DGS must submit to the dean specific mechanisms for revalidating credits or examinations.

#### **J. Qualifying Examinations**

In departments that require qualifying, comprehensive or other "pre-preliminary" examinations, all students must be notified in writing of the nature and the regulations governing these exams and of how their performance on the exams will affect their normal progress towards the degree (including, where relevant, their eligibility for financial aid). The Graduate School must be made aware of the departmental or program regulations concerning such exams.

#### **K. Preliminary Examination**

A student is not accepted as a candidate for the Ph.D. degree until the preliminary exam has been passed. The examination ordinarily covers both the major field and related work, although some departments or programs cover such field expertise in a separate qualifying exam.

The preliminary examination may be oral or written or both. It is not normally held before the student has met the residence requirements or before completion of course, seminar and any language training requirements. Departments must give students a minimum of 30 day notice of an examination's date before their preliminary examinations occur. Departments may conduct preliminary (and final doctoral) examinations in fall or spring semesters, or during summer session, under the following restrictions:

- 1.** Examinations can be conducted at any time within a term.
- 2.** With consent of a student's committee, examinations can be conducted during breaks between terms, but only if the student is registered for the term on either side of the break.

The voting to pass or fail the student at the preliminary examination, and to allow or deny a re-examination, should be clearly indicated on the Preliminary Examination Form. Passing the preliminary examination requires at least four (4) affirmative votes. Thus if the preliminary examination committee is composed of four (4) members, one negative vote fails the candidate. If the committee is composed of five (5) or more members, a single negative vote does not fail the candidate. Two or more negative votes always fail the candidate. If the chair of the committee casts a negative vote, the student fails the examination. The Director of Graduate Studies is responsible for submitting the

Preliminary Examination Form (go to the Graduate School web site: [Academic Policies and Forms](#) to the Graduate School, and for ensuring that all preliminary committees understand and follow the correct Graduate School procedures. All committee members must sign the Preliminary Examination Form. Any member approved to participate remotely must provide signed documentation of his/her vote according to Graduate School instructions. If a committee member has voted to fail, the word "Fail" must be clearly written next to the voter's signature. Should the student fail, he or she may apply, with the consent of the examining committee and the Associate Dean, for the privilege of a second examination to be taken no sooner than three months and no later than six months after the date of the first. **The original examining committee must conduct the second examination.** Successful passage of the examination must still occur by the end of the third year; students should be encouraged to schedule their initial attempt to allow time for a retake if necessary. The standards of the second examination must be no lower than the first. For the student to pass this second examination, the committee's vote must be unanimous. A second failure will render the student ineligible to continue in the doctoral program.

Several departments now offer a sequence of examinations as the preliminary. In such cases, the rules governing the examination as a whole must apply as well to each and every part. This means that only one retake is permitted for any portion of the exams. The results of each sitting of an exam, or any portion thereof, must be reported to the Graduate School.

In departments or programs that allow the preliminary examination to count as the final M.A. or M.S. examination, exceptional circumstances may require two separate decisions. If the examination committee votes to fail the student on the doctoral prelim, it may still agree that the student should be awarded a terminal M.A. or M.S. degree. In this case, the committee must sign a Master's Examination Card, as well as the Report of the Preliminary Examination marked "Fail," and provide a justification for the recommendation that a terminal Masters be awarded. Return these documents to the Associate Dean.



### **Will the Graduate School accept faxed or stamped signatures on examination forms?**

*No. Exam cards are legal documents and as such require original signatures.*



### **What do I do if an examination is held with fewer than four committee members without my knowledge?**

*Tell the unlucky student the results are void. The legal consequences of such a situation are extremely serious, and it is your responsibility to make certain that all members of your graduate faculty understand that such an examination conducted by fewer than the minimum number of committee members will be declared invalid by the Graduate School.*



### **What do I do if one of the student's committee members (or the candidate him/herself) will not be in town at the time of the examination? What do I do if an examiner simply fails to appear for an examination?**

*When you know in advance that an examiner will be absent, request permission from the associate dean to have the missing member participate via videoconference or teleconference. If an examiner fails to appear, you must immediately contact the Office of Academic Affairs to determine whether the examination may proceed. If fewer than the minimum required number of examiners is present, or if the candidate or the committee chair is not able to be physically present, the examination must be postponed.*



### **If a committee determines that a student has failed one section of the prelim, can I simply hold the examination card until this section is completed?**

*No, you must submit a card signifying the student's failure of the examination as a whole. The failure will not be noted on the student's transcript if the student later passes a retake of the exam and thus will not be part of the student's transcript record if the student later provides a transcript of his or her career at Duke to an employer or other party. It is thus altogether clearer to fail the student with a retake permitted, and then to organize the retake to cover the part of the prelim on which the student was unsuccessful. Holding back the prelim card when the performance was not satisfactory on a part of the prelim creates an ambiguity about the student's standing in the program that could have unpleasant institutional ramifications.*



### **Can a student receive a “conditional pass” on either the preliminary or the final examination?**

*All examinations must be accorded either a PASS or a FAIL. “Conditional pass” is not an option. The candidate who fails either examination may be granted a second examination no sooner than three months (prelim) or six months (final) from the first. The second examination is granted only upon the written recommendation of the committee to the Associate Dean. When a second examination is approved and scheduled, notice should be sent just as for the first examination. The committee must remain intact. In a second examination, the vote must be unanimous. No candidate will be granted a third examination.*

## **L. Dissertation**

The doctoral dissertation should normally be submitted and accepted within two calendar years after the preliminary examination is passed. Should the dissertation not be submitted and accepted within four years after the examination, the candidate may, with the approval of the committee chair and DGS, petition the associate dean of the Graduate School for an extension of up to one year. If this extension is granted and the dissertation is not submitted and accepted by the new deadline, the student will ordinarily be dropped from candidacy. Students dropped from candidacy must then pass a second preliminary examination to be reinstated as a candidate for the degree. In such cases, the new time limit for submitting the dissertation will be determined by the associate dean in consultation with the candidate's committee.

The student must complete the Apply for Graduation form on line in ACES no later than January 25 for a May degree, June 15 for a September degree, and October 15 for a December degree. After each deadline, a list of degree candidates will be sent to you for

your approval. Please review the list carefully and inform the Graduate School Office of any error or omission.

Basic requirements for preparing and submitting the dissertation are prescribed in the “Guide for Electronic Submission of Thesis and Dissertation” found here: [Guide for Electronic Submission of Thesis and Dissertation](#). For more specific aspects of form and style, the student is advised to use [A Manual for Writers of Term Papers, Theses, and Dissertations](#) by Kate L. Turabian, or other approved manuals of style.

The student must compose an abstract of the dissertation, which is sent with the dissertation and will subsequently be printed in [Dissertation Abstracts International](#). Dissertations must be submitted in electronic format. Formulas for “embargoing” dissertations that is, delaying their public availability, are optional: six months, one year, or two years.

## **M. Dissertation Defense**

The Director of Graduate Studies sends a notice of the time, place, date, student's name, title of dissertation, and names of the committee members to the Graduate School **at least two weeks before the scheduled examination**. The Final Examination Certificate will not be released by the Graduate School until this notification is received and the student has submitted the version of the dissertation approved for defense by the adviser to ProQuest for review by the Graduate School prior to the defense (commonly referred to as “format check”). The dissertation must be accepted by the Graduate School as being in proper format at least two weeks before the dissertation defense and by the posted deadline each term. **Members of the doctoral committee must have at least two weeks to read the dissertation prior to the defense.**

The final examination is administered by the student's supervising committee. Successful completion of the final examination requires at least four (4) affirmative votes and not more than one negative vote. If the committee conducting the examination includes only the required minimum of four members, a single adverse vote fails the candidate. If the committee conducting the examination includes more than four (4) examiners, a single adverse vote does not fail the candidate. However, if two (2) or more adverse votes are cast by members of the committee or if a single adverse vote is cast by the professor supervising the dissertation, the candidate fails. In the case of a committee composed of five (5) members or more, a single adverse vote by a member of the committee other than the supervising professor does not prevent a candidate from passing, unless the person casting the negative vote records a protest in writing within three days with the Dean of the Graduate School for submission to the Executive Committee of the Graduate Faculty. After hearing the members of the committee state the reasons for and against passing the candidate, the Executive Committee shall decide the matter. ***In all cases, the doctoral exam card carries a complete record of the vote as cast and, if passed, the dissertation bears only the signatures of the committee members voting affirmatively.***

Questions asked on the final examination should concern the candidate's dissertation and related matters. The examination is oral and must be between two and three hours in duration. If all members vote affirmatively, they sign their names on a copy of the

dissertation title page and a copy of the abstract title page—and on the doctoral exam card. These signatures signify that the dissertation and abstract of the dissertation are suitable for publication on ProQuest and on DukeSpace. The doctoral examination card and the signed title and abstract pages should be returned promptly to the Graduate School Office, either by the student or by the chairperson of the student's committee. A committee finding that the candidate has passed except for minor revisions should sign the doctoral examination card and title and abstract pages, with the understanding that the supervisor sees and approves the revisions before the dissertation is submitted. The student has up to one month after the examination to make changes in the dissertation requested by the committee, unless the posted deadline for final submission of the approved dissertation occurs prior to this one month interval. If the student needs longer than one month to make these changes, the DGS may request an extension of time, stating the reason for the delay and specifying the date the dissertation will be returned. The period of one month after the examination for returning the final copies of the dissertation and all required forms cannot apply if the examination occurs just prior to the end of the summer session, or the fall or spring semesters. At those times the corrected dissertation and required forms must be returned in time to meet specified deadlines for the awarding of degrees. *If, at the end of the semester or term, the student cannot meet these deadlines to return the dissertation, the student will be required to register and pay continuation fees for the ensuing term or semester in which the degree will be awarded. It is in the interest of the student to schedule the defense well before the graduation deadlines* during the semester when he/she wishes to graduate.

## N. Financial Credit

Financial credit of up to one semester may be given if the doctoral student has completed a relevant master's degree at another institution or at Duke prior to his/her admission into the doctoral program at Duke. No financial credit will be given to those students who wish to receive a master's degree en route to the Ph.D. To request a sixth semester tuition waiver, please email Susan Williford in the Graduate School Office between October 1 and November 1 of the student's fifth semester.



**If a graduate student from another university wishes to accompany his/her advisor who is joining our department, what are the minimum requirements such a student would have to meet in order to complete the Ph.D. at Duke?**

*Payment of full-time tuition and fees for 5 or 6 semesters (depending upon whether the student has completed a master's degree elsewhere), residence, the preliminary examination, Responsible Conduct of Research training, the dissertation, and submission of the dissertation to ProQuest and DukeSpace irrespective of the student's year of study in his previous university. This does not mean that the student has to be in residence for 5 or 6 semesters, of course, or that he/she would have to take any formal coursework. It means only that he/she would pay the equivalent of five or six semesters of tuition; deciding about necessary required coursework would be solely up to the department.*

## **Examination Procedures for Preliminary Examinations**

**(To be distributed to all doctoral committees prior to the examination)**

- 1.** The committee conducting the preliminary examination of a doctoral student consists of four or more graduate faculty members approved for this purpose by the Associate Dean of the Graduate School. At least one member of this committee must represent the student's minor field or a related field; at least three members must be from the student's major department or program. Normally the student's supervisor presides over the examination as chair of the committee, although some departments and programs select another member to serve this function at the preliminary examination. The student, the chair, and the majority of the committee must be present in person; other member(s) may participate remotely if approved in advance by the Associate Dean.
- 2.** Preliminary examinations may be oral or written or both, taken at one sitting or at several sittings. If the examination consists of multiple parts, votes taken on any of those parts must follow the procedures governing voting on the examination as a whole (i.e. the entire committee must vote on each part).
- 3.** At the conclusion of the examination, the committee votes on whether the candidate has passed the examination and is therefore allowed to progress to candidacy. All members of the committee must sign the Report of the Doctoral Preliminary Examination form. Any member who votes to fail much write "Fail" by his or her name on the Report form. Original signatures are required. In the event that a member is approved to participate remotely, he or she must provide signed documentation of the vote per Graduate School instructions.
- 4.** If the committee is composed only of the required minimum of four members, the student fails the preliminary examination if any adverse vote is cast. If the committee is composed of five or more members, a single adverse vote does not fail the student unless it is cast by the chair of the committee. Two or more adverse votes always fail the student. In all cases, the Report of the Doctoral Preliminary Examination carries a complete record of the vote as cast (i.e., all members must sign the form, with those voting adversely so signifying by writing "Fail" next to their signatures).
- 5.** A candidate who fails the preliminary examination may be granted a single re-examination upon recommendation of the examining committee (a recommendation to be determined by a second committee vote taken after the first vote results in a failure of the candidate) and approval of the Associate Dean no sooner than three months and no later than six months after the date of the first examination. The examining committee must remain exactly the same for the second examination. The committee vote must be unanimous in order for the student to pass the second examination. A candidate who fails the preliminary examination twice will not be given another opportunity and will be withdrawn from the Graduate School. In cases where a student fails the preliminary examination, the committee may decide to recommend awarding a terminal master's degree rather than granting a re-examination.

## **Final Examination Procedure for the Doctoral Candidate**

**(To be distributed to all doctoral committees prior to the examination)**

- 1.** The committee to conduct the final examination of a candidate for a doctoral degree consists of four or more persons approved for this purpose by the Associate Dean of the Graduate School. The committee is often the same as the committee assembled for the candidate's preliminary exam, but this need not be the case. At least one member of the committee, the "minor representative", must be from outside the student's immediate field of study (e.g. a different research area of the student's department). **All members of the approved committee must participate in this examination and are expected to be present. The candidate, the chair and the majority of the committee must be present in person. If a member fails to appear for a defense and previous agreement for his or her remote participation has not been secured, the exam must be rescheduled.**
- 2.** Questions asked on the examination should concern the candidate's dissertation or related matters. The candidate is expected to be prepared both to defend the dissertation and to answer questions in the major field of study. The examination is to be oral and approximately two hours in length, but not to exceed three hours.
- 3.** At the conclusion of the examination, each member of the committee votes on whether the candidate has passed the examination and is therefore recommended for a doctoral degree. An affirmative vote means that both the dissertation and the candidate's examination are accepted as satisfactory. If all members of the committee vote affirmatively, they sign their names on one Dissertation Title page, one Abstract Title page, and on the Final Examination Card provided by the Graduate School. **Note:** In the case of a dissertation that requires revision, the committee may opt to sign the title page and abstract title page, and the Final Exam Certificate only after the revisions are completed. The signed exam card is a legal document. accordingly, if revisions are beyond what are considered "minor" by the committee, then the committee must withhold signature of the required documents until the dissertation advisor has approved the revisions.
- 4.** In all cases the certificate carries a complete record of the vote as cast: **all committee members must sign the certificate, and those voting negatively must write the word "Fail" clearly beside their names.** If passed, the dissertation title and abstract title pages bear only the signatures of the committee members voting affirmatively. Members participating remotely must provide signed documentation of their votes, per Graduate School instructions.
- 5.** If the committee conducting the examination includes four (4) examiners, a candidate fails if one adverse vote is cast by any member of the committee. If the committee conducting the examination includes **more** than four (4) examiners, a single adverse vote **does not fail** the candidate. However, if two (2) or more adverse votes are cast by members of the committee or if a single adverse vote is cast by the professor supervising the dissertation, the candidate fails. In the case of a committee composed of five (5)

members or more, a single adverse vote by a member of the committee other than the supervising professor does not prevent a candidate from passing unless the person casting the negative vote records a protest in writing within three days with the Dean of the Graduate School for submission to the Executive Committee of the Graduate Faculty. After hearing the members of the committee state their reasons for and against passing the candidate, the Executive Committee shall decide the matter.

6. An increasingly common problem is that of committees passing dissertations that may require extensive revisions. Normally, the committee should be able to determine in advance of the defense whether the dissertation is truly ready to defend. **If, while reviewing the dissertation, the committee suspects major revisions may be required that will take longer than 30 days or that are so substantial that they may lead to a negative vote, the final examination should be postponed. If it only becomes evident during the course of the final examination that revisions to the dissertation cannot easily be completed during the prescribed 30 days, the student should be failed.** There is no such thing as a “provisional pass.” As noted in #3 above, signing the exam documents if major revisions are necessary is not appropriate. But neither is it a good practice to allow a dissertation to come to the examination if it is not ready to defend.
7. A candidate who has failed the final doctoral examination may be granted a re-examination on the recommendation of the supervising professor no sooner than six months after the date of the failure. The examining committee must be the same as that for the first examination. Voting requirements and other procedures on the re-examination are the same as for the first examination.

A candidate who has twice failed to pass the final examination for a doctoral degree shall not be given another opportunity in any department of the Graduate School.

# **Chapter 10**

## **General Program Matters**

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## **A. New Program Proposals**

Proposals for new degree programs or for substantive changes in existing programs should be discussed in advance with the associate dean of the graduate school and the dean or director of the sponsoring school or institute. The submitted proposal must be approved by the Executive Committee of the Graduate Faculty (ECGF) and the Dean of the Graduate School. The procedures for such approval are as follows:

- 1.** Written proposals should follow the guidelines listed under “Basic Elements of a New Program Proposal.”
- 2.** The proposal should be discussed and voted on by the faculty of the present or proposed department or program. A majority must approve the proposal for it to move forward.
- 3.** The proposal should also be vetted by any faculty oversight committee of the sponsoring school (e.g., the Basic Science Faculty Steering Committee).
- 4.** The proposal must be explicitly supported by the sponsoring school or institute as communicated by the relevant dean or institute director.
- 5.** A proposal that has been approved by the above parties is then forwarded to the Associate Dean for Academic Affairs.
- 6.** An ad-hoc programs Subcommittee will review the proposal and forward it to the full ECGF with its recommendations.
- 7.** If approved by the ECGF, the proposal is forwarded to the Dean of the Graduate School for consideration.
- 8.** Proposals for substantive changes in existing programs, but not involving a new degree, can go into effect if approved by the Dean of the Graduate School.
- 9.** Proposals for new degree programs, if approved by the Dean of the Graduate School, are forwarded to the Provost.
- 10.** The Provost seeks the advice of the Academic Programs Committee and the approval of Academic Council with respect to new degree programs. If, after receiving the recommendation of the Council, the Provost supports the proposed new degree, he presents it to the Board of Trustees for final approval.

In cases of dual or joint degree programs, both of the deans of the involved schools must approve the proposal, which will then follow the above procedure. Proposals for certificate programs and University training programs also follow this model. Such programs that do not result in new degrees do not require approval by the Provost or Board of Trustees.

## **B. Basic Elements of a New Program Proposal**

- 1.** Rationale for the program.

- 2.** Relationship to existing programs at Duke (graduate, undergraduate) and at other institutions.
- 3.** Statement of resources needed for the program:
  - a.** review of budget and resources available (personnel, financial, space, library, etc.).
  - b.** statement of additional resources needed.
  - c.** potential or actual outside funding.
  - d.** five-year student, faculty and resources projections
- 4.** Students (sources, characteristics, opportunities available to graduates).
- 5.** Degree requirements for the program (credits, courses, prerequisites, RCR training, examinations, papers, internships, experience).
- 6.** Descriptions of new courses to be offered in connection with the program and identification of teaching faculty.
- 7.** Curriculum vitae of faculty who will participate in the program.
- 8.** A statement of support from the dean of the sponsoring school and any additional clearances obtained or required (e.g. from a school's faculty/advisory board, from professional licensure organizations, etc.).
- 9.** A student learning outcomes assessment process indicating how data on student learning outcomes is to be gathered and how it will be used to improve the program.

## **C. Certificate of Graduate Study**

### **1. Uses and Guidelines**

The student who must withdraw after successfully completing a minimum of one semester's graduate study and before the completion of a graduate program may, with DGS approval, request that the Associate Dean issue the student a general Certificate of Graduate Study.

## **D. Withdrawal, Leave of Absence, and Reinstatement**

### **1. Withdrawal - Voluntary**

If a student wishes to withdraw from the Graduate School for any reason, he or she must send written notice to both the Director of Graduate Studies in his or her department and to the Associate Dean for Academic Affairs prior to the date of anticipated withdrawal. Students may request subsequent reinstatement to the Graduate School, but such reinstatement requires the approval of the graduate faculty of the degree program and the Associate Dean. If reinstated, the student must pay tuition for all the terms she or he was not registered plus a \$200 reinstatement fee. A student who has successfully completed a minimum of one semester of graduate study before the completion of a graduate program may, with the approval of the major department, be issued a Certificate of Graduate Study.

## **2. Withdrawal - Involuntary**

Failure to make satisfactory progress toward the degree or to maintain the minimum GPA of 3.0, or receipt of a grade of "F" in a major course, normally occasions withdrawal from a degree program. If, in judging the overall quality of the student's other work (including research potential and skill at presenting research results in ways appropriate to the discipline), the DGS wishes to request academic probation rather than termination, that request should be forwarded, in writing, to the Associate Dean. Any such request should specify terms of probation under which the student might be allowed to continue in the program. The Associate Dean must approve those conditions and advise the student of the nature and duration of the probationary period. If the terms of the probation are not met, the student will be dismissed. A student who earns two grades of "F" is ineligible for probation and will be administratively withdrawn from the degree program.

Students are also administratively withdrawn from the Graduate School for failure to pay their debts to the University. Such withdrawal normally occurs in the early part of a semester. The DGS will be informed of students from a department who have not cleared their Bursar's account and be given a date by which they will be withdrawn if their bills are not cleared. When a student is withdrawn from school for failure to pay his or her debts to the University, he or she will not be allowed to attend classes, to receive stipend payments, or to function as a student in any fashion. Any student so withdrawn may not be registered in the Graduate School again until (1) all debts to the University have been cleared, and (2) reinstatement has been requested by the department and approved by the Dean. A reinstatement fee will also be charged.

Students may also be administratively withdrawn for failure to comply with the State of North Carolina immunization laws. Students may obtain immunization forms from the Student Health Clinic.

Finally, all students who have placed into English language proficiency courses and who fail to make satisfactory progress in their English proficiency requirements during their initial year of residence may not be allowed to register for a second year. In that case, they may be administratively withdrawn no later than the first day of classes in what would be their third semester at Duke. (Normally, the end of August for students matriculating in the preceding fall semester.)

## **3. Leave of Absence**

A leave of absence differs from voluntary withdrawal in that the student granted a leave is insured a place in the graduate program when he or she returns to Duke within the time limit specified. Leaves of absence may be granted because of:

- a. medical necessity;
- b. full-time employment that advances the student's research ability;
- c. acceptance of an external award judged likely to benefit the student as an individual but not related to degree requirements;
- d. other reasons approved by the Associate Dean.

Students who request a leave of absence must obtain DGS endorsement, as well as that of their principal faculty advisor. Leaves are not to be considered a right that students have or can exercise at will: we expect all requests to be subject to careful consideration to decide whether or not they are truly in the best academic interests of the student. (A request form is available on the Graduate School web site: [Graduate School's Leave of Absence Form](#).

All requests for a leave of absence must be submitted to the Associate Dean for consideration before the first day of classes in a semester. No fees are charged to students who are on a leave of absence, but time limitations on degree requirements and time schedules for the completion of incomplete coursework are not waived during a leave. Only students who have completed at least one semester at Duke are eligible to request leaves of absence.

A leave of absence may be granted for one or two semesters. Two semesters of leave are the maximum allowed for the entire academic career of a student, and thus students should be careful to use these limited leave semesters only for truly necessary reasons. Before the end of a leave of absence, the student must notify the Associate Dean and the Director of Graduate Studies of his or her intention to resume graduate study.

Emergency medical leaves of absence will be considered once a term is underway. Such requests for leave ordinarily require a letter from a treating physician or CAPS counselor that supports the student's receiving such a leave as a medical necessity.



### Things to Note:

*Non-US citizens with a student visa normally cannot take a leave of absence other than one resulting from medical necessity, since doing so jeopardizes their student visa status. Although Visa Services cannot advise students about the academic validity of a leave request, non-US students with student visas would be well-advised to check with a representative of Visa Services before submitting a leave of absence request to the Graduate School.*

## 4. Tuition and Fees

After withdrawal from Graduate School, refunds are made according to the schedule printed in the Bulletin. Tuition or other charges paid from grants or loans will be restored to those funds, not refunded to the student or carried forward.

## 5. Reinstatement

Students who fail to register continuously in the Graduate School, who do not return to school after an approved leave of absence, who have been withdrawn for failure to pay tuition and fees, or who have been withdrawn for failure to comply with the State of North Carolina immunization law or the Graduate School English proficiency requirement, must seek reinstatement before they can be enrolled again. To be reinstated the student must send a letter to the DGS for endorsement before it is forwarded to the Associate Dean for approval. The student must, as a condition of readmission, pay a

reinstatement fee as well as the Continuation Fee for all semesters not covered by a leave of absence before any subsequent registration can be accepted.

## **E. Course Approval/Revision Procedures**

An electronic course add/revise/delete form must be submitted whenever a department wishes to add, modify or drop an existing graduate course. Note that the instructor proposed for the course is ordinarily expected to be a member of the graduate faculty. If he or she is not, please submit, along with the course request, a vitae and a request for an exception by the Associate Dean. Note that adding or dropping a required course for any degree or certificate must be approved by the Associate Dean, with major changes requiring consultation of the Executive Committee of the Graduate Faculty.

**Graduate Courses:** Course add, drop, or change forms should be submitted online: [To Add/Revise/Delete Courses](#). Undergraduate students are not allowed in 700-level courses without the prior written approval from the DGS, the course instructor, the student's undergraduate Dean and the Associate Dean.

**Special attention needs to be given to courses cross listed with other departments.** To add, drop, or revise a cross listed course numbered 700 or above, each department involved must submit a request for approval following the procedures outlined above. Each request should contain the same course title, unit value, description, and instructor(s). The description and instructor(s) need not be given to drop a course. Any request for a cross listed course must contain the number and department for the cross listing, including requests to drop.

## **F. Revision of the Graduate School Bulletin**

The University Bulletin Editor sets the schedule for publication of all the separate University Bulletins and arranges for issue of the Graduate School Bulletin.

Even though it is now published only in electronic format, the Graduate School Bulletin is an historical record in that it contains a list of the Graduate School faculty and the public exposition of current degree requirements of the Graduate School. As a medium of announcement for the following year, it gives full course descriptions, programs to be offered, and the Graduate School calendar. You should direct all new students to be familiar with this Bulletin as its regulations will govern their academic programs at Duke. The Bulletin is available online at: [2014-2015 Graduate School Bulletin](#).

### **Procedures for Revision**

When the University *Bulletin* Editor sets the timetable, the Graduate School Bulletin Editor will send each DGS a memorandum requesting corrected copy. Because the Bulletin, along with your web site, represents the face the department shows to the outside world, it is imperative that you edit Bulletin copy carefully. In the section on Departments, Programs, and Course Offerings you should be sure to list clearly and concisely all formal academic requirements for the degree(s) or certificate given by your program. Changes to course information, with the exception of instructor names, must be submitted using the course request system.

## **G. Inter-Departmental Transfers**

Students may, with the approval of both departments and the Associate Dean, transfer from one graduate program to another within the Graduate School. However, since admission to one Ph.D. program does not give a student automatic access to any other Ph.D. program, all transfers need to be carefully reviewed by both degree programs and by the Academic Affairs unit. The procedures require first that the student submit a written transfer request to the Associate Dean, explaining the basis for the request. Such a request should not be sent to the Graduate School before the student has consulted with the Directors of Graduate Studies of both departments. Upon receipt of this request, the Associate Dean will ask the home DGS for clearance to allow the prospective DGS to examine the student's in-house file. Other members of the proposed department should also review this file in order to ascertain whether the student will be admitted to the new department (this should be the same faculty group that reviews other applications for admissions). The Associate Dean should then be informed about the department's decision and will subsequently effect or deny the formal transfer. If the transfer is approved, the student should complete and submit the Inter-Departmental Transfer form (found on the Graduate School website [Academic Policies and Forms](#)). It should include the student's signature as well as the signature of both DGSs and any accompanying documentation.

Transfers should generally occur before the student takes the preliminary examination in his or her current program. If the transferring student has already taken a preliminary examination, s/he must take another preliminary examination in the new degree program, because successful completion of a preliminary examination is a requirement for every Ph.D. degree at Duke University.

If the transferring student is being funded on a Graduate School fellowship (e.g., Dean's Graduate Fellowship, James B. Duke, etc.), those funds will move with the student to the new department. Funding from instructional or other departmentally controlled funds will, of course, not so move, except among programs (e.g. the biological sciences) where the transferability of funding has been formally approved.

Students completing a master's degree in one program and wishing to continue towards a Ph.D. in another program are not eligible for interdepartmental transfer. They must formally apply to the new degree program using the normal application process outlined in Chapter 3.

## **H. Certifying English Proficiency**

The Graduate School requires that all incoming international students whose first language is not English demonstrate proficiency in speaking and writing English. All new students whose first language is not English must take the proficiency examinations given before or during their first semester at Duke.

The following groups of students may be exempted from the testing requirement:

- 1.** Students in the professional schools, except as specifically arranged\*
- 2.** Non-degree and exchange students
- 3.** Students who have received an undergraduate degree from an institution in a country where English is the primary spoken language.

\* Students in the following professional programs are subject to EIS testing and course placement:

- Nicholas: Master of Environmental Management
- Pratt: Master of Engineering Management and Master of Engineering
- Sanford: Master of International Development Policy and Master of Public Policy
- School of Medicine: Master of Biostatistics

All exemption requests are considered on a case-by-case basis and should be sent to [Brad Teague](#), the director of the English for International Students Program. Exemptions are approved by the EIS Program, usually in consultation with the admitting department.

#### **a. Proficiency Test Descriptions**

The exams measure students' written and oral proficiency in academic settings and contexts.

**Writing:** The exam requires students to read and summarize an article and to write an essay. The entire exam takes approximately two hours. Students are assessed on their ability to synthesize information, develop and support an argument, and use appropriate syntax, grammar, and vocabulary.

**Speaking:** The exam requires students to respond on audiotape to questions on a variety of topics and takes approximately 30 minutes. Students are assessed on their ability to choose appropriate language, grammar and vocabulary; organize information coherently; use comprehensible pronunciation; and demonstrate comprehension, audience and situational awareness.

#### **b. EIS Courses**

Depending on their exam results, students are either exempted from or placed into one or more EIS courses. Students with EIS requirements must begin these courses in their FIRST year of study.

The EIS course offerings are:

##### **Writing**

- |        |                     |
|--------|---------------------|
| GS 720 | Academic Writing I  |
| GS 730 | Academic Writing II |

This is a two-level course sequence, with the expectation that students in Ph.D. programs who begin with Academic Writing I will continue to Academic Writing II. Whether students in master's programs continue to Writing II depends on individual circumstances and is determined in consultation with the department.

### **Oral Skills**

- GS 721    Oral Communication  
GS 731    Academic Presentations

GS 721 focuses on general oral communication, listening, and pronunciation, and is intended primarily for lower proficiency students. GS 731 requires higher proficiency and focuses on academic presentations, argumentation, and discussion skills.

Please be advised that students in master's programs cannot count the EIS courses as part of their minimum required 24 units of graded coursework in their degree field. These courses can, of course, count towards 30 units of graduate tuition credit.

### **c. Testing and Course Schedule**

In late spring, Directors of Graduate Studies will receive specific information about the testing schedule and course times for the following academic year. This information should be forwarded to the incoming students to whom it applies. The examinations are at the beginning of Orientation week. While students should be urged to arrive at Duke in time to take these exams, this is not always possible, and a make-up exam is generally given in the first or second week of classes. However, late arrival is particularly problematic for lower-proficiency students, since EIS classes are generally full by this time, meaning that these students will have to wait until spring to begin EIS courses. You will be notified of the assessments of students' proficiencies and of their need to enroll in EIS courses during the first week of classes. An information session for students regarding testing and EIS courses is held during international student orientation. If you have any questions contact the director of the EIS program, [Brad Teague](#).

## **Chapter 11**

# **Dean's Awards for Mentoring, Teaching and Inclusive Excellence in Graduate Education**

These awards recognize members of the graduate community for helping to create a vibrant culture at Duke that values exemplary mentoring, inspires exceptional teaching, and fosters an inclusive and diverse university community.

### **A. Mentoring**

The Graduate School presents the Dean's Awards for Excellence in Mentoring to recognize the considerable efforts and accomplishments of faculty and graduate students who consistently serve as effective mentors. Designed to allow the university community to identify faculty and graduate students who embody both the letter and spirit of mentoring, these awards are important examples of the university's continuing efforts to cultivate a culture of mentoring.

### **B. Teaching**

The Graduate School created the Dean's Award for Excellence in Teaching to celebrate and honor exemplary teaching by currently enrolled Ph.D. students who are engaged in teaching Duke undergraduate or graduate students. Each spring, The Graduate School recognizes up to three graduate students who best exemplify the characteristics of effective college teaching as they prepare for lives of service, leadership, and teaching.

### **C. Inclusive Excellence in Graduate Education**

The Graduate School created the Dean's Award for Inclusive Excellence in Graduate Education to acknowledge extraordinary achievements by departments and programs that help create an environment of inclusive excellence in graduate education.

The Graduate School is committed to excellence, equity, and inclusion in its graduate programs and to creating a welcoming environment that engages all of its diversity in the intellectual development of its students. Inclusive excellence in graduate programs means not only demographics, but is also reflected in the departmental and program climate, curriculum, intellectual discourse and recruitment, retention and graduation of individuals underrepresented in the discipline, field, or area.

See our website for [complete information on these awards.](#)

# **Chapter 12**

## **Professional Development**

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Graduate education is designed to prepare students to become independent thinkers and researchers who will serve as the next generation of professional, scholarly, and educational leaders in the global society. As noted in “Best Practices: Core Expectations for Graduate Education at Duke,” a successful graduate education encompasses at least four separate components: (1) development of an individual research agenda, (2) preparation for and experience in a variety of teaching roles, (3) opportunities for professional career development, and (4) active participation in a disciplinary or professional community. Faculty advisors provide critical academic training during the students’ graduate career and introduce them to a professional society; however, students may or may not be interested in following in the footsteps of their advisors. Today’s graduate students can pursue a wide range of employment opportunities—faculty member at a college or university, industry researcher, academic administrator, writer, government adviser, filmmaker, entrepreneur, and high school teacher, for example. While many of our alumni/ae pursue careers in academia, others choose career paths in business, government, and nonprofit institutions.

Professional development should be at the forefront of students’ minds at every stage of their graduate careers. All students should seek professional development opportunities that complement their research training and augment their transferable skills. Development opportunities are available to Duke graduate students to advance their competencies in six key areas: teaching and mentoring, communication, leadership, self-awareness, professional adaptability, and professionalism and scholarly integrity. Graduate students who develop a broad range of transferable skills often have greater flexibility as they seek professional employment.

Professional development opportunities available through The Graduate School include one-time events, workshop series, peer-to-peer mentoring, formal coursework, and certificate programs. This variety of offerings is designed to allow students to develop a broad array of transferable skills as well as provide the chance to focus on particular skill sets of interest throughout the three stages of their graduate careers. Professional development opportunities are planned in a two-year cycle to comprehensively address the professional development needs of graduate students at each stage of their graduate career, with topics appropriate to their discipline, across the five major career sectors: academia, business, entrepreneurship, government, and nonprofit.

The Graduate School offers a variety of programs, events, and opportunities to help students achieve their career goals; several of them are highlighted in our [professional development video](#). All Graduate School students participate in [Responsible Conduct of Research \(RCR\)](#) training. We also coordinate courses on college teaching and instructional technology in programs such as the [Certificate in College Teaching](#), the [Preparing Future Faculty](#) program, and the [Bass Instructional Fellowships](#) as well as offering the [Teaching Ideas](#) workshop series. Students interested in preparing for a broad array of professional opportunities can take advantage of the [Professional Development Series](#) of one-time workshops as well as the more intensive, competitive-entry [Emerging Leaders Institute](#). Online resources allow students to stay engaged in their professional development no matter their location: the [Introduction to LinkedIn for Graduate Students Workshop](#) helps students leverage LinkedIn as a career research tool, and Duke’s subscription to [Versatile PhD](#) provides a resource for doctoral students exploring career options beyond the faculty path. All students are invited to share their professional development experiences with the wider Duke community through guest posts on the Graduate School’s

[professional development blog](#). To complement these offerings, The Graduate School offers a competitive [Professional Development Grant](#) to fund discipline-specific programming developed by programs and departments.

The Graduate School also works closely with many other units within and beyond the university—[Duke's Career Center](#), the [Office of Postdoctoral Services](#), the [Center for Instructional Technology](#), the [Office of Research Support](#), and the [Council of Graduate Schools](#)—to provide the best professional development resources to its students. The Graduate School staff will notify you about professional development events and resources throughout the year via our newsletter and our website. See the [Professional Development](#) section of our website for current events and additional resources.

## A. Best Practices: Core Expectations for Graduate Education at Duke University

### 1. The Graduate Environment: An Overview

The primary mission of graduate education at Duke University is to prepare the next generation of professional, scholarly and educational leaders. In order to fulfill this mission, we seek to instill in each student an understanding of and capacity for scholarship, independent critical judgment, academic rigor, and intellectual honesty. It is the joint responsibility of faculty and graduate students to work together to foster these ends through relationships that encourage freedom of inquiry, demonstrate personal and professional integrity, and foster mutual respect. High quality graduate education depends upon the professional and ethical conduct of both faculty and students. The graduate education to which we are committed, moreover, encompasses at least four separate components: preparation for and experience in a variety of teaching roles, development of an individual research agenda, opportunities for professional career development, and active participation in a disciplinary or professional community. Each party in the graduate process—that is, the faculty, graduate students, the graduate department or program, and the Graduate School as an administrative unit—has particular responsibilities in ensuring the achievement of these primary goals.

### 2. Graduate Faculty Members/Advisory Committees

Members of the graduate faculty serve a variety of critical roles as model teachers and researchers, as well as graduate student advisors and mentors. These faculty—and the Master's or doctoral committees on which they serve—provide intellectual guidance in support of the scholarly and pedagogical efforts of graduate students, and are responsible for ongoing evaluation of graduate students' performances in academic and research activities. As mentors and advisors, faculty are responsible for assisting graduate students to discover and participate in appropriate channels of scholarly, professional and disciplinary exchange; and for helping students develop the professional research, teaching and networking skills that are required for a variety of career options, both within and outside academia.

### **3. Graduate Students**

Graduate students are responsible for working towards completion of their degree programs in a timely fashion. It is expected that graduate students in all programs will gain expertise in a particular area of study and, especially in Ph.D. programs, seek to expand the knowledge of that disciplinary field by discovering and pursuing a unique topic of scholarly research. As professionals-in-training, graduate students should learn how to impart disciplinary knowledge through appropriate forms of instruction and publication, as well as learn how to apply that knowledge to particular business, industrial and social problems. Where appropriate for their career trajectories, graduate students should seek out and utilize in their own teaching the best pedagogical practices.

### **4. The Graduate Department/Degree Program**

The graduate degree program bears primary responsibility for publicizing specific and accurate guidelines and procedures governing study in the discipline. It should provide all incoming and enrolled students with a clear structure of the expected stages of progress towards the degree(s); it should offer a curriculum and appropriate forms of instruction necessary to ensure timely completion of that degree; and it should provide specific details regarding likely career opportunities for those seeking the degree. The graduate department/program should also provide students with accurate information about the costs they will incur in graduate study and realistic assessments of future prospects for institutional and other forms of financial support. This information should be included in written guidelines that are given to all students in the program. These guidelines should also spell out normal departmental and university processes for dealing with student grievances, as well as processes for assessing students' satisfactory progress towards the degree.

### **5. The Graduate School**

The Graduate School is responsible for general oversight of graduate programs: it must maintain, through periodic review and assessment, the highest standards of quality in all degree programs; it must evaluate graduate curricula to assure that they are equipping students with the knowledge and skills required for a broad array of post-graduate careers; it must provide resources to attract the very best graduate applicants; and it must provide both financial and other mechanisms to ensure that graduate student life is not one of ongoing struggle, isolation and penury. In its efforts, moreover, to ensure quality in all aspects of graduate education, the School should provide clear and appropriate avenues of redress wherever particular faculty or student experiences fall short of the expectations articulated in this document.

In the individual sections below, we have tried, in more itemized fashion, to specify particular expectations we believe appropriate for each component of the graduate community at Duke University. We have organized these expectations loosely under four general categories: graduate research, graduate teaching and/or training, the professional development/progress towards degree of graduate students, and the academic community.

## **B. Expectations of Graduate Faculty**

### **1. Research**

- to provide intellectual guidance and rigor on students' educational programs and specific research projects
- to provide students with knowledge of the current frontiers and opportunities in disciplinary and inter- or cross-disciplinary research
- to provide appropriate guidelines, including expected timetables, for completion of research projects
- to respect students' research interests/goals and to assist students in pursuing/achieving them

### **2. Teaching/Training**

- to encourage and assist students in developing teaching and presentation skills, including course development, lecture preparation, classroom communication, examining and grading
- to provide sound intellectual guidance on disciplinary research methods and the historical knowledge bases of the discipline or the profession
- to evaluate student progress and performance in a timely, regular, and constructive fashion
- to serve, when requested, as an informed academic advisor and a nurturing professional mentor to graduate students in training, and, where appropriate and desirable, in students' post-Ph.D. careers

### **3. Professional Development/Program Progress**

- to encourage student participation in scholarly activities, including conference presentations, publications, professional networking, grant writing, and applying for copyrights and patents
- to prepare students to enter the job market with requisite professional skills, with an appropriate range of professional contacts, and with a realistic view of the current state of that market, both within and outside of the academy
- to assist students, where appropriate, in joining collaborative projects in accordance with the accepted norms of the discipline
- to provide TA's and RA's with meaningful professional experiences
- to avoid assignment of any duty or activity that is outside the graduate student's academic responsibility or harmful to his or her timely completion of the degree

### **4. Community**

- to be fair, impartial and professional in all dealings with graduate students in accordance with university policies governing nondiscrimination, harassment of all sorts, and normative standards of confidentiality
- to create, in the classroom or the laboratory, an ethos of collegiality so that learning takes place within a community of scholars

- to create an environment that openly discusses laboratory or departmental authorship policies and that prizes and acknowledges the individual contributions of all members of a research team in the publications or presentations of its research
- to avoid all situations that could put them or their students in positions of any conflicts of interest

## **C. Expectations of Graduate Students**

### **1. Research**

- to work responsibly toward completion of the degree in a timely fashion
- to learn the research methods and historical knowledge bases of the discipline
- to communicate regularly with faculty mentors and the masters/doctoral committees, especially in matters relating to research and progress within the degree program
- to discover and pursue a unique topic of research in order to participate in the construction of new knowledge in the chosen field and application of that knowledge to new problems/issues
- to exercise the highest integrity in all aspects of their work, especially in the tasks of collecting, analyzing and presenting research data

### **2. Teaching**

- to receive appropriate training, compensation and evaluation for all instructional roles students are asked to take on
- to receive an appropriately sequenced variety of teaching opportunities relevant to their career expectations and likelihoods
- to devote the same seriousness to undergraduate instructional duties that they would expect from their own instructors

### **3. Professional Development/Program Progress**

- to develop, to the extent possible, a broad network of professional relations
- to contribute, wherever possible, to the discourse of the scholarly discipline through conference presentations, publications, collaborative projects, and other means
- to seek out a range of faculty and peer mentors that can help them prepare for a variety of professional and career roles and responsibilities
- to take responsibility for keeping informed of regulations and policies governing their graduate studies and to complete all required paperwork and other degree obligations in a timely fashion

### **4. Community**

- to create, in their own classrooms and laboratories, an ethos of collegiality and collaboration
- to realize their responsibilities as individual and professional representatives of both the university as a whole and the department or program in which they are studying
- to assist graduate student peers in their own professional and scholarly development

## **D. Expectations of Graduate Departments and Programs**

### **1. Research**

- to provide appropriate resources, both faculty and facilities, to allow students to complete their education and research in a timely and productive manner
- to ensure that faculty committees treat all students fairly and assess their work in thoughtful and informative ways consistent with the practice of the field
- to ensure the highest standards of academic quality in all aspects of the graduate program, from admission of new students to the quality of work accepted as fulfilling the requirements of the Master's or Ph.D. degrees

### **2. Teaching/Training**

- to provide pedagogical training appropriate to and regular assessment of the TA assignments given to graduate students
- to provide clear expectations to students on their responsibilities as TA's or R.A.'s
- to provide all students with a thorough description of the requirements and qualifications necessary for academic employment, training, or financial support at the university
- to provide all students with accurate information about the costs they will incur during the course of their graduate study and realistic assessments of future prospects for financial support
- to provide a range of teaching opportunities relevant to likely career prospects
- to provide, where necessary, appropriate mechanisms to help acculturate international students to academic life in this country and at this university
- to ensure that TA's and RA's not doing work directly related to their theses or dissertations are not being asked to perform inappropriate academic chores or to work in service roles more than 19.9 hours per week averaged across the academic year
- to ensure that an appropriate range of introductory and advanced courses are offered at the graduate level for students in all disciplinary subspecialties
- to ensure that degree regulations and procedures, including those pertaining to required course work; qualifying, preliminary, and final examinations; and thesis/dissertation guidelines, are regularly published and made available to all program students and faculty
- to ensure that graduate students receive periodic and constructive assessment of their progress towards degree
- to ensure that all prospective and currently enrolled students are informed of normative time to degree and attrition rates within the program

### **3. Professional Development/Program Progress**

- to provide all students with a range of activities—colloquia, seminar and guest lecture series, workshops, conference presentations, internships—that allow for their own professional development
- to provide constructive annual reports on the satisfactory progress of students towards the degree

- to provide all students with realistic and accurate statistics on placement of program graduates
- to encourage students in assessing career options and in preparing for a variety of job markets

#### **4. Community**

- to ensure a collegial learning environment in which faculty and students work together in mutual respect and collaboration
- to ensure appropriate levels of academic support for graduate students and faculty
- to provide specific mechanisms for appeal or complaint when standards of collegiality or fairness may have been violated.

### **E. Expectations of the Graduate School**

#### **1. Research**

- to facilitate, where possible, promotion and publication of graduate student research through research grants, conference travel grants, and other centrally administered mechanisms
- to serve as the institutional site of periodic review of all academic units, particularly of the research they conduct and the knowledge they contribute to the discipline
- to facilitate, wherever possible, development of interdisciplinary research and training programs that push the boundaries of current disciplinary fields and agendas
- to develop graduate training programs at both the Master's and the Doctoral levels that best serve the interests of Duke faculty and prospective graduate students

#### **2. Teaching**

- to ensure that individual graduate programs offer a curriculum of graduate instruction that is both broad and deep enough to equip students with the knowledge and skills needed for the broad array of postgraduate careers they may wish to pursue
- to ensure that fair and reasonable guidelines are in place to regularize the assignment of graduate teaching and research assistantships
- to ensure that departmental recruitment and admissions policies are consistent with stated university goals of maintaining or improving the quality of graduate programs and increasing student diversity
- to ensure that appropriate mechanisms are in place, both centrally and within individual degree programs, to ensure successful acculturation of international students to academic life in this country and at this university
- to ensure, by tracking comparative data over time, that all aspects of the graduate programs conform to the highest academic standards and to provide mechanisms of redress when they fall below those standards
- to develop financial support systems that will assist students in their progress to a degree and to ensure that this support does not involve more than a minimal amount of work that draws them away from their graduate programs, that is irrelevant to their likely career trajectories, or that does not progress to greater levels of

responsibility and independence.

### **3. Professional Development**

- to develop centralized training such as the Graduate School courses on college teaching, the Certificate in College Teaching, Teaching IDEAS workshops, and the English for International Students program, as well as support related to campus services offered by the Career Center, the Center for Instructional Technology, and the Office of Postdoctoral Services, which enhance the professional, academic, and scholarly interests of graduate students
- to maintain and publicize comprehensive data on student completion rates, time to degree, placement in at least first professional employment, and attrition. The Graduate School should also conduct exit surveys of graduating Master's and Ph.D. recipients to assess the performance of graduate programs and to modify them as warranted.

### **4. Community**

- to maintain a comprehensive description of the goals and expectations of individual graduate programs and to periodically compare these descriptions against graduate program data
- to develop specific avenues for faculty and student appeals of existing policies or regulation, of perceived breaches of institutional standards of fair and reasonable practice, or of violations of honor or ethical codes. These avenues should be published regularly and provided to all graduate students and faculty.

## **F. Responsible Conduct of Research (RCR)**

### Responsible Conduct of Research Requirements

#### **Master's degree and Ph.D. degree requirement**

**GS 705, 710 or 710A, GS711, GS712, GS713**

#### **1. Overview of Responsible Conduct of Research (RCR) training**

Duke University Graduate School strives to promote responsible research and academic integrity by:

- engaging in strategic planning on RCR education
- providing training on RCR topics
- developing RCR educational resources
- evaluating RCR educational programs, and
- presenting key findings to the scholarly community.

RCR training is a formal academic requirement of the Master's degree or Ph.D. degree in every department and program of study at Duke Graduate School. This reflects our expectation that every graduate student will be well qualified to address the growing ethical challenges that arise when teaching or conducting research. We collaborate with faculty and staff across [Duke University](#) and [Duke University School of Medicine](#), with experts from nearby institutions in the [Research Triangle](#), and with national and federal

organizations including the [Council of Graduate Schools](#) and the [U.S. Office of Research Integrity to develop appropriate training](#).

Since the 1990s, Duke Graduate School has been at the forefront of the development of RCR training, and we have expanded RCR training to every Master's and Ph.D. student to ensure that all graduate students (including research master's degree students) who receive funding by federal agencies ([NIH](#), [NSF](#), etc.) are in compliance with federal guidelines and mandates for such training. The RCR training program for graduate students (and postdoctoral fellows as space permits) is designed to meet the requirements of the [America COMPETES Reauthorization Act of 2010](#) (H.R.5116). We work closely with the [Office of Research Support](#) at Duke to ensure that ongoing RCR training efforts fulfill the needs of graduate student researchers and that we provide education on current [RCR policies](#). The Graduate School's RCR program has developed from a modest orientation for certain biological science Ph.D. students to our current structure of face-to-face training offered via four RCR Orientation events for entering Master's degree students as well as Ph.D. students (grouped by academic division). Beyond the RCR Orientation, Ph.D. students must complete additional two-hour RCR Forum workshops and/or department-specific training.

RCR training at Duke is an opportunity for professional development on a wide range of topics in which graduate students might encounter ethical dilemmas while conducting research or carrying out their responsibilities as a Research Assistant, Teaching Assistant or instructor. Topics range from data collection to authorship, animal care or use to human subjects, and promoting academic integrity in the classroom to mentoring relationships with faculty. We conduct all RCR training face-to-face (rather than using online modules) in order to promote a culture of openness and a dialogue surrounding the micro-ethical actions of an individual researcher, as well as the macro-ethical dimensions or potential downstream consequences of research on human health, society or the environment. The overall goal is to promote ethical decision-making skills, academic integrity, good scholarship, and a culture of open dialogue across the phases of proposing, performing, or presenting and publishing research results. RCR relates not only to the obligation of conducting research and teaching with integrity, but also to ensuring that the rights and interests of original sources, human subjects and/or animal subjects are protected. At Duke, RCR is framed as a positive obligation rather than as the avoidance of "misconduct."

## **2. Rationale for RCR training**

Responsible conduct of research is foundational to the very nature of conducting good research that gains the public trust and contributes to the betterment of humanity and society. Good scholarship relies upon the honesty and integrity of individual researchers and the "community of scholars." Both U.S. federal government (NIH, NSF) and Duke University policies define research misconduct as "fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results." Beyond these clear violations identified as misconduct, recent national studies on the actual behaviors of scholarly researchers have identified "questionable research practices" that have the potential to lead toward misconduct. Graduate students

completing a research degree and preparing for scholarly careers must develop the knowledge and skills required to conduct research according to professional standards and to teach with integrity.

In 1994, the Executive Committee of the Graduate Faculty at Duke took a broad perspective and set a goal that RCR training would become a formal requirement of the Ph.D. degree in every Ph.D. department and program. This goal was met, and the formal requirement began with fall 2003 Ph.D. matriculants. Duke now requires every Ph.D. student to complete RCR training in order to ensure that all graduate students who receive funding by federal agencies (NIH, NSF, NEH, etc.) are in compliance with federal guidelines and mandates for such training. Moreover, the commitment of Duke faculty and administrators to RCR education has helped foster an institutional climate in which the ethical dimensions of research are taken seriously and academic integrity is promoted.

This proactive approach to institutionalize RCR training across Duke University took on more significance in January, 2010, since we had already developed the administrative infrastructure and training programs necessary to ensure that Duke University graduate students will meet the federal requirements of the [America COMPETES Reauthorization Act of 2010](#) (H.R.5116). The Graduate School, with support from our Board of Visitors and Executive Committee of the Graduate Faculty, expanded RCR training as a formal academic requirement of the degree for all entering Master's degree students who matriculated in fall 2013. All entering master's degree students must complete a 4-hour RCR Orientation focused on academic integrity, the Duke Community Standard, avoiding plagiarism by proper citation, and learning about Duke campus resources to help them succeed in their academic programs and research endeavors.

### **3. RCR Topics and Policies**

The Graduate School regularly offers RCR training in 12 core topics, and we continue to offer training in more diverse fields such as the digital humanities. These topics include and go beyond the nine core areas identified by the U. S. Office of Research Integrity (<http://ori.dhhs.gov>):

- a. Academic integrity and misconduct
- b. Conflict of interest or commitment
- c. Mentor/advisee responsibilities
- d. Harassment prevention and handling complaints
- e. Human subjects
- f. Animal subjects
- g. Data management
- h. Intellectual property
- i. Publication practices
- j. Collaborative research
- k. Fiscal responsibility
- l. Social impact of research

Duke University and/or federal policies on these and other topics are listed on the [Office of Research Support RCR website](#) regarding RCR training for postdoctoral fellows, graduate students and undergraduates who are supported by federal funding (NIH, NSF, etc.).

#### **4. RCR Degree Requirement for Ph.D. Students**

Since fall 2003, ALL matriculating Ph.D. students at Duke University are required to complete 12 or 18 hours of RCR training depending on their academic program. To accomplish this, each Ph.D. student must attend ONE of three Fall RCR Orientations (according to academic division, see #6 below) AND should complete six (6) additional RCR training hours for credit within the first three years of his/her program to meet the number of training hours required for the degree. Note that Ph.D. students in the Basic Medical Sciences must also attend a mandatory, follow-up RCR training after they complete Year-3 of their program. The School of Medicine with the Graduate School will offer a summer workshop to fulfill 4 of the 6 hours required beyond the RCR Orientation. This will meet NIH concerns that RCR training be updated approximately every three years during various phases of undergraduate, graduate, or postdoctoral training.

<b><u>Basic Medical Science Track</u></b>	18 hours total
Orientation	12 hours
Year-3 Follow up RCR Forum	4 hours
RCR Forum (within year 1-2)	2 hours
<b><u>Natural Science and Engineering Track</u></b>	12 hours total
Orientation	6 hours
Forums	6 hours
<b><u>Humanities and Social Science Track</u></b>	12 hours total
Orientation	6 hours
Forums	6 hours

**NOTE:** Medical Scientist Training Program (MSTP) students (combined M.D./Ph.D. degree) who begin their Ph.D program on or after fall 2003 must complete the 18 hour requirement of basic medical science students to include GS710A: Beaufort Retreat, and the Year 3 Follow up training along with one additional RCR Forum.

#### **5. Types of RCR Training Provided**

##### **a. GS705: RCR Orientation for Master's degree students**

Beginning in Fall 2013, The Graduate School now requires that all entering Master's degree students must complete a four (4) hour RCR Orientation during Orientation week. This training will be led by faculty and staff from Duke University and will focus attention on academic expectations, the Duke Community Standard, resources to ensure proper citation and to avoid plagiarism, and more discipline-specific training in small group breakout sessions. Details about the Fall RCR Orientation for Master's students will be posted on the Graduate School website.

**b. S710 or GS710A: RCR Orientation Events**

Each Ph.D. student must attend ONE (1) of the Graduate School's mandatory Fall RCR Orientation programs (GS710 or GS710A) as determined by department or program (see departmental list below). The campus programs are similar to an all-day professional conference. The "Beaufort Retreat" or RCR Orientation for basic medical science Ph.D. students is a weekend event (Friday-Sunday) at Duke Marine lab in Beaufort, NC. Students will be contacted via email and requested to pre-register for each RCR Orientation. Students can NOT pre-register in ACES.

**c. GS711: RCR Forum events**

Beyond the appropriate RCR Orientation, each Ph.D. student should complete six (6) additional hours of RCR training during his or her first three years of study, except for basic medical students who should plan to attend a mandatory Year-3 RCR Training follow up. For most, this requirement can be met by attending three RCR Forum events (2-hour workshops) or a combination of GS711 and GS712 training events. Several GS711 events will be offered each fall and spring on a wide range of topics. The schedule of RCR Forums will be provided at the beginning of each semester. Students are responsible for checking the schedule, pre-registering, and participating in these events to complete their RCR degree requirement. Students must pre-register for RCR Forum events as directed—NOT through ACES.

**Note:** RCR Orientation is NOT a pre-requisite to attend RCR Forums. In the rare event that an entering Ph.D. student does not attend the RCR Orientation (due to illness, visa delay, etc.), she or he is welcome to participate in the RCR Forum events.

**d. GS712: Departmental RCR Forum Events**

The Graduate School collaborates with other Duke Schools, departments, campus institutes and centers to promote advanced and/or discipline-specific training in RCR-related issues. While many groups may sponsor events on ethical topics, only events pre-approved by The Graduate School as relevant to research ethics training will qualify for RCR transcript credit. If approved, the Graduate School occasionally can help fund or promote events across relevant departments or programs. If you would like the Graduate School to review any upcoming training plans in order to determine whether official Graduate School RCR credit should be granted, please follow the instructions under the section "[RCR--Other Approved Training](#)" on our web site. The faculty or staff leader must submit a one-page form--"Request for GS712 RCR Training Event"--at least two weeks before the event. The Associate Dean and/or Assistant Dean of the Graduate School must grant the approval. See Appendix at the end of this chapter.

**e. GS713: Year 3 RCR Training (Ph.D. in Basic Medical Sciences only)**

The Graduate School and the School of Medicine will launch a new mandatory, RCR follow-up training event in summer 2014 for Ph.D. students in the Basic Medical Sciences who have completed Year 3 of their program. At this point, many have begun to move beyond course work and are working on their research projects. Given this, their concerns about appropriate research standards and conduct may take more

focus. We will provide a 4-hour RCR training session, likely followed by 4-hour training in career and professional development planning. The GS713 4-hour training will build on the initial “Beaufort Retreat” and count toward the remaining 6 hour RCR training requirement. Thus, each Ph.D. student in the Basic Medical Sciences should attend GS710A: RCR Orientation: Basic Medical Sciences, and GS713: Year 3 RCR Training, and one additional GS711 or GS712 RCR Forum event to fulfill the total 18 hour RCR training requirement.

**f. Online RCR Training**

The Graduate School and ECGF view RCR training as a valuable component to a comprehensive graduate education, not simply as compliance to basic policies and procedures. While some universities and organizations utilize online modules for RCR training and these are beneficial for basic factual knowledge, we support a more interactive, interpersonal, and interdisciplinary conversation that promotes active learning and higher levels of critical thinking among students, faculty, and other research professionals. While the Graduate School has begun to develop and use online modules as preparation for training events, we think interpersonal contact and open discussion of RCR issues with faculty and staff is a vital component of the professional development of graduate students. The research on effective RCR training supports our approach to offer training events that follow models of active learning and discussion about realistic scenarios that surface in the context of conducting research.

**6. RCR Transcript Credit**

All RCR training approved by The Graduate School and completed by the graduate student will appear as GS710, GS710A, GS711, GS712, or GS713 on the official university transcript. For every RCR event, the Graduate School requires pre-registration by students. During each event, students are asked to complete and sign a “Request for Transcript Credit” form as an official record of their participation. All forms are collected and processed by the Graduate School who then submits an official list to the University Registrar. RCR credit will appear retroactively in the academic term in which the training was completed. Please allow sufficient time for the Graduate School and Registrar to process credit after each event.

**7. Role of the DGS, DGS-Assistant, and/or Department in RCR training**

Since RCR training is a formal requirement of the Ph.D. and awarded transcript credit, it is important that each DGS and DGS-Assistant inform new matriculants of this requirement, forward Graduate School announcements, and remind enrolled students to monitor their own progress to complete the 12 or 18 hours.

**PeopleSoft Query to Report on Total RCR Training Completed**

To determine the number of hours completed, the student or DGS-A can simply add the credits for GS710, GS710A, and GS711 (or GS712 & GS713) on the student transcript (academic history) in ACES or STORM. Also, the Graduate School has created a query

that can be run in PeopleSoft as a summary report for students in your department or program.

**Department Representative at RCR Orientation**

Each fall, the DGS should identify ONE faculty member (and/or possibly an upper-level graduate student) to serve as co-facilitator(s) to lead a breakout session during the RCR Orientation (campus), or respond to requests from the Basic Medical Science co-directors for the Beaufort Retreat. Student feedback on RCR training indicates that faculty participation is vital to the success of RCR education and that students appreciate the opportunity to discuss such issues with colleagues in their department in a more casual environment than a class or lab setting. The purpose of the breakout sessions is to promote conversations about research ethics in your field of knowledge. Some smaller departments will be grouped together to promote discussion and an effective use of faculty time.

**8. Frequently Asked Questions about RCR**

- a. *What are the requirements for Ph.D. students who began their doctoral studies prior to Fall 2003?*

[This question has a few answers, depending on your field of study.]

**For MSTP and all basic medical science Ph.D. students:**

To comply with federal guidelines, Ph.D. students who entered Duke prior to Fall 2003 are required to attend the Basic Medical Science Orientation at Beaufort AND beginning with Fall 2011 matriculants they must attend the new, Year-3 RCR Forum event, and one additional RCR Forum prior to graduation. These credits will be posted on their official university transcripts.

**For all other Ph.D. students prior to Fall 2003:**

The Graduate School has NO degree requirements in RCR for students who began their doctoral studies prior to Fall 2003. While such students are welcome to attend RCR Forums (space permitting) and other training events for their professional development, we will not provide transcript credit.

- b. *Can postdoctoral fellows attend RCR training events?*

The Graduate School plans to open as many RCR Forum training events as possible to postdoctoral fellows; however, given the entering class size for Ph.D. students, we are not able to include postdocs in the RCR Orientation. Begun in fall 2010, the Office of Postdoctoral Services now offers a separate, annual RCR Orientation for postdocs at Duke. In addition, the Trent Center for Bioethics, Humanities, and History of Medicine at Duke offers an annual course that is open to postdocs. The Graduate School and Office of Postdoctoral Services will report postdoc participation in RCR training to the Office of Research Support who will maintain a database of RCR completion for postdocs.

## **9. Handling or Reporting Misconduct**

Any member of the Duke community (student, faculty member, or staff) having reason to believe that a researcher has committed misconduct in research should report the matter, in writing, to the researcher's department or section chairperson, division chief, dean, or the appropriate Misconduct Review Officer (MRO). Allegations addressed to anyone other than a MRO shall be promptly forwarded to the appropriate MRO, who will immediately notify the chancellor for health affairs and the vice chancellor for medical center academic affairs that such an allegation has been made.

## **10. Misconduct Review Officers**

### **Medical Center**

Donna Cookmeyer, Ph.D.  
Research Integrity Officer  
Hook Plaza, 2424 Erwin Road, Suite 405  
DUMC 2712  
Durham, NC 27710  
919-668-5115  
[donna.cookmeyer@duke.edu](mailto:donna.cookmeyer@duke.edu)

### **Non-Medical**

Dr. Keith Whitfield, Vice Provost for Academic Affairs  
220 Allen Building  
919-660-0330  
[keith.whitfield@duke.edu](mailto:keith.whitfield@duke.edu)

## **11. RCR Training by Academic Department or Program**

### **Basic Medical Sciences**

Biochemistry  
Biological Chemistry  
Cell Biology  
Cell and Molecular Biology  
Computational Biology and Bioinformatics  
Developmental Biology  
Genetics and Genomics  
Immunology  
Integrated Toxicology and Environmental Health  
Medical Physics  
Medical Scientist Training  
Molecular Cancer Biology  
Molecular Genetics and Microbiology  
Neurobiology  
Pathology  
Pharmacology  
Structural Biology and Biophysics

## **Natural Sciences and Engineering**

Biological and Biologically Inspired Materials  
Biology  
Biomedical Engineering  
Chemistry  
Civil and Environmental Engineering  
Cognitive Neuroscience  
Computer Science  
Earth and Ocean Sciences  
Ecology  
Electrical and Computer Engineering  
Environment  
Evolutionary Anthropology (formerly BAA)  
Marine Science and Conservation  
Mathematics  
Mechanical Engineering and Materials Science  
Physics  
Psychology and Neuroscience: (research as Psychological and Brain Sciences)  
Statistical Sciences

## **Humanities and Social Sciences**

Art, Art History, and Visual History  
Business Administration  
Classical Studies  
Cultural Anthropology  
Economics  
English  
German Studies  
History  
Literature  
Music  
Nursing  
Philosophy  
Political Science  
Psychology and Neuroscience: (research as Social and Health Sciences)  
Public Policy  
Religion  
Romance Studies  
Sociology

**Note:** MSTP students (M.D. /Ph.D.) must participate in RCR Orientation when they officially matriculate in the Ph.D. in year three (normally).

## **12. Contact for More Information**

Dr. Hugh Crumley  
Assistant Dean for Academic Affairs  
Duke University Graduate School  
2127 Campus Drive, Box 90068  
Durham, NC 27708  
Phone: (919) 660-5975  
Fax: (919) 684-2277  
Email: [grad-rcr@duke.edu](mailto:grad-rcr@duke.edu)  
Web Site: [www.gradschool.duke.edu/](http://www.gradschool.duke.edu/)

## G. Professional Development of Graduate Teaching Assistants and Instructors

### 1. Introduction

Duke University Graduate School is committed to the professional development of graduate students as effective college or university teachers. Graduate students may serve as Teaching Assistants (TAs), may teach their own courses while at Duke, and may pursue faculty positions in higher education. We offer relevant training that will prepare graduate students for the realities they will encounter as TAs and/or future faculty – realities such as classroom management, student learning styles, active learning, new expectations of junior faculty, appropriate uses of instructional technology, peer evaluation of teaching, and attention to student learning outcomes in higher education. In addition, we provide resources to assist faculty and departments engaged in direct training and mentoring of graduate student TAs or instructors.

While the primary mentoring of TAs often is handled by individual faculty within a department or program of study, the Graduate School offers various courses, workshops (like the Teaching Ideas series), and programs such as the [Certificate in College Teaching](https://gradschool.duke.edu/professional-development/programs/certificate-college-teaching) <https://gradschool.duke.edu/professional-development/programs/certificate-college-teaching> (CCT) to supplement this training. In fact, the [Preparing Future Faculty](#) (PFF) program provides an opportunity for advanced PhD students to learn about faculty roles and responsibilities across a range of academic institutions by interacting regularly with faculty mentors at our nearby partner institutions (Durham Technical Community College, Elon University, Guilford College, Meredith College, North Carolina Central University). Since the number of PFF Fellows is limited annually, we now offer the CCT program and collaborate with the Career Center and other units to offer similar training and topics to a wider audience at Duke. Moreover, we collaborate with Duke's [Center for Instructional Technology \(CIT\)](#), the [Link Teaching and Learning Center](#), the [Thompson Writing Program](#), the [Scholarly Communications Office](#), the [Academic Resource Center](#), and the [Office of Student Conduct](#) (on academic integrity) to promote training on a wide range of topics related to effective teaching in higher education.

Because of the importance of any teaching responsibilities assigned to graduate students at Duke, serious consideration must be given to how we train, develop, and evaluate their teaching. The University expects that all graduate departments and programs--particularly those in Arts and Sciences disciplines--will develop their own training to prepare graduate students for their upcoming teaching roles in the discipline. Although these training programs are likely to have several elements in common, each program should

be tailored to the signature pedagogies of the discipline and to the resources of the department. In addition, departmentally based programs are expected to contribute to the vitality of disciplinary and interdisciplinary units by fostering collegiality and intellectual exchange among faculty, graduate students, and undergraduates. Several departments do offer a formal course on pedagogy in the discipline, and they collaborate with the Graduate School's Certificate in College Teaching. Ultimately, the overall pedagogical objectives of graduate programs can be separated into two distinct learning objectives. First, they must prepare graduate students for their specific roles in undergraduate instruction at Duke. Second, they must prepare them to enter subsequent employment as experienced teachers, researchers, or other professionals who are able to present their work more effectively than doctoral recipients from other competitive institutions. Thus, the CCT program requires graduate students to document their teaching skills, experiences, and disciplinary practices and to prepare them to engage with current issues in undergraduate education.

Finally, in order to ensure fairness in financial remuneration, equal demands upon graduate students' time, open communication, adequacy of preparation for instructional roles, and ongoing professional development, the Guidelines and Policies that follow propose broad standards and a common foundation for these departmentally based programs. The Guidelines and Policies address the selection, assignment, training, payment, supervision, and evaluation of teaching assistants. They are intended, in most instances, to be suggestive rather than prescriptive and to raise issues that departmental and program faculty should consider and review annually.

## **2. Duke University Guidelines and Policies for the Professional Development of Graduate Teaching Assistants and Instructors**

### **a. Teaching Assistant Responsibilities**

In numerous departments at Duke, graduate Teaching Assistants (TAs) perform a variety of roles related to teaching that represent different levels of independence and of direct contact with undergraduate students. The designations of these TA assignments may differ among the various graduate programs, and can include serving as laboratory assistants, laboratory directors, graders of essays and examinations, course development assistants, leaders of discussion sections, course instructors, teaching apprentices, and head teaching assistants. Often a single TA assignment will include more than one of these roles. With accompanying training, these roles might properly be understood as constituting an apprenticeship in teaching.

During the course of their graduate education, TAs should, where possible and appropriate, progress from TA assignments closely supervised by faculty to less closely supervised assignments. We strongly encourage departments to provide graduate students with rationalized and incremental experiences in teaching as they progress through their graduate programs. To the extent possible, departments should make assignments that contribute to the intellectual and professional development of graduate students, not ones that represent menial or highly repetitive tasks. Advanced

students may assume full responsibility for their own courses or, in some programs, for coordinating the activities of beginning TAs.

Each faculty member and/or department should develop and publicize any specialized responsibilities assumed by TAs in their various instructional roles within the departmental curriculum or their individual courses. Where practical, these responsibilities should be communicated either in the annual contract letters provided to graduate TAs or in a separate letter prior to the semester in which they are to be employed.

Whether graduate TAs serve primarily as assistants to a faculty instructor, instructors of their own classes, graders, tutorial leaders, laboratory instructors, or as occasional lecturers or discussion group facilitators, all TAs at Duke University are expected to maintain the highest levels of professional and ethical standards. These standards include, among others, a respect for honest and responsible exchange of intellectual ideas, fair and equal treatment of all students, respect for individual differences, and avoidance of any interactions that could jeopardize the objective assessment of student efforts.

**b. Selection and Assignment of TAs**

In order to ensure that graduate students are qualified for their roles as TAs, the following minimum guidelines are provided:

- 1.** Only enrolled graduate students who are in good academic standing are eligible for teaching assistantships;
- 2.** Only enrolled graduate students who demonstrate oral proficiency in English are eligible for appointment as a graduate teaching assistant. This proficiency is determined by the Graduate School, as currently the policy, in consultation with individual Directors of Graduate Study and may vary depending upon the requirements of the TA assignment;
- 3.** Only graduate students who have completed one year of academic study in their discipline at Duke and who have completed or are currently taking either a departmentally based or Graduate School training course or program should be given complete instructional responsibility for a free-standing course;
- 4.** First-year graduate TAs are normally expected to work under the supervision of individual faculty, who mentor them in carrying out duties in specific laboratory or lecture courses.

A limited number of exceptions to the second of these guidelines may be required in departments where all first-year students serve as laboratory or other instructional assistants. In such cases, exceptions will be granted on condition that students are enrolled in the appropriate classes of the English for International Students program. Exceptions to the third guideline may also be made in individual cases, particularly where students have entered their graduate programs with outstanding professional experience or commensurate work experience and demonstrated contributions to the teaching discipline presented in lieu of formal academic preparation. In all cases, departments and programs must document all exceptions granted.

Clear procedures for the selection and assignment of graduate students as TAs are essential to prevent misunderstandings about, and inequities in, the allocation of departmental resources to graduate students. Departments should make written guidelines available to their graduate students. To ensure a common understanding of TA responsibilities, departments should offer each TA a contract at the time of assignment that clearly specifies both the expectations of the position the graduate student will fill and the financial remuneration the student will receive. Departments are strongly encouraged to prepare brief descriptions of TA duties for each of their courses in which TAs serve and to make these descriptions available to all graduate students.

**c. TA Training**

Because teaching expertise represents a set of skills and attitudes acquired through training, experience, and critical reflection, preparation for and practice in teaching are at the core of an effective professional development program for graduate TAs.

Departments in which students routinely pursue academic careers should provide ongoing training to ensure that their graduate students are adequately prepared for their responsibilities as both TAs at Duke and faculty members elsewhere. This training, ideally, should include a discipline-specific introduction to issues of course design and planning, instructional methods, effective assignment sequencing, and issues of evaluation and grading that is offered either prior to or concurrent with their appointment. Departments that do not already have training programs are encouraged to work with the Graduate School staff in developing them. Graduate TAs also should be encouraged to avail themselves of the [Graduate School courses on college teaching](#), the CCT program and resources offered through Duke's [Center for Instructional Technology](#). Additional resources are available through the Preparing Future Faculty program and the Teaching IDEAS discussion series coordinated by the Graduate School. Graduate students in programs that do not typically lead to careers in the academy also benefit from TA training and instructional experiences. Such activities hone professional abilities to marshal, summarize, and present research and other material in clear and effective form and are therefore highly desirable for students planning careers in business or industry. Departments in this category are thus encouraged to develop training programs and other instructional activities that will provide students with opportunities to sharpen and refine their presentational skills.

**d. Payment of Teaching Assistants**

The Graduate School is committed to provide financial support to all doctoral students in years one through five that is competitive with comparable programs elsewhere. In support of this goal, the Graduate School regularly establishes minimal stipend expectations for departments in the four basic academic divisions of humanities, social sciences, biological sciences, and physical sciences. Graduate students in these divisions who are involved in undergraduate education are paid a fixed per course rate, set by Trinity College, for their instructional services. This amount is supplemented with a graduate fellowship in order for the total stipend to remain at the recommended level during the initial years of graduate study.

Duke University also is committed to ensuring that the professional development of graduate students as teachers is considered as part of their doctoral training, not simply as paid service to the institution. However, departments should carefully avoid overburdening TAs and should bear in mind that graduate students have multiple requirements and responsibilities in completing their degrees. Graduate TAs should not teach more than one course per semester if they are the instructor of record in the course, and various other TA arrangements should not exceed the time investment necessary to teach one course during a semester. We encourage departments to work to create the opportunities necessary for students to gain teaching experience as they complete their degrees.

**e. Supervision and Evaluation**

To enhance the training and teaching experience of graduate students, the departments should—wherever possible—assign graduate TAs a faculty mentor who can provide ongoing guidance during their appointment. In smaller programs, departments might wish a single faculty member to serve as the “teaching mentor” to all graduate students; in others, mentors could either be singly assigned or a subset of the faculty could agree to assume this responsibility. In either case, departments should also develop a procedure for providing feedback to TAs on their teaching. This procedure should include a formal written evaluation by the faculty member responsible for the course, section, or laboratory taught by the TA; direct observation of the TA in the classroom or lab; and follow-up consultations with the TA. A teacher course evaluation instrument—whether the one currently used by the undergraduate college or one devised by the department—should be completed by undergraduate students to evaluate their TA’s performance in lecture, laboratory, or discussion sections. As an institutional resource, the Center for Instructional Technology, Graduate School staff, or [Trinity College Office of Assessment](#) can assist departments in developing assessment instruments and, to the extent possible or necessary, in providing training for faculty members supervising TAs.

**f. Recognition and “Certificate in Teaching” Programs**

Duke University has a number of teaching awards that recognize graduate TAs for their performance in the classroom. Each year, the Graduate School awards up to three recipients for the [Dean’s Award for Excellence in Teaching](#). Departments are encouraged to develop additional ways of rewarding TAs for their outstanding teaching contributions. Additionally, the Graduate School has developed a new [Certificate in College Teaching](#) program which has integrated prior departmental-level certificate programs in college teaching such as the former Certificate in Teaching College Biology.

**g. Monitoring Departmental Programs**

Each department or program will provide the Dean of the Graduate School with a copy of its current procedures for the professional development of graduate TAs. In addition, as part of their annual “budget requests” departments are expected to report not only on the anticipated levels of instructional and financial need for the budget

year, but also on any changes in how TAs are trained, assigned, and assessed. The Dean of the Graduate School will be responsible for soliciting from the Deans of the individual schools any additional information that might be necessary to assess the overall activity of the various professional development programs for TAs and for forwarding this material annually to the Office of the Provost to ensure compliance with the institutional Guidelines and Policies by all units in the University.

## H. Courses on College Teaching

**Contact:** Dr Hugh Crumley, Assistant Dean for Academic Affairs

**Address:** Duke University Graduate School, 2127 Campus Drive, Box 90068

**Phone:** (919) 660-5975

**Email:** [crumley@duke.edu](mailto:crumley@duke.edu)

**Website:** [Courses on College Teaching](#)

### **GS 750: Fundamentals of College Teaching**

In this course, graduate students (mainly first year or beginning Ph.D. students) will learn how to: clarify TA or instructional responsibilities with faculty mentors, promote active learning in the classroom or lab, lead effective discussions, design learning activities, utilize instructional technology, and develop and apply grading criteria appropriately. In addition, you will identify Duke campus resources that can provide both you and your students with personal, academic or professional support. Finally, you will engage in critical self-reflection on your own teaching and learning. Credit: (1 credit; CR/NC). Instructors: Crumley or Ramos. Two sections offered each fall and at least one section in spring term.

### **GS 755: College Teaching & Course Design**

In this course, each Ph.D. student will draft at least one course syllabus that may be used to teach an independent course at Duke, to seek adjunct teaching opportunities, or to apply to future faculty positions. Topics will include methods of course design, syllabus construction, critical thinking, student learning outcomes, formative and summative evaluation methods, analytic vs. holistic grading rubrics, and practical steps to propose and teach a new course. Research on college students and successful new faculty will be discussed. The products created in this course are a vital part of any teaching portfolio. Limited to Ph.D. students in year two or higher. Credit: (1 credit; CR/NC). Instructor: Goldwasser. Offered spring and fall terms.

### **GS760: College Teaching & Visual Communication**

This course is offered to support your professional development as a graduate instructor and/or future faculty member. In this course, you will explore visual communication for teaching and other professional activities in print, in face-to-face situations and online. This includes introductions to web design, graphic design, effective presentations, development of an online electronic teaching portfolio, and exploration of other instructional technology for college teaching. Limited to 2nd year and higher graduate students. 1 Credit. Instructor: Crumley. Offered fall and spring terms.

### **GS762: Online College Teaching**

[Bass Online Apprenticeship](#)

In this course, students examine different formats of online and hybrid courses for teaching at the college level. This includes evaluation and assessment of learning outcomes, syllabus design, materials production and issues in intellectual property in online education. Limited to 2nd year and higher graduate students. Prerequisite: completion of another course in teaching college. 1 Credit. Instructor: Crumley. Offered spring term.

### **GS765: The College Teaching Practicum**

A principal component of this course is graduate students giving teaching demonstrations that are video recorded. Over the semester, you will give four presentations that will be observed by classmates, instructors, and for the third and fourth presentations, undergrad volunteers. You submit self-evaluations based on feedback from others and observation of your own teaching videos. In the weeks that there are not teaching demos, we will be talking about very practical concerns for teaching, including classroom management, using groups in class, facilitating discussion, active learning, and visual aids. Limited to 2nd year and higher graduate students. 1 Credit. Instructor: Crumley. Offered spring term only.

### **GS 770: Topics & Careers in Higher Education**

In this course, advanced Ph.D. students will identify various types of faculty or administrative careers in higher education, locate and interpret position announcements, examine steps in the hiring and review process, evaluate academic cultures, explore alternative career paths in academia, and discuss current issues facing higher education. Activities include preparing application materials for peer review, and interacting with leaders in higher education who represent different types of institutions in higher education. Limited to Ph.D. students beyond qualifying exams. Credit: (1 credit; CR/NC). Instructor: Klingensmith. Offered fall term only.

## **I. Certificate in College Teaching**

**Contact:** Dr. Hugh Crumley, Director of Graduate Studies

**Address:** Duke University Graduate School, 2127 Campus Drive, Box 90068

**Phone:** (919) 660-5975

**Email:** [crumley@duke.edu](mailto:crumley@duke.edu)

**Website:** [CCT](#)

The Certificate in College Teaching (CCT) program is for enrolled PhD students in any department or program of study at Duke.

### **1. Goals**

The goals of the CCT program are to facilitate and recognize graduate students' completion of:

- a. sustained, systematic pedagogical training that promotes
  - i. current best practices in teaching and learning
  - ii. appropriate use of instructional technology
  - iii. systematic assessment of student learning outcomes
- b. a reflective teaching practice including peer observation

- c. development of materials suitable for use in applying for teaching positions after graduation

## **2. Administration**

The CCT Program Director (Dr. Hugh Crumley) assumes primary responsibility to recruit graduate student participants, to serve as a liaison to faculty in departments and other Duke units like the Center for Instructional Technology, to organize and/or lead course offerings and training workshops, to facilitate teaching observation opportunities, to monitor graduate student progress toward completion, and to conduct annual program evaluations of graduate student participants and of the program itself.

## **3. Program Evaluation**

Reporting will include an annual assessment report written by the Program Director for the Senior Associate Dean of the Graduate School. This report will use the data from student work, interviews and survey responses to describe how the program is meeting its goals.

## **4. Student Requirements for the Certificate in College Teaching**

The requirements presented here are based on a review of the relevant literature in graduate instructor development; a review of the practices in teaching certificate and related programs at Duke's peer, neighbor and other institutions; and personal communication with directors of such programs at Vanderbilt, Yale and Emory. The requirements are in three general categories: 1) coursework, 2) teaching and observation, and 3) reflection and a teaching portfolio.

## **5. Orientation**

Any interested graduate student should complete and submit an application to the Program Director, then register for and attend a CCT program orientation session. During this meeting, each applicant will begin the process to identify possible teaching and observing opportunities, review the requirements for the certificate (listed below) and develop a timeline for their completion. Each graduate student who enrolls in the certificate program will schedule one progress report meeting per year with the Program Director.

To enroll in the CCT program, students must submit an application before the end of drop-add of the semester in which they intend to complete all program requirements.

## **6. Coursework**

Participants should successfully complete two courses in college teaching. This can include any combination of Graduate School and/or discipline specific pedagogy courses offered by a Department or Program.

### **Graduate Studies courses**

GS 750 Fundamentals of College Teaching

GS 755 College Teaching & Course Design (syllabus & materials design, teaching statement)  
GS 760 College Teaching & Visual Communication (graphic & web design for teaching)  
GS762: Online College Teaching  
GS 765 College Teaching Practicum (video recorded teaching demos)  
GS 770 Topics and Careers in Higher Education (job application materials)  
(Course deliverables listed after each course can be used in a teaching portfolio)

#### **Departmental pedagogy courses**

AAAS 780S: Teaching Race, Teaching Gender (crosslisted in WOMENST, HIST, LIT)  
BIO 705S: Seminar in Teaching College Biology  
ENG 890S: 21st Century Literacies: Digital Knowledge, Digital Humanities (crosslisted in ISIS)  
ENV 737: Environmental Education and Interpretation  
GERMAN 700S: Foreign Language Pedagogy: Theories and Practices  
HIST 703S: Focusing on Teaching and Pedagogy  
ISIS 640: History and Future of Higher Education  
MATH 771S: Teaching College Mathematics  
NURSING 543: Facilitating Student Learning (online)  
NURSING 545: Integrating Technology into Nursing Education (online)  
NURSING 546: Innovative Curriculum Development in Nursing (online)  
NURSING 547: Educational Program Evaluation and Accreditation (online)  
NURSING 548: Test Construction and Item Analysis (online)  
NURSING 549: Using Qualitative Assessment and Evaluation Strategies (online)  
NURSING 550: Role of the Nurse Educator: Issues and Challenges (online)  
PHILOSOPHY 795S: Teaching Philosophy  
POLISCI 790: Teaching Politics  
RELIGION 996S: Teaching in Religion  
RELIGION 885: The Study of Asian Religions (UNC)  
ROMST 700: Theories and Techniques of Teaching Foreign Languages  
RUSSIAN 714: Methods in Teaching Russian  
STA 790.04: Special Topics (Teaching Statistics)  
WOMENST 320: The Pedagogy of Women's Studies

#### **7. Teaching Experience and Observation**

Participants should have experience teaching a group of students over the course of a term in a classroom or lab setting. Depending on the discipline and department, this could include serving as a Teaching Assistant with appropriate teaching responsibilities, leading a recitation section or lab; being a co-instructor of a course or being the primary instructor of record. With the approval of the CCT Program Director, other types of teaching experience may be used to fulfill this program requirement.

Students in the program should participate in teaching observations, both as a teacher being observed and as an observer of others teaching. In their teaching role, participants should be observed by at least two who provide brief written feedback. Observers can be faculty from the participant's department or a related program, Graduate School staff,

trained peer graduate students or others as approved by the Program Director. Participants should also conduct at least two observations of other faculty or graduate students teaching. Appendix C contains a number of short classroom observation forms suitable for use here.

### **8. Online teaching portfolio**

The online teaching portfolio can be created in any web authoring tool the participant is comfortable using (Word Press, Dreamweaver, Google Sites, etc.) It may include a current CV, a teaching statement and other materials as appropriate to the student's discipline. Note that students will create portfolio materials in the college teaching classes and as part of their teaching experience as described above in requirements 1 and 2.

### **9. Exit Interview**

When all courses, materials and documentation are ready for evaluation, the participating student should contact the Program Director to schedule an exit interview. At the exit interview, the participant will be asked to discuss his or her experience, present a self-evaluation and give feedback about the certificate program. We expect to maintain contact with them after they have graduated from Duke to find out how well this program prepared them for their (future) position.

## **J. Preparing Future Faculty Program**

**Contact:** Dr. Hugh Crumley, Assistant Dean for Academic Affairs

**Address:** Duke University Graduate School, 2127 Campus Drive, Box 90068

**Phone:** (919) 660-5975

**Email:** [grad-pff@duke.edu](mailto:grad-pff@duke.edu)

**Website:** [Preparing Future Faculty \(PFF\)](#)

The **Preparing Future Faculty (PFF)** program began as a national project of the [Council of Graduate Schools](#) and the [Association of American Colleges and Universities](#). Duke University participated in this national initiative and maintains an active program led by the Graduate School. The purpose of PFF is to better prepare Ph.D. students and postdoctoral fellows for the multiple roles and responsibilities they will have as future faculty members and to educate them about the wide range of academic institutions in which faculty work. The program brings together faculty members from nearby partner institutions with Duke graduate students in order to provide mentoring relationships and conversations about all aspects of faculty life. Our Partner Institutions include Durham Technical Community College, Elon University, Guilford College, Meredith College, and North Carolina Central University. Nearly 30 doctoral students and postdoctoral fellows participate annually, and there are several requirements and benefits outlined below.

### **1. Requirements for PFF Fellows**

- **Faculty Mentoring:** PFF Fellows select a faculty mentor from one of the cluster institutions and develop a set of professional activities to complete over the course of the year. These can include attending departmental or faculty senate meetings, teaching

classes, advising, and learning first-hand the roles and responsibilities of a faculty member at cluster schools.

- **Site Visits to Cluster Campuses:** PFF Fellows attend field trips to all five cluster campuses throughout the academic year. These trips provide an opportunity for conversation with faculty, administrators, and students on their campus. Site visits include classroom observations, campus tours, departmental visits, faculty meetings, and a dinner or seminar with faculty members to discuss such issues as the job market, tenure, effective teaching, funding research, publishing, and the academic community.
- **Teaching IDEAS Workshop Series:** PFF Fellows must participate in a majority of the Teaching IDEAS workshops offered during the academic year. Members of the Duke faculty or guest speakers will share practical tips and strategies for effective undergraduate teaching.
- **Assignments:** Fellows will have a small number of reading assignments and must submit mid-year and final self-evaluation reports of their experience.

## 2. Benefits for PFF Fellows

- **Broader Knowledge of Academia:** Past fellows have identified numerous benefits such as a clearer sense of the type of position they will seek, how to ask interview questions, hiring criteria and negotiations, and how institutional governance impacts faculty life.
- **Access to Job Listings:** The national PFF office maintains a job listing open only to PFF participants and graduates. Many colleges and universities seek faculty candidates who have completed PFF programs.
- **Transcript Recognition:** Graduate students who complete the program will receive a special notation on their transcripts recognizing their participation as a Preparing Future Faculty fellow, as well as credit for GS300: Colloquium on the Academic Profession.

## 3. How to Apply to PFF

To apply for the PFF program, we recommend that you attend the Information Session offered each spring. Application information and more details are provided on the Graduate School website found here: [PFF Application](#).

## K. Teaching IDEAS Workshop Series

**Contact:** Dr. Hugh Crumley, Assistant Dean for Academic Affairs

**Address:** Duke University Graduate School, 2127 Campus Drive, Box 90068

**Phone:** (919) 660-5975

**Email:** [crumley@duke.edu](mailto:crumley@duke.edu)

**Website:** [Graduate School](#)

The [Teaching IDEAS](#) program is open to all faculty, postdocs, and graduate students at Duke. These workshops represent an annual workshop series on topics related to effective undergraduate teaching. Speakers include faculty at Duke and nationally respected leaders in higher education. Topics will address teaching large and small classes, leading effective

lectures or discussions, advising students, developing a teaching portfolio, diversity issues in the classroom, service learning, the scholarship of teaching and learning, assessment of critical thinking and learning outcomes, and more. The schedule is posted in the “Professional Development” section of our website.

### **Professional Development Series**

The [Professional Development Series](#) includes one-time events and series of related topics that can help students identify and prepare for the range of professional doors that their graduate degrees will open for employment. This series is designed to broaden graduate students’ career perspectives and develop competencies in communication, self-awareness, professional adaptability, professionalism, and leadership.

Events in the Professional Development Series are offered on a two-year cycle and change each semester. Over the course of each two-year cycle, the series will include opportunities to learn about career paths in each of the five major career sectors available to master’s and doctoral degree graduates: academia, business, entrepreneurship, government, and nonprofit.

Each semester, events in the Core Competencies series address skills that are transferable to nearly every professional context that Graduate School students might encounter, with a focus on communication, self-awareness, and leadership. Students can also find events in the PhD Career Paths series every semester, which provides an ongoing focus on the many career paths available to PhD-qualified professionals.

The Academic Job Search Series is hosted during academic years that begin in an odd number (e.g., 2015-16). This series features panel discussions, workshops, and events that help students explore faculty positions and broad career options within academia. Many of the events offered in this series are targeted to students from specific disciplinary divisions, such as STEM or Humanities and Social Sciences. Students can access videos from past panel discussions in this series through the [Office of Postdoctoral Services YouTube channel](#). This series is co-sponsored with the Office of Postdoctoral Services and the Duke Career Center.

The Careers Beyond Academia Series is hosted in alternating years with the Academic Job Search Series. This series features panel discussions, workshops, and events that help students explore the range of employment opportunities in business, government, and nonprofit. Many of the events offered in this series are targeted to students from specific disciplinary divisions, such as STEM or Humanities and Social Sciences. Students can access videos from past panel discussions in this series through the [Office of Postdoctoral Services YouTube channel](#). This series is co-sponsored with the Office of Postdoctoral Services and the Duke Career Center.

### **Emerging Leaders Institute**

Cosponsored with the Office of Postdoctoral Services, the [Emerging Leaders Institute](#) is an in-depth professional development program for Graduate School students and postdocs,

designed to prepare them to be competent, confident, and effective leaders at Duke and beyond.

In a series of intensive workshops, participants work with a team of experienced leadership coaches to develop their communication, self-awareness, professional adaptability, interdisciplinary teamwork, and leadership skills.

ELI participants who complete the program receive

- experience in project management and interdisciplinary teamwork
- reports from two in-depth assessments of their strengths, preferences, and opportunities for growth
- individual professional development coaching
- a certificate of completion
- the foundation for a lifelong commitment to professional development

### **Professional Development Grant**

The Graduate School recognizes the need for discipline-specific professional development programming and acknowledges that professional development needs across disciplines may vary. A competitive Professional Development Grant funds department/program and cluster efforts to offer professional development programming. This includes any activity that provides professional development relevant to the preparation of graduate students (and postdocs, where relevant) for their future careers.

Full details for the award, including deadlines and submission guidelines, are available on [The Graduate School's website](#).

Examples of topics that could be funded by this award include:

- Career decision-making (e.g., academe vs. industry)
- Job search strategies
- Negotiation skills
- Alumni networking events
- Leadership and management skills
- Work-life balance
- Organizational and time management skills
- Conflict management and communication skills
- Mentorship and advising skills
- Presentation/communication skills
- Academic career topics, such as the academic job search, applying for positions at teaching institutions, finding a postdoctoral position, first year on the job, the tenure process, job searching in a difficult economy, etc. **Note: These must be balanced with parallel resources for students pursuing other career paths.**
- Career paths outside academia (careers outside academia for PhDs, invited speakers from industry, alumni events, CV to résumé workshops, etc.)

### **Professional Development Blog**

All Graduate School students are invited to consider writing about their professional development experiences for our [blog](#). The Professional Development blog offers current graduate students an opportunity to learn about professional development opportunities in a dynamic virtual format, share their experiences through their own posts, and build their career networks in an online professional community. It showcases professional development programming as well as profiling student successes, and is oriented toward an audience of current students, alumni networks, and potential employers.

Students know how important a polished, professional online presence can be to their job search, no matter what their career aspirations are. When they contribute to the Graduate School's professional development blog, the editors ensure that they have a professional-looking headshot that they can also use on LinkedIn, Twitter, and other web profiles. Student contributors have the opportunity to promote their accomplishments and research and provide links to their blogs or websites. Contributing to the professional development blog is an opportunity to grow and highlight students' online communication portfolio.

### **L. Professional Development Appendix**

1. Procedure to Request Credit Approval for RCE Training Event
2. Request for Credit Approval of RCE Training Event

## Duke University Graduate School

### Procedures to Request GS712 Credit Approval for Departmental RCR Training Events

#### Who can develop RCR training events

Any faculty member, center director or other appropriate personnel at Duke should complete the “Request for GS712 RCR Training Event” form that is available (MS-Word, .pdf format) on the Graduate School’s RCR web site. An approved signature is required from at least one Director of Graduate Studies (DGS) OR from a departmental Chair or Center Director who represents the graduate students for whom the training event is being developed.

#### How to request pre-approval for RCR training events

Submit the form and any supporting materials via email **at least 2 weeks BEFORE** the event to:

***Dr Hugh Crumley, Assistant Dean for Academic Affairs***

*Duke University Graduate School*

*2127 Campus Drive, Box 90068*

*Durham, NC 27708*

*Phone: 919-660-5975*

*Email: [crumley@duke.edu](mailto:crumley@duke.edu)*

Supporting materials should include:

- outline of any presentations
- basic biographical information for any featured speakers
- resources that may be used (case studies, web resources, etc.)
- draft of PowerPoint slides

#### After the RCR Training Event

If approval is granted, upon completion of the event please submit the following to [crumley@duke.edu](mailto:crumley@duke.edu):

- An Excel spreadsheet based on the Graduate School GS712 template.
- Electronic (.pdf) or printed copies of any handouts, materials, or resources used.
- Any evaluation forms provided to graduate students or a summary of responses from any evaluation mechanisms.

NOTE: We prefer to receive all information via email. Please allow 2-3 weeks for the Graduate School and Office of the University Registrar Office to process and enter the data on university transcripts.

## Duke University Graduate School

### Request for GS712 RCR Training Event

#### Directions

Please complete and submit this form **at least 2 weeks** before the event to request credit approval from the Graduate School so that Ph.D. students can receive RCR transcript credit. While most Graduate School RCR Forums are 2 credits, credit can be variable (2-6 hours) and is based on contact hours (i.e., not meal time, etc.). Once approval is granted, please submit any related materials and the list of Ph.D. student participants to the Graduate School at [grad-rcr@duke.edu](mailto:grad-rcr@duke.edu) .

#### Type of Event:

- Departmental or interdepartmental workshop
- Guest speaker(s) – Duke staff or speaker outside Duke
- Workshop for professional development series
- Seminar
- Other (describe) \_\_\_\_\_

#### Speaker(s): (name and affiliation)

Name(s): \_\_\_\_\_

Institutions/Depts.: \_\_\_\_\_

#### Topics: (check as appropriate)

- Academic integrity/ Research misconduct
- Conflict of interest/commitment
- Mentor/advisee responsibilities
- Harassment prevention
- Human subjects issues
- Care & use of animals in research
- Data management
- Intellectual property
- Authorship & publication practices
- Collaborative research
- Fiscal responsibility
- Social impact of research
- Bioethics issues
- Other: (please name): \_\_\_\_\_

#### Audience (what graduate students should attend; by dept. or academic division; max. # expected)

\_\_\_\_\_

#### Proposed Date/ Time & Duration/ Location:

\_\_\_\_\_

#### Suggested Credit Amount: 2 credits 4 credits Other: \_\_\_\_\_

Requested by: (printed name) \_\_\_\_\_ Dept. \_\_\_\_\_

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

# **Chapter 13**

## **Student Conduct and Grievance Procedures**

### **Contents**

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B.	Academic Misconduct .....	2
C.	Discrimination and Harassment.....	3
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The Graduate School, like the University itself, expects and will require of all its students cooperation in developing and maintaining high standards of scholarship and conduct.

## **A. Standards of Conduct**

Graduate students are expected to uphold the Duke Community Standard and to meet academic requirements and financial obligations, as specified elsewhere in this manual, the Graduate School Bulletin and Best Practices: Core Expectations for Graduate Study at Duke University. Failure to meet these requirements may result in summary dismissal by the Dean of the Graduate School. Students are also subject to other rules and regulations of the university currently in effect. In accepting admission to the Graduate School, students indicate their willingness to subscribe to and be governed by these rules and regulations and acknowledge the right of the university to take such disciplinary action, including suspension and/or expulsion, as may be deemed appropriate for failure to abide by such rules and regulations or for conduct judged unsatisfactory or detrimental to the university.

Serious violations of the Duke Community Standard typically result in suspension or dismissal from the university. Students charged with crimes by the Duke or municipal police are not normally suspended or dismissed unless their actions have suggested they may be a threat to other people or property. Such cases are evaluated with Duke Police, the University Behavioral Assessment Team and other relevant parties. We take very seriously the possibility that a student may endanger resources or people, and work to ensure that this does not happen. If a student is convicted of a crime, the actions taken by the university will be determined in consultation with University Counsel.

## **B. Academic Misconduct**

Students receive general instruction on academic integrity at their initial orientation and in many subsequent venues, as well as in the *Graduate Student Handbook* and other written resources. Individual programs are strongly encouraged to provide detailed examples of academic misconduct to their students, preferably using field-specific examples to ensure that students understand academic integrity in general and in their own disciplines. Discussion within programs of the importance of academic integrity can greatly diminish cases of academic misconduct.

Please advise your faculty members to design and conduct examinations, problem sets and other exercises such that the potential for cheating is minimized. Make clear to what extent collaboration with other students or consultation of online sources or notes is allowed. Do not use problems or questions for grading that are recycled from textbooks or other exams wherever possible, as students are very skilled at finding solutions manuals and such online. A good policy is to have students sign a statement that they have worked alone when they turn in exams and graded work, unless explicitly allowed to work in groups.

The Graduate School is required to keep records on all cases of academic misconduct and strives to treat all accused students consistently and fairly. Instructors who suspect cheating or other academic misconduct of any kind should work to document it. The appropriate action for an instructor is to give the student zero (0) credit on whatever assignment or

examination involved cheating of any kind. Instructors must report any suspected or proven instances of academic misconduct to their department chair and to the associate dean for academic affairs. Together, they will investigate and determine any appropriate disciplinary action, in consultation with the student's DGS. Nonetheless, keep in mind that the norm is dismissal when a student has clearly plagiarized or cheated, i.e. misrepresented the work of another as his or her own. Improper collaboration with other people or prohibited consultation of information sources also leads to significant disciplinary actions, such as suspension for a semester.

Duke University, and the Graduate School in particular, as a community of scholars, strongly rely upon the standard of academic integrity. Plagiarism and other forms of academic dishonesty represent a corruption of this integrity and, as such, cannot be tolerated within the community. Ignorance of what constitutes academic dishonesty is no excuse for actions which violate the integrity of the community. We take the Duke Community Standard very seriously, and hold students to it. They commit to upholding it each time they register, and we insist they follow through.

### **C. Discrimination and Harassment**

Duke University adheres to a policy of equal opportunity, without discrimination on the basis of race, color, national and ethnic origin, sex, handicap, or age, in the administration of its educational policies, admissions policies, financial aid programs, employment, or any other University program or activity. Sexual harassment is a form of discrimination.

University policies and procedures regarding harassment and discrimination can be located online at: [Harassment and Discrimination Policies](#).

Harassment is an especially serious disruption of the academic community, and all forms of intimidation and harassment, sexual or otherwise, must be dealt with promptly and carefully. It is, of course, easier to state the ideals of a collaborative research environment than to specify the mechanics by which to deal with disturbances in that environment or the various kinds of personal and professional misconduct that can occur. Your best strategy, as DGS, is to keep the Graduate School, and particularly the Associate Dean, fully informed of any situation that could disrupt the departmental/program or university workplace. You should also be familiar with the [Judicial Code and Procedures](#), as it appears in the Graduate School *Bulletin*. Please remember that the Graduate School has broad institutional experience with various forms of misconduct, and is therefore in a position to offer some perspective about which issues hold potentially serious legal complications and thus a clearer sense of when to involve the offices of the University Counsel.

### **D. Student Grievances**

It is the responsibility of the DGS to inform each graduate student of the appropriate channels of redress for various kinds of grievances. In most circumstances, as DGS, you will be the first to hear a complaint. Each department should have a standardized approach to dealing with student grievances that has been discussed among the faculty and is a written procedure. When dealing with a complaint, carefully document each communication, discussion, recommendation or action relating to a student grievance.

If the complaint cannot be resolved by you, the student may appeal to the department chair. The chair should meet with the student to hear the complaint, then review all material and your decision, then uphold or overrule it in writing as the chair sees fit. For matters involving disputed grades, the instructor should be consulted and provided with all relevant material. Only the instructor and chair of the department in which a course was offered can modify grades. The chair should carefully review all relevant materials and make a judgment to the instructor, on the record, of any appropriate grade change. The Academic Affairs unit of the Graduate School should be informed of any such revisions.

If a student does not accept the departmental decision, s/he can appeal to the Associate Dean of the Graduate School. All documentation of the grievance will be required. The Associate Dean will make a judgment in writing to the student and department. If further appeal is desired, the student may request that the Dean of the Graduate School hear the case, OR appoint a Judicial Board to hear the case. By either route, this shall be the final avenue of appeal and the decision binding. See the *Bulletin* for details on the appeals process.

Students should also be informed that if they feel they will not receive a fair hearing in the department, or their grievance is such that raising it in the department could in their view jeopardize their graduate careers, they should go directly to the Associate Dean of the Graduate School. Please assure all students that the Graduate School will protect the confidentiality of their complaints as fully as possible.