

# CLINICAL GRADUATE STUDENT HANDBOOK

2016-2017

Duke University

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**\*\* Please See PAM SMITH (Room 246) FOR A COPY OF ALL MILESTONE FORMS  
ADMINISTRATIVE & SUPPORT STAFF For the GRADUATE PROGRAM**

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Director of Social Psychology	James Shah (Room 322)
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## **REVIEW CHECKLIST OF MAJOR STEPS TO THE Ph.D.**

(listed in the order in which it is suggested they be accomplished)

- \_\_\_\_\_ SELECTION OF YOUR MAJOR ADVISOR
- \_\_\_\_\_ SECOND YEAR EMPIRICAL RESEARCH PAPER - **(Clinical Students Only)**
- \_\_\_\_\_ SELECTION OF YOUR PRELIM/PHD COMMITTEE
- \_\_\_\_\_ NOTIFY DGS OF PH.D. COMMITTEE MEMBERSHIP VIA COMMITTEE APPROVAL FORM AND FILE FORM WITH DGS ASSISTANT. IF YOU CHANGE YOUR COMMITTEE AT ANY TIME, YOU MUST COMPLETE A NEW COMMITTEE APPROVAL FORM.
- \_\_\_\_\_ THE PRELIMINARY EXAMINATION
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  - \_\_\_\_\_ WRITING THE DISSERTATION PROPOSAL
  - \_\_\_\_\_ DISSERTATION PROPOSAL REVIEW
  - \_\_\_\_\_ CONDUCTING THE RESEARCH
  - \_\_\_\_\_ PLANNING FOR PUBLICATION

\_\_\_\_\_ WRITING THE DISSERTATION (<https://gradschool.duke.edu/academics/theses-and-dissertations>) /SCHEDULE A FORMAT CHECK WITH THE GRADUATE SCHOOL (<http://aaswebsv.aas.duke.edu/calendar/grad.html>)

\_\_\_\_\_ DEADLINES  
([https://gradschool.duke.edu/sites/default/files/documents/graduation\\_deadlines.pdf](https://gradschool.duke.edu/sites/default/files/documents/graduation_deadlines.pdf))

\_\_\_\_\_ FINAL EXAMINATION/ FILE “ANNOUNCEMENT OF FINAL EXAMINATION FOR THE PH.D. DEGREE” FORM WITH DGS ASSISTANT. FILE “INTENT TO RECEIVE DEGREE” FORM WITH THE GRADUATE SCHOOL

\_\_\_\_\_ PUBLISHING YOUR DISSERTATION

\_\_\_\_\_ DEPOSIT OF THE DISSERTATION

\_\_\_\_\_ COMMENCEMENT

## **Major Requirements Pertaining to Doctoral Graduate Students**

The following sections describe the process and content of the major milestones, to be met in completing your degree. Your research progress and clinical training will serve as the primary outcome measures of your success. Specifically, it is expected that you will vigorously pursue your research, showing initiative and some originality and be moving toward publication. Of course, it is important to do well in your coursework and to contribute to teaching and other Department activities, but it is also important not to let the demands of these latter involvements distract you from the main task at hand, which is research.

The department conducts formal evaluations regarding the progress of each student on an annual (twice annually for clinical students) basis. From these faculty meetings, students will receive feedback from their advisors and/or written evaluation letters from the program directors. All evaluation forms are provided in the appendices. Additionally, there will be a once a year opportunity for self-evaluation via the Graduate Student Survey form which all students are asked to complete. Evaluations reflect the enthusiasm, timeliness, and commitment you demonstrate in your various roles as scholar, instructor, researcher, and for some of you, clinician.

The Department of Psychology and Neuroscience has very few requirements beyond those of the Graduate School. You should note, however, that Clinical does have specific requirements.

### **Selection of Your Major Advisor**

Upon arrival at Duke, if not at the time of your admission, you will be assigned an advisor. The advisor will help with your selection of courses, arrange for you to meet some of the advanced students, and serve as your primary mentor for your research experience. Over the course of your graduate school career, students typically remain with the originally assigned advisor, although changing mentors sometimes occurs in some situations.

A major advisor should help the student to select courses, to meet significant scientists in the field, to find summer funding opportunities and funds for conference travel and research, to write scientific papers, to provide advice with regard to practicum placements and internships of interest/application procedure, and ultimately to find a job. The major advisor also may help a student apply for external research support (such as through NSF, NRSA or foundation grants). On the other hand, the Major Area Paper and Dissertation are meant to demonstrate a student's ability to work independently.

Individual faculty members may differ in their views on the role of the major advisor. Some are highly directive and interactive while others remain more non-directive. Both styles can lead to productive graduate work when paired with the appropriate student style. Perhaps the most successful training occurs when a student begins by working as an apprentice to a faculty member but becomes increasingly independent as the level of experience grows.

The student's major advisor is chair of the committee at the Preliminary and Final Doctoral Examinations. It is important to note that only certain individuals at the University have been cleared by the Department to serve as major advisor. All core faculty in Psychology and Neuroscience, including the "joint appointment" psychology faculty may serve as major advisor. Secondary Faculty are not automatically eligible for that role. Students who wish to pursue her/his primary research with an individual so designated should discuss the matter with the DGS as soon as possible and not proceed without clearance from the DGS. On relatively rare occasions, a student will find that his/her research interests coincide with those of a faculty member who does not have a primary or joint appointment. In such an event it may be possible to have a core faculty member serve as nominal advisor and committee chair. Under no circumstances is it possible to have a major advisor who is not a member of the Graduate Faculty. To check on listing of Graduate Faculty, click <https://gradschool.duke.edu/academics/graduate-faculty>

### **Second Year Empirical Research Paper (Clinical Students Only)**

Each clinical student is required to complete an empirical project. This is a program requirement, not a Graduate School requirement. The empirical defense must be completed by the end of your second year (Spring semester, second year). Empirical projects require a committee of three faculty members to review the empirical paper. Two of the three faculty members must be from the P&N department (including joint clinical faculty). The third faculty member can either be from the P&N department or from an 'outside' area. These three faculty members often become a subset of the four/five members of the Ph.D. Committee, but they are not required to be part of later committees (they can be selected from other members of the faculty since the empirical paper is not a Graduate School requirement, but a program requirement).

The 3-member Empirical Review Committee should approve the project topic prior to its beginning and meet as a group with the student to assess, review, and approve the Empirical after the study is completed. This serves as the Empirical Defense. These approvals are submitted on the same form and the form should be filed with the DGS assistant upon completion (EMPIRICAL FORM/APPENDIX). The empirical paper should be reported in concise written form akin to a journal article, according to the APA Publication guidelines and, if appropriate, submitted for publication. When defending your Empirical project, all committee members must be present and the project endorsed by all members at that meeting. Your project may be initially approved by individual members prior to the defense, but the final project must be discussed/defended in front of the committee as a group and endorsed by all members at that meeting. The committee will consider, among other factors, how the empirical paper may be improved to facilitate submission to a journal.



**Written Empirical Evaluation Form**  
**Department of Psychology &**  
**Neuroscience Duke University**

1. Clarity of research questions/hypotheses Comment:	1	2	3	4	5	NA
2. Significance of research questions/hypotheses Comment:	1	2	3	4	5	NA
3. Strength of study design and methodological rigor Comment:	1	2	3	4	5	NA
4. Appropriateness and quality of data analysis Comment:	1	2	3	4	5	NA
5. Correspondence between findings and inferences Comment:	1	2	3	4	5	NA
6. Quality of writing (clarity, coherence, organization) Comment:	1	2	3	4	5	NA
7. Originality/innovation of contribution Comment:	1	2	3	4	5	NA
8. Recognition of limitations of the study Comment:	1	2	3	4	5	NA
9. Appropriateness of implications for future research Comment:	1	2	3	4	5	NA

Does this paper pass the student on to the Empirical Defense ( A score of 3 is required to pass).

Empirical Defense Evaluation Form  
 Department of Psychology & Neuroscience  
 Duke University

**Evaluative Dimension:**

1. Quality and style of response to questions Comment:	1	2	3	4	5	NA
2. Breadth of knowledge on related areas of research Comment:	1	2	3	4	5	NA
3. Demonstrated knowledge of methodological approach Comment:	1	2	3	4	5	NA
4. Ability to defend/discuss/highlight key aspects of the conceptual foundation and methods of the research Comment:	1	2	3	4	5	NA
5. Ability to defend research findings and potential limitations Comment:	1	2	3	4	5	NA
6. Ability to identify areas for future research Comment:	1	2	3	4	5	NA

## Selection of the Prelim/Ph.D. Committee

Once a student has selected his/her Major Advisor (the committee chairperson), the remainder of the four-or more) person committee should be determined in consultation with that advisor. For Clinical students, this typically occurs after the Empirical defense. This committee is considered the PhD committee, and typically serves as the committee for the MAP and the dissertation.

The Ph.D. committee consists of a minimum of four, and often five faculty members. See Section 2. Committee Composition and Approval, under The Preliminary Examination for composition (page 5) and Section 3. The Ph.D. Committee for the Dissertation, under Guidelines for the Dissertation and Final Examination (page 13).

### Committee Formation Checklist

- \* PhD committees require at least **three** members of the primary or joint faculty of Psychology and Neuroscience (not secondary **Word did not find any entries for your table of contents.**faculty unless approved).
- \* The **Chair** of the committee must be a primary or joint member of the Psychology and Neuroscience program.
- \*The committee must include a “**minor**” member from a related but different field. A 2 sentence description of the minor member’s expertise and contribution to the committee is required.
- \* The committee must include an “**Administrative Member**” who will reside over the committee meetings. This member must be a primary or joint faculty member of Psychology and Neuroscience, and cannot be the Chair, minor or a secondary member of the faculty. This person is usually appointed by the Chair and his/her role is defined further in the MAP and Dissertation guidelines.
- \* The committee must include members who provide both **depth** and **breadth** of expertise.
- \* An additional member of the committee from another institution can be added at the discretion of the Chair. In this case, a “**term appointment**” with the Graduate Faculty will need to be requested. To initiate this process, provide a current CV and the DOB of the member to the DGSA.
- \* Once the committee members have been determined, submit the names and a **rationale** for including each member of the committee to the DGS who will determine if the composition meets department approval. If so, it will be forwarded to the Graduate School for approval. If not, the DGS will work with the student to suggest alternative members.
- \* Prior to the MAP exam, the committee must be approved at least **30 days ahead**.
- \* If a **change** needs to be made to the committee at any time, the student is to notify the DGS in writing. A change in members requires discussion and written consent of the initial and new member. Otherwise, this committee will remain intact until the student graduates.
- \* All approved committee members must be present at the meeting/defense. When necessary, one member (excluding the Chair and Administrative member) may

participate via **Skype**. If this is necessary, the student must request this in writing. If approved by the DGS and the Dean of the Graduate School, instructions will be sent to that committee member for remote participation.

### **The Preliminary Examination (ALL students)**

The Preliminary Examination is the most important step in qualifying for the Ph.D. The Graduate School requires the preliminary exam to include either a thesis or non-thesis project/paper. Currently, the centerpiece of this department's examination is the Major Area Paper (MAP). However, the examination is much more than the MAP.

#### **Guidelines and Timeline for the MAP and Oral Exam**

10/14/2011 - Effective Spring Semester 2012      For review Spring Semester 2014

The Major Area Paper (MAP) and oral examination serves as the preliminary examination in the Department of Psychology & Neuroscience. Below is the timetable for completing this part of your graduate training, a description of the expectations for the MAP and oral exam, and some steps you will need to take to prepare for the MAP and oral defense.

**1. Timetable.** The department recommends that students form their MAP committee by the end of their second year and that they defend their MAP by the end of the first semester of their 3<sup>rd</sup> year. The Graduate School requires that a student registered for full-time study pass the preliminary examination by the end of their third year. A student who has not passed the examination by this time must file a statement with the Dean of the Graduate School, approved by the Director of Graduate Studies in the major department, explaining the delay and setting a date for the examination. Except under unusual circumstances, extensions will not be granted beyond the middle of the fourth year.

In the summer, a preliminary examination may be scheduled only between the opening and closing dates of the summer session. A student must be registered during the term in which he/she takes the preliminary examination.

**2. Committee composition and approval.** In order to start working on the MAP students need to have a supervising committee composed of 3 faculty members from the department and 1 faculty member (minor member) in a related but different field. The three P&N members must be primary members of the department (this includes joint members but not secondary faculty). However, in instances in which a P&N secondary faculty member has been approved as the student's Faculty Mentor they count as one of the three primary P&N members. In most instances, the Administrative Member of the committee will be selected by the student's Faculty Mentor but cannot be the Faculty Mentor or the minor member. In these guidelines, 'Administrative Chair' refers to the chair of the examining committee, and 'Faculty Mentor' refers to the student's intellectual advisor. Because P&N is quite broad, it is (under some circumstances) possible to have a P&N faculty member serve as the minor member of your committee. Students may also have more than 4 members on the committee if their Faculty Mentor feels that additional expertise and advice is needed.

We urge students to include faculty who will provide both depth and breadth of expertise. Student committees should include members who use different approaches, methods, perspectives, and perhaps even a different species. All of the members of the committee must be members of the graduate faculty at Duke University. Students and their Faculty Mentors should discuss who would be the best set of individuals for this role. Students should then provide the DGS with a list of potential committee members along with a written explanation of how both depth and breadth (of topic area, approach, perspective, method) are reflected in the committee membership. Students should provide a rationale for including each member of the committee. This statement will then be used by the DGS to determine if the committee composition meets departmental approval. If it does not then an additional member or a substitute member can be suggested by the DGS.

Once approved, the DGS will nominate this list of individuals to the Dean of the Graduate School who must formally approve the committee. Students must have an **approved** committee **not later than three months (90 days) before the preliminary examination (in this case, the oral defense of the MAP)**. The formal approval from the Graduate School often takes a few weeks and this formal approval must be in hand at least 60 days prior to defending your MAP.

**3. Content and format of the MAP.** The MAP is a research paper in which the student should (a) provide a new integration of an existing body of literature that offers novel ideas, hypotheses, and/or theoretical perspectives, (b) identifies major gaps in the literature, and (c) discusses how those gaps might be filled. The paper cannot be a simple review of the literature; it must provide a synthesis or integration of theory and research on the topic and be issue or idea focused. The student's goal should be to become a leading expert in the chosen research question and to demonstrate his or her expertise by providing an integrative review of the literature that moves the area forward. The paper should be original and not derivative of another paper already published or unpublished but known to the student.

The MAP should be written in a style that is consistent with articles in journals that publish integrative, non-empirical papers. Indeed, one criterion that the committee should consider in evaluating the paper is whether it is suitable for publication in a target journal such as:

Brain Research Reviews  
Developmental Review  
Frontiers in Neuroscience  
Neuroscience and Biobehavioral Reviews  
Psychological Bulletin  
Review of Educational Research

Clinical Psychology Review  
European Journal of Neuroscience  
Journal for the Theory of Social Behavior  
Personality and Social Psychology Review  
Psychological Review

The minimum length for the MAP text is 8,000 words, and the maximum length of text is 15,000 words. These limits do not include front and back matter (e.g., title page, references and tables and figures). The student and Faculty Mentor should agree upon the intended length of the MAP before writing begins.

**4. Use of the Faculty Mentor and committee.** Although the MAP is primarily the work of the student, it is expected that the Faculty Mentor will provide advice, instructions, and feedback both before and during the writing process. However, the Faculty Mentor should not edit or rewrite parts of the MAP itself. The Faculty Mentor should serve in the role of an external reviewer who provides feedback about the content and style of the paper without directly collaborating on it.

Students should also consult with their committee members as they consider their MAP topic and the scope of the paper. Students should have a conversation with each committee member after they have developed a plan but before they have started writing. One of the jobs of the committee is to provide feedback and assistance in finding appropriate materials for the project.

During the writing phase of the MAP, students may discuss ideas with their committee members by asking them to read and comment on parts of the paper. However, the committee members must refrain from editing the paper. Instead, they should express concerns and point out weaknesses or strengths without telling students directly how to fix the problem.

The completed paper must be submitted to committee members at least 10 days before the oral defense. Students should ask committee members if they would like a paper copy or an electronic document and provide them with the format preferred. The committee members must email whether they feel the oral defense should proceed to the Administrative Chair and the DGSA no later than 48 hours prior to the scheduled exam. The oral defense proceeds as long as there is no more than one dissent among the committee and that dissent is not from the Faculty Mentor.

The Committee Administrative Chair will compile votes and must notify the student and the other committee members no later than 24 hours prior to the scheduled exam whether the oral defense will proceed. If the paper is not acceptable, the oral exam is cancelled.

Although students may not write collaboratively on the MAP with their Faculty Mentor or committee members prior to the oral exam, they may seek substantive collaborative help from committee members afterwards if they plan to submit the paper for publication.

**5. The oral exam.** It is the student's responsibility to schedule the oral exam. The scheduling process should begin well in advance of the intended exam date (e.g., six weeks).

At the start of the exam, the student should leave the room to allow the committee members a short discussion period. When the student returns he/she should give a 10-15 minute presentation of the MAP, typically using a small number of slides to illustrate major points.

In the oral exam faculty will ask questions that stem from the MAP document. The MAP defense should be focused on the paper but the student should also be prepared to demonstrate knowledge in the broad field of study. Students are responsible for answering any and all questions.

The oral exam will consist of two rounds of questions. In each round, each committee member will question the student with the Administrative Chair establishing the order of questioning. Each committee member will be allowed up to 15 minutes of time to examine the student during the 1<sup>st</sup> round, and up to 10 minutes during the 2<sup>nd</sup> round. The time allocated to each examiner is intended to be used primarily by the examiner; other examiners may ask brief questions of clarification during that period but extensive questioning by other examiners is not appropriate. The Administrative Member is responsible for monitoring time and for gently enforcing time limits. After the two rounds of questions, the committee may decide to have an optional 10-15 discussion period in which everybody can ask questions.

At the conclusion of the exam, the student will be asked to step out of the room and the committee members will determine whether the candidate has passed or failed the exam. The committee will complete the forms titled "Major Area Written Paper Evaluation Form" and "Major Area Paper Oral Defense Evaluation Form." These forms ask for specific judgments regarding the student's accomplishments along several dimensions related to the written paper and oral defense (see attached evaluation form).

The evaluation forms are first completed individually by committee members. Following discussion, individual committee members can change their rating if they wish to do so. The committee members should consider a score of 3 or higher on each of the evaluative dimensions as passing. If there is a shared feeling among committee members that the scores could improve with additional questioning, they may decide to have an additional round of questioning. After the final ratings and questioning, the committee members must vote either "pass" or "fail." The ratings on both forms are then used to provide the student with feedback regarding the written and oral portions of the examination.

Successful completion of the preliminary examination requires four affirmative votes and no more than one negative vote. However, as per Graduate School regulations, if the single negative vote is registered by the student's Faculty Mentor, the preliminary examination will be a failure. A student who fails the preliminary examination may apply, with the consent of the full committee and the Dean of the Graduate School, for the privilege of a second examination to be taken no earlier than three months after the date of the first. Successful completion of the second examination requires the affirmative vote of all committee members, and the committee composition must be exactly the same as during the first examination. Failure on the second examination will render a student ineligible to continue a program for the Ph.D. degree at Duke University.

The committee may also decide that no re-examination is possible. This occurs via a second vote taken after a failing vote on the first round. The committee may also recommend awarding a terminal masters degree at this time. Any candidate who fails the preliminary exam twice will be asked to withdraw from the Graduate School and will not be allowed to continue towards the PhD.

**6. After the oral exam.** A student is not accepted as a candidate for the Ph.D. degree until the MAP and oral examination have been passed. The MAP and oral exam may also be used

as the completion exercise for awarding a master's degree on route to the Ph.D. If the MAP is to be used as a master's completion exercise, the committee must sign a master's non-thesis examination card along with the preliminary examination report, and both must be submitted to the Graduate School.

The doctoral dissertation should be submitted and accepted within four years after the MAP oral exam although the candidate may, with the approval of the committee and the Director of Graduate Studies, petition the Dean of the Graduate School for an extension of up to one year.



**Major Area Written Paper Evaluation Form**  
**Department of Psychology & Neuroscience**  
**Duke University**

<b>Evaluative Dimension</b>	LOW					
HIGH						NA
NA						
1. Clarity of the problem definition Comment:	1	2	3	4	5	NA
2. Impartial criteria for inclusion of studies Comment:	1	2	3	4	5	NA
3. Balance/ fairness in coverage of alternative views Comment:	1	2	3	4	5	NA
4. Appropriateness and quality of conceptual integration Comment:	1	2	3	4	5	NA
5. Correspondence between findings and inferences drawn Comment:	1	2	3	4	5	NA
6. Quality of writing (clarity, coherence, organization) Comment:	1	2	3	4	5	NA
7. Originality of contribution Comment:	1	2	3	4	5	NA
8. Appropriateness of implications for future research Comment:	1	2	3	4	5	NA

Does this paper pass the student on to the oral defense? (A score of 3 is required to pass.)

1      2      3      4      5

Does the paper meet the minimum length standard?      YES                  NO

Is this paper ready for submission for publication, as is or with achievable revision?

YES                  NO

**Major Area Paper Oral Defense Evaluation Form**  
**Department of Psychology & Neuroscience**  
**Duke University**

**Evaluative Dimension:**

1. Quality and professionalism of the presentation

1    2    3    4    5    NA

Comment:

2. Quality and style of response to questions

1    2    3    4    5    NA

Comment:

3. Breadth of knowledge on related areas

1    2    3    4    5    NA

Comment:

4. Demonstrated knowledge of studies reviewed

1    2    3    4    5    NA

Comment:

5. Ability to defend/discuss/highlight key aspects of the conceptual foundation and methods of the research

1    2    3    4    5    NA

Comment:

6. Ability to defend their integration of the literature/novel ideas presented in their paper

1    2    3    4    5    NA

Comment:

7. Ability to identify/defend ideas for future research that emerge from the MAP

1    2    3    4    5    NA

Comment:

## **Master of Arts Degree**

The Department does not matriculate students who intend to take a terminal Master's degree; however, the degree may be awarded in the course of working toward the Ph.D. or in special circumstances. The Department requires a Master's thesis, but ordinarily the MAP will serve this purpose. The Graduate School requires a minimum of 30 units of credit registration, at least 24 of which must be graded to receive the Master's degree.

## The Dissertation and Final Examination

### Guidelines for the Dissertation and Final Examination

Adopted 1/20/2012; these guidelines go into effect on February 1, 2012 and pertain to all students who have not successfully completed their MAP defense by that date.

#### 1. Planning the Dissertation Research

Dissertations conducted in the Department of Psychology & Neuroscience (P&N) at Duke University can employ any of the wide variety of approaches to research evidenced in our field. Research designs in psychology and neuroscience take many forms, from purposive laboratory manipulation to field-based naturalistic measurement. They examine thoughts, feelings and behavior using a broad range of levels of analysis, from biological processes to group interactions. They are conducted using both human and non-human animals as subjects. In virtually all instances P&N dissertations are based upon empirical research. On rare occasions, the dissertation can involve the formulation of new theoretical or historical analyses without empirical data. Individual training programs in P&N may have additional guidelines and expectations.

Students and their committees will evaluate the appropriateness of a dissertation topic based upon its level of contribution to the field. The dissertation methodology will be evaluated based on the scientific rigor of the proposed design and analysis and the feasibility of its successful completion. In addition, the proposed research will be considered in the context of (a) the students' training and experiences up to and including the dissertation and (b) the student's career objectives.

#### 2. Time Limits

According to the Graduate School, "the doctoral dissertation should be submitted and accepted within *two calendar years* after the preliminary examination [in P&N, the Major Area Paper, or MAP] is passed." Should the dissertation not be submitted and accepted within *four calendar years* after the MAP examination, the student, with the approval of the committee, may 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 be dropped from candidacy. The student must then pass a second MAP examination to be reinstated as a candidate for a degree. In such cases, the time limit for submitting the dissertation will be determined by the Associate Dean of the Graduate School and the student's committee. Credit will not be allowed for a MAP that is six years old at the date of the Final Examination. In cases of exceptional merit, however, the Associate Dean of the Graduate School may extend these limits. Should the six year limit be exceeded, the student's department will submit to the Dean specific requirements for revalidating credits.

On occasion a student will receive an extension but then fail the Final Examination. In these cases, a second examination cannot be scheduled sooner than six months after the first (another Graduate School rule). This compulsory delay often forces the candidate beyond the six-year limit which renders the MAP examination invalid. Consequently, the student is faced not only with the pressure of a second (and terminal) Final Examination but with a second MAP as well. Thus, it is wise to plan the dissertation carefully in order to avoid such a circumstance.

### 3. The Ph.D. Committee for the Dissertation

It is not unusual to change committee membership between the MAP and the dissertation because faculty availability changes from year to year for a multitude of reasons. Additionally, the rationale for a particular committee structure at one stage of graduate training may not be appropriate to a later stage. It is the student's responsibility to make adjustments as necessary. Changes in the committee membership should be conducted in consultation with the Faculty Mentor; or, in the case of a change in Faculty Mentor, the student should involve the program director and the DGS. In these guidelines, 'Faculty Mentor' refers to the student's intellectual advisor and Chair; 'administrator' refers to the committee member who will run the meeting and ensure that all procedures are followed. Students should be aware that after the MAP is passed, the committee remains intact. Therefore, if the student then wishes to substitute new members, s/he must communicate with those to be removed from the committee and inform them of the reasons for change. They will rarely object, but this is a requirement and they deserve this courtesy. A written confirmation from the dropped committee member should be sent to the DGS via email.

As in the case of initial establishment of the committee, any changes in membership involve: (1) consulting with the Faculty Mentor (or DGS in the case of a new supervisor) about the new committee membership; (2) getting consent of the new members to serve; (3) getting consent of former members to withdraw; (4) requesting of the DGS in writing the new committee structure. This is done on the Committee Approval Form. The DGS will then submit the change form electronically to the Associate Dean of the Graduate School requesting the committee change. Committee changes should be requested two weeks prior to the Final Examination date; However, even with changes each step takes considerable time, so do not put off committee changes when they are needed. Note that students may **not** change their committee composition if s/he fails to pass the Final Examination and elects to take a second examination.

The committee that supervises and evaluates the dissertation must contain a minimum of four members, but the Graduate School allows more than four when such additions seem warranted (see Committee Formation guidelines on the P&N Website). As in the case of the MAP, one member of the committee must be from a related field but outside the candidate's principal area ('Minor Member'). In most instances, the administrator of the committee will be selected by the student's Faculty Mentor but cannot be the Faculty Mentor or the Minor Member.

#### 4. Writing the Dissertation Proposal

All students must meet with their committee within six months after passing the MAP and at least once in every 12-month period thereafter until a dissertation proposal is submitted<sup>1</sup> or until the Final Examination is passed.

Perhaps the best format for the proposal is that suggested by the National Institute of Health for research grant applications. We also suggest restricting the proposal to 15 single-spaced pages of text (or 30 double-spaced pages), not counting title page, references, tables, etc. The plan should contain an introduction giving the rationale for the study and providing clearly stated objectives and hypotheses. The design should be outlined with specific statements about the methods to be used, including quantitative methods for data analysis. Although it is very helpful to include preliminary data, it may be counterproductive to collect a large amount of data before meeting with the committee. Consequently a student should consult with her/his Faculty Mentor as to the appropriate time for scheduling this meeting. The proposal meeting should take place at least nine months prior to the Final Examination.

#### 5. Dissertation Proposal Review

All members of the committee must meet together with the student to review the proposal. An exception can be made only in the case of a member from a distant university in which case the member must join the meeting by teleconference. Notification of the proposal review date must be given to the DGS Assistant to help in locating a room for the proposal review. The dissertation proposal should be distributed to the committee at least 10 days before the meeting. The approval of the dissertation proposal is made by completion of the "Proposal/Thesis Committee Approval" form and obtaining the signatures of all committee members. This form must be filed with the DGS Assistant. Note that the proposal meeting is not an exam and there is no "passing" or "failing" of the proposal meeting. If the committee discussion with the student leads to alterations in the proposal plans, then the committee can ask for changes prior to signing the form. This can take place after the proposal meeting.

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<sup>1</sup> Clinical psychology students must have dissertation proposal successfully defended prior to applying for internship (i.e., before October 1)

The student's ability to proceed with their work over the summer will often suffer if they are unable to have a dissertation proposal review meeting after the beginning of May. Assuming committee members are available in the summer months students have the option of having a summer meeting for the proposal without paying a registration fee. However, when possible, these meetings should take place by the end of May or at the end of August right before the semester begins.

## 6. Conducting the Research

During data collection, students should regularly consult with committee members, either individually or in a group, to obtain advice and keep them informed of their progress. All research with human subjects must be approved by the Institutional Review Board (IRB). If the studies require the use of animals, an animal use protocol must be filed with the DUIACUC. Students will need approval from these committees before beginning data collection. P&N maintains a Human Subject Pool that may be helpful in research. (For information concerning University Principles and Procedures for Human Subject Research and Human Subject Pool Information, see Appendix V.)

## 7. Planning for Publication

Although completion of the dissertation and passing of the Final Examination are the proximate goals of most students, the faculty expects prompt, visible publication of the dissertation research. It is a disservice to oneself and the field not to publish the culmination of what is usually a great amount of thought and effort. Yet many excellent dissertations are never published. The reasons are many and varied, but there seem to be two main, related causes. First, the dissertation often must be rewritten to meet the format requirements of a specific journal. Second, since the student completes the PhD before publication then the publication process competes with the demands of a new job or postdoctoral position.

Given these considerations, we strongly urge students to publish each publishable unit along the way to the dissertation. Students should work with their Faculty Mentor to decide whether the dissertation will constitute one or more publishable papers. As much as possible, the dissertation should be composed of material easily converted into journal articles and/or book chapters.

## 8. Writing the Dissertation

The Graduate School provides an online booklet titled, *Guide for the Preparation of Theses and Dissertation*, although it is revised from time to time so students should be sure to have the most up-to-date guide. It includes references to other guides as well. Students should pay close attention to the format requirements for a Duke dissertation described in the guide. All final dissertation format checks must be approved by the Graduate School. Students should use the format listed by the Graduate School to compose text, references, tables, figures and citations. The Graduate School's format is a broader format within which APA style can be written (or other styles such as Chicago, or Turabian). In P&N we use APA style. <http://www.gradschool.duke.edu/academics/thesis-and-dissertations>.

## 9. Deadlines

The student must “Apply for Graduation” early in the semester in which she/he plans to receive the degree (e.g., late January for May graduation). There is no penalty for failing to finish in that semester, but a student cannot graduate without applying. Students must also submit an

electronic version of the dissertation approximately two weeks prior to the Final Examination. This Final Examination cannot be held later than mid-April for a May graduation. The timeline is available here:

<http://gradschool.duke.edu/academics/preparing-graduate>

## 10. Final Examination

It is the student’s responsibility to schedule the Final Examination. The scheduling process should begin well in advance of the intended exam date (e.g., 6-8 weeks). If the Final Examination occurs after the semester is over (the beginning of May), the Graduate School expects the student to be registered and pay registration fees in the summer session. If a student is willing to pay the registration fee to take the exam in the summer, consideration must be given to the faculty. The administrator of the committee must be the negotiator with the committee members about attending a summer exam. It is legitimate for some committee members to be unavailable during the three summer months.

The completed paper must be submitted to committee members at least 10 days before the Final Examination. Students should ask committee members if they would like a paper copy or an electronic document and provide them with the format preferred. The committee members must email the administrator their vote on whether the the Final Examination should proceed no later than 48 hours prior to the scheduled exam. The Final Examination proceeds as long as there is no more than one dissent among the committee and that dissent is not from the Committee Chair.

The Committee administrator will compile votes and must notify the student and the other committee members no later than 24 hours prior to the scheduled exam whether the Final Examination will proceed. If the paper is not acceptable, the exam is cancelled.

All committee members are expected to be present for the Final Exam and will arrive at the meeting having closely read the dissertation and having considered the kinds of questions they will ask. In rare instances, a member may need to join via teleconference, but this requires notification and approval from the Associate Dean. The Faculty Mentor must always be present.

At the start of the exam, the student should leave the room to allow the committee members a short discussion period. When the student returns he/she should give a 20 minute presentation of the dissertation, typically using a small number of slides to illustrate major points.



### Amendment Open Session:

The first part of the Final Examination will be open to all members of the Duke community and other invitees. Announcement by the administrative member of the time and place of the exam will occur only after the committee has agreed that the exam should proceed (24 hours advanced notice). The student should begin by giving a 40-50 minute presentation of the dissertation, typically using slides to illustrate major points. Attendees who are not members of the student's committee will then be invited to ask questions. Then, all invitees will be asked to leave and the committee members will begin their part of the examination.

Committee members will ask questions that stem from the dissertation's written document. The defense should be focused on the paper, but the student should also be prepared to demonstrate knowledge in the broad field of study. Students are responsible for answering all questions.

The closed oral defense will consist of at least two rounds of questions. In each round, each committee member questions the student with the administrator establishing the order of questioning. Each committee member will be allowed up to 15 minutes of time to examine the student during the 1<sup>st</sup> round, and up to 10 minutes during the 2<sup>nd</sup> round. The time allocated to each committee member is intended to be used primarily by that member; other members may ask brief questions of clarification during that period but extensive questioning by other members is not appropriate. The administrator is responsible for monitoring time and for gently enforcing time limits. After the two rounds of questions, the committee may decide to have an optional 10-15 minute discussion period in which all members may ask questions.

At the conclusion of the exam, the student will leave the room and the committee members will determine whether the candidate has passed or failed the exam. The committee will complete the forms titled "Written Dissertation Evaluation Form" and "Dissertation Final Examination Evaluation Form." These forms ask for specific judgments regarding the student's accomplishments along several dimensions related to the written paper and oral defense (see attached evaluation form).

The evaluation forms are first completed individually by committee members. Following discussion, individual committee members can change their rating if they wish to do so. The committee members should consider a score of 3 or higher on each of the evaluative dimensions as passing. If there is a shared feeling among committee members that the scores could improve with additional questioning, they may decide to have an additional round of questioning. After the final ratings and questioning, the committee members must vote either "pass" or "fail." The ratings on both forms are then used to provide the student with feedback regarding the written and oral portions of the examination. These rating forms should be turned into the DGSA to file as the data are used for SACS reporting.

Note that while the committee can request some minor revisions, the pass or fail vote must be made at the end of the Final Examination. It is then the responsibility of the Faculty Mentor to make sure that any suggested minor revisions are made prior to the dissertation being submitted to the graduate school.

Successful completion of the Final Examination requires at least four affirmative votes and no more than one negative vote. The sole exception to this policy is that a negative vote cast by the Faculty Mentor will mean a failure on the examination. A student who fails the Final Examination may be allowed to take it a second time, but no earlier than six months from the date of the first examination. Permission to take the second examination must be obtained from the Faculty Mentor and from the Dean of the Graduate School. Failure to pass the second examination renders the student ineligible to continue work for the Ph.D. degree at Duke University. The committee may also decide that no re-examination is possible. This occurs via a second vote taken after a failing vote on the first round.

**Written Dissertation Evaluation Form**  
**Department of Psychology & Neuroscience**  
**Duke University**

<b>Evaluative Dimension</b>	LOW			HIGH		
1. Clarity of research questions/hypotheses Comment:	1	2	3	4	5	NA
2. Significance of research questions/hypotheses Comment:	1	2	3	4	5	NA
3. Strength of study design and methodological rigor Comment:	1	2	3	4	5	NA
4. Appropriateness and quality of data analysis Comment:	1	2	3	4	5	NA
5. Correspondence between findings and inferences drawn Comment:	1	2	3	4	5	NA
6. Quality of writing (clarity, coherence, organization) Comment:	1	2	3	4	5	NA
7. Originality/innovation of contribution Comment:	1	2	3	4	5	NA
8. Recognition of limitations of the study Comment:	1	2	3	4	5	NA
9. Appropriateness of implications for future research Comment:	1	2	3	4	5	NA

Does this paper pass the student on to the Final Examination? (A score of 3 is required to pass.)

1      2      3      4      5

**Dissertation Final Examination Evaluation Form**  
**Department of Psychology & Neuroscience**  
**Duke University**

	LOW			HIGH		
<b>Evaluative Dimension:</b>						
1. Quality and professionalism of presentation	1	2	3	4	5	NA
Comment:						
1. Quality and style of response to questions	1	2	3	4	5	NA
Comment:						
2. Breadth of knowledge on related areas of research						
	1	2	3	4	5	NA
Comment:						
3. Demonstrated knowledge of methodological approach						
	1	2	3	4	5	NA
Comment:						
4. Ability to defend/discuss/highlight key aspects of the conceptual foundation and methods of the research						
	1	2	3	4	5	NA
Comment:						
5. Ability to defend research findings and potential limitations						
	1	2	3	4	5	NA
Comment:						
6. Ability to identify areas for future research						
	1	2	3	4	5	NA
Comment:						

## **M. Publishing your Dissertation**

If you have written the dissertation in publishable form, this requirement will be easily met. Follow the Guide for the Preparation of Theses and Dissertation (<http://gradschool.duke.edu/academics/theses-and-dissertations>) and keep in mind specific journal format requirements. Planning ahead will make publication an easy transition after your defense.

## **N. Deposit of the Dissertation**

You must be registered during the term that you submit the dissertation.

## **O. Commencement**

Graduation exercises are held once a year, in May, when degrees are conferred and diplomas are issued to those students who have completed requirements by the end of the spring. Those who complete degree requirements by the end of the fall or by the end of a summer term receive diplomas dated December 30 or September 1, respectively. There is a delay in the mailing of September and December diplomas because diplomas cannot be issued until the Academic Council and Board of Trustees approve them.

*Note: Clinical students must successfully complete both the internship and the dissertation defense prior to participating in commencement exercises in May.*

## **Curriculum Requirements for the Clinical Program**

In order to provide prospective graduate students with the appropriate background to meet the integrative and intervention-prevention challenges of 21st-century clinical psychology, we have designed the curriculum to include basic coverage of three knowledge domains for all students: health psychology, adult clinical, and child clinical.

A central feature of this curriculum is that all students are exposed to basic graduate-level course work in the three areas of focus for the program, regardless of which focus they choose for themselves.

It is recommended that within the first three years of the program all students take the required courses in developmental, in social, in cognitive psychology, and in biological bases of behavior. All students take the foundation course in biological basis, which is designed to acquaint all clinical graduate students with a basic understanding of the biology of neuro-anatomy of behavior. Our program offerings in Social Development or Theories of Development meet the developmental requirement. The developmental perspective and a life course orientation are critical to the thinking of all clinical psychologists—whether they pursue biological, adult-adaptive, or developmental problems. A number of courses in social psychology are offered that meet the foundational requirement, as well as in cognitive psychology (although, Foundations in Cognitive Psychology is recommended.)

Along with the basic course work in the three major knowledge domains of the program, all students enroll in a three-course sequence in methodology, design, and advanced statistical models as well as beginning courses in clinical skill-related areas. These latter courses include a first-year course in personality assessment/clinical interviewing and first or second-year courses in psychopathology and models of intervention. The Clinical Assessment course (PSY 754) is not formally required, but is strongly recommended.

Students with prior graduate coursework that may meet course requirements can request a waiver of such courses. Materials (including detailed syllabus) must be submitted to DCT for review and decision.

Ethical Issues and Diversity in Mental Health are required courses. Students must be in year 3 or beyond to take these courses, to assure sufficient clinical experience as background for course content.

The curriculum of the clinical program is designed to meet the accreditation criteria of the American Psychological Association, while implementing our own unique framework of training in clinical and health psychology.

## Course Requirements for Clinical Students

All students must register each semester for “continuation” and pay a registration fee until all degree requirements are completed, unless waived by an approved leave of absence. Additionally, except during internship, all students must register for a total of 6 semesters of full-time tuition. NOTE: By end of Year III, students should have taken at least one course in each of the following: cognitive, developmental, social, and biological basis course. All clinical students must have taken Ethics and Minority Mental Health or an equivalent course prior to graduation.

### Year I

Fall

Applied ANOVA (766)  
Adult Psychopathology (705) or  
(767) Intervention (707)  
First Year Seminar (763)  
Research Design (718)  
Elective

Spring

Personality Assessment (735)  
Applied Correlation & Regression  
Research for Empirical (optional)  
First Year Seminar (764)  
Elective

\*Professional Issues in Clinical Psychology (797) one hour every semester

### Year II

Intervention (707) or  
Adult Psychopathology (705)  
Practicum (743)  
Research (Research 01)

Elective  
Elective  
Practicum (744)  
Research (Research 01)

### Year III and Subsequent years

Practicum (743)  
Elective(s)  
Research (Research 01)

Practicum (744)  
Elective(s)  
Research (Research 01)

Ethical Issues (739) (typically Fall) and Diversity in Mental Health (710) (typically Spring) are offered in alternating years, and are required. Taken 3<sup>rd</sup> year or beyond.

Electives must include one in biological aspects of behavior (e.g., 990.01), cognitive/affective aspects of behavior (e.g., 730); one in social aspects (e.g., 629); one must also be in developmental (e.g., 721) aspects of behavior.

See requirements checklist for notes on required training on conduct of research and supervision seminar.

APA requirements:

The APA accreditation requirements currently include coverage of developmental, social, cognitive/affective, and biological aspects of behavior, along with history of psychology, research methods and quantitative methods. In the clinical/professional

domain, they include coverage of assessment, intervention, consultation/supervision, ethics, diversity, and individual differences.

### **Breadth Requirements for Clinical Psychology Graduate Students**

Doctoral-level education in professional psychology requires that the student first be an educated psychologist before entering into applied practice. The principle that guides accreditation of doctoral programs in professional psychology is that training must be “broad and general.”

Certain areas of psychology must be incorporated into doctoral training, and these are articulated in the Guidelines and Principles of Accreditation.

([www.apa.org/ed/accreditation/about/policies/guiding-principles.pdf](http://www.apa.org/ed/accreditation/about/policies/guiding-principles.pdf)). This handbook contains the key guidelines and principles that guide doctoral education.

In summary, clinical psychologists must be educated in biological, social, developmental, and cognitive aspects of psychology, and in the history of the field. They must be exposed to current thinking in research design and statistical analysis, and to clinically relevant areas of psychology, such as psychopathology, assessment, intervention, consultation and supervision.

In the Duke clinical psychology program specific required courses address psychopathology, assessment, intervention, as well as research design and statistical methods. Clinical students must then elect courses in social, developmental, biological bases of behavior, and cognitive aspects of behavior. They are also required to attend the series of lectures on theory and methods of supervision offered in the medical center internship program at some point prior to internship. Consultation is taught in the context of practicum teams, as students work with professionals and trainees from other disciplines around medical, school, or family consultation. History of psychology in its developmental aspects is covered in through numerous courses and seminars. Readings on historical aspects of psychology are embedded in other clinical courses.

### **Elective Breadth Courses**

Most students take Social Development, which serves as a developmental breadth elective and also contributes significantly to our history education. An equivalent course may be elected, and the student may take additional courses that have a developmental perspective, such as Advanced Cognitive Development. A significant number of social psychology scholars are now teaching in our department. Thus, clinical students should elect one or more graduate social psychology courses, offered in our department or in sociology. You are asked to review the potential electives with the DCT to assure adequate breadth.

There are a number of cognitive electives, any of which may be taken so long as they provide a “broad and general” introduction to the field. However, Cognitive Psychology is recommended. For biological bases of behavior, Functional Neuroanatomy/



Psychopathology is recommended, although more advanced courses may be proposed to the DCT for consideration depending on student background. Highly specialized seminars may not meet this requirement, and the student is asked to review the proposed course elective with the DCT.

### **History of Psychology**

Through out graduate education in the clinical psychology program, students will demonstrate understanding of the early history of contemporary psychology [from about 1880 until early in the twentieth century]. This is primarily accomplished through (program-required) reading assignments, or by inclusion of this topic in a formal graduate course. During the First Year Seminar, students will be asked to study their own intellectual heritage, by constructing a “family tree” of their mentor’s mentor, their mentor’s mentor, etc., going as far back in the history of contemporary psychology as possible. The emphasis in this project is on intellectual heritage, i.e., on the ideas that stimulated the psychologists in the “family tree” and the contributions that they made to the intellectual development of the field. Results of this project are presented in the First Year Seminar. This seminar also includes presentations by various faculty members of their career path, accompanied by assigned readings that were seminal in their development as psychologists. Both of these components of the First Year Seminar are designed to “bring alive” the history of psychology over the past 30 plus years. Finally, a number of history-related readings are required in all core clinical courses and in selected breadth courses. A representative listing is available from the DCT.

### **Supervision Theory and Methods**

Clinical graduate students need exposure to theories and methods of supervision. Because of the generosity of our medical center internship program, we have been invited to have our students attend the lecture series on this topic that is held during the fall semester each year, on a once per month basis. Please attend each lecture and sign the attendance sheet. This is recommended for third and fourth year students (rather than for first and second year students), and must be completed prior to internship.

### **Student Evaluations by Faculty**

Clinical students are evaluated twice per year at clinical faculty meetings. At the end of the first semester, and again at the end of the second semester, each student is reviewed for progress in academic coursework, practicum, and research. Grades are an index of satisfactory coursework in each semester. Practicum supervisors review with each student their progress in the various aspects of practicum work, complete the relevant practicum evaluation form, and go over this form with the student, prior to the clinical faculty meetings each semester. Mentors should review each student’s research products (Empirical, MAP, Dissertation), and level of skill in various aspects of research, complete the relevant one-page form and review this with the student,

prior to the Spring clinical faculty meeting. Evaluation forms must be completed by the Empirical, MAP, and Dissertation committees.

Relevant forms for these evaluations are included in Appendices .

In May or June, each student will meet with the DCT to discuss the evaluation and then receive a written letter from the Director of Clinical Training indicating general levels of progress in the program, and whether or not the student is in good standing. The MAP must be completed by the Graduate School deadline, for a student to be in good standing.

### **Minimal Level of Achievement**

Minimal levels of achievement differ for coursework, practicum, and research milestones.

A graduate student must maintain a “B” average to remain in good standing. When one of our students obtains a “C,” the student’s academic status is reviewed, and the clinical faculty decides if a remediation plan is necessary, such as repeating a course for credit or as an audit.

In clinical practicum, a rating of “3” is expected on all items on the practicum supervisor’s review, which is then reviewed by the Clinical faculty, including the DCT. Ratings less than 3 trigger a remediation plan. Areas of relative weakness are discussed with the student and become the target for further improvement in that and possibly subsequent practicum placements.

Timely completion of all research milestones (empirical paper, MAP and dissertation) is expected. Ratings of “3” or higher are expected on the mentor’s annual rating of research skills, and each of the evaluation forms for the respective research milestones (empirical, MAP, dissertation).

“Needs Improvement” on any category of the Annual Evaluation Letter is one indicator of the need to either make a remediation plan (with student, guided by faculty) or evaluate whether a student remains in good standing in the Clinical Program. A student may lose “good standing” in the program for a number of reasons, most typically a combination of factors. These could include (but are not limited to) not completing research milestones by the required deadline, ratings below “3” on clinical practicum or research milestone evaluations, and consistent lack of professional behavior. The clinical faculty would discuss and make a formal decision if a student is no longer in good standing in the program, and agree on a remediation plan. This would be communicated in writing to the student, who would meet with advisor and DCT to make a plan for improvement and indicators of progress that would meet the minimal level of achievement and be necessary to return to good standing in the program.

Note that “good standing” in the Clinical Program is distinct from good standing in the Graduate School (see below). If a student is no longer in good standing in the Graduate School, they are automatically no longer in good standing in the Clinical Program. However, one can no longer be in good standing in the Clinical Program but officially remain in good standing in the Graduate School.

### **Graduate School Requirement for MAP**

The MAP is a Graduate School requirement and the oral exam on the MAP is the step prior to advancement to Ph.D. candidacy. The MAP must be completed by the end of the third year (Spring semester) in graduate school, in order for the student to maintain good standing in the Graduate School. If the student does not meet this requirement, in exceptional situations, an extension may be requested through the office of the Director of Graduate Studies. Extensions cannot be guaranteed. See MAP/Preliminary Exam Guidelines.

The DCT cannot give an unqualified endorsement that the student is in good standing overall in the program if the MAP is delayed beyond the third year and an extension has not been obtained. The student is no longer in good standing with the Graduate School if the MAP (Preliminary Exam) is not completed by this time.

### **Student Evaluations of Program and Faculty**

Students are asked to give evaluations of every aspect of the program. For courses up to 499 -level, students are asked to complete the university’s form for teacher evaluations. At the 500-990 - level, students are asked to email evaluative comments to the DGS/DCT staff assistant, who will de-identify these and compile them. For practicum, each student is asked to complete a review of each rotation and supervisory experience. These are returned to the head of the Practicum Committee, who reviews them for action items and then forwards them to the DCT. For research, each student is asked to complete a mentoring review using the form we have adopted from the National Science Foundation, and to review it with her or his mentor. These are then returned to the DCT, who reviews them for action items. The DCT further reviews practicum and mentoring student evaluations for possible action items, and files the originals in each student’s program folder. See all forms in Appendix.

## Major Practicum Guidelines

1. Practicum must begin by the start of the fall semester during Year 2 of the graduate program, unless the practicum site supervisor and the student agree to begin during the preceding summer, in which case it may begin earlier.
2. Students are expected to commit an average of 10 hours per week, including direct patient care, report/note writing and supervision. Some rotations may require more hours on the front end (e.g., when new assessments are being learned).
3. Minimally, all students must take one year of practicum in the Psychology Clinic and one year in the Medical Center. Breadth of training and increasing clinical responsibility over the years of training are two guidelines to follow in making rotation assignments.
4. All students must have a designated primary supervisor for each case. In general, responsibility for supervision should reside with Duke faculty for the first three years of practicum (years two, three, and four of graduate school). In selected cases, fourth year student may be assigned to Central Regional Hospital or to other external sites for an advanced placement.
5. In addition to individual supervision, the student clinician must attend regular practicum team meetings whenever seeing patients (Clinic Team, Hospital Adult Team, Hospital Child Team). Team meetings include case presentations, peer supervision, discussion of practicum problems, etc.
6. Significant or recurring problems are referred to the Practicum Committee. Each team should keep minutes that will briefly record topics covered in team meetings, not to include patient material. These should be given to the Chair of the Practicum Committee monthly.
7. Students must keep account of their practicum hours using the form provided for this purpose. See Appendix. The form matches the categories used by the Association of Psychology Postdoctoral and Internship Centers for internship application. The form should be signed by the rotation supervisor and the group practicum team leader on a regular basis. The final form with signature must be copied to the DCT on an annual basis.
8. Students undergo evaluation of his/her clinical progress mid-year and at the end of the year. Supervisors will complete the Graduate Student Practicum Evaluation form and review the ratings with the student. The student should sign the review indicating they have seen it. They may add their own comments to it. The Faculty will use this form as part of the student's comprehensive mid-year and end-of-year evaluations. Additionally, the DCT will meet with each student annually to review academic, research, and clinical progress.

9. At the end of the practicum year, students will also provide feedback about the rotation using the “Student Evaluation of Practicum” form.
10. The Practicum Committee oversees all practicum assignments. It is a standing committee that reports monthly to the Clinical Faculty meeting and includes a student representative who is present for all discussions except personnel discussion (student reviews).
11. Practicum descriptions are updated on an annual basis and can be found on the Clinical Psychology website.
12. Supplemental practicums within Duke University / DUMC are sometimes approved for students, in addition to participation in Duke Clinical Program practicum experience. As with all practicum training, regular and ongoing supervision by a licensed clinical psychologist is required. A general guideline for supervision is one hour for every ten hours of direct patient contact. All supplemental practicums must be approved by the Practicum Director, and hours monitored on the same form.
13. Practicum training outside of the Duke University / Clinical Program is rare. Requests for consideration of practicum external to Duke must be discussed with the Practicum Director.

**TIMELINE AND RELATED FORMS FOR CLINICAL GRADUATE STUDENTS**  
(All forms in Appendix)

**YEAR ONE**

Major Advisor (Potential MAP Committee Chair) selected by end of Year One  
Begin work on empirical and MAP research (suggest completion of empirical project by first semester of second year)  
Empirical Review Committee formed and approve your research project (\*top portion of Research Project Form).

**YEAR TWO**

MAP Committee formed and approved by the Dean of Graduate School (Committee Approval Form), recommended prior to pre-registration for student's fifth semester  
By the end of the second semester, must complete Empirical Project (\*bottom portion of Research Project Form).

**YEAR THREE**

MAP submitted to Committee, along with date the exam has been scheduled  
Major Area Abstract Form(\*Major Area Form) , Report of Preliminary Exam, and Exam Card must be signed by committee on day of exam. MAP must be completed by end of year three (Spring semester).

**YEAR FOUR OR FIVE**

By September 1, a draft of Dissertation Proposal must be presented to Ph.D. Committee Chair.  
By September 30, Dissertation Proposal must be approved in order to seek approval to go on internship (Proposal/Thesis Committee Approval).  
Dissertation should be completed, ideally, before going on internship. The doctoral dissertation must be submitted and accepted within four years after the MAP examination.

(\*Final Examination Announcement for the Ph.D. Degree/Appendix)

**YEAR FIVE OR SIX**

Internship

***Any committee changes (deletions or additions) must be made on the Committee Approval Form.***

## **Special Courses and Registrations**

### **A. Responsible Conduct of Research**

Responsible Conduct of Research training is a formal requirement of the Ph.D. degree in every department and program of study at Duke. This reflects the expectation that every doctoral candidate will be well qualified to address the growing ethical challenges that arise when teaching or conducting research. All graduate students are required to take the RCR training. Six credits of RCR are offered during Orientation. Another six credits must be earned before graduation.

Clinical students are also required to take a 3-credit course in professional ethics.

### **B. Registration for Research Credit**

Clinical students should register for RESEARCH 01, found on ACES under "Rs" - RESEARCH. This course has a varied amount of credit. You need to signify during registration time the amount of units of credit you will want for that semester. Not counting the one unit of credit for Continuation, your total number of course credits should equal 12 each semester. Clinical students should NOT register for Research Practicum.

### **C. Summer Session**

Students who hold awards must register for the summer in order to receive a summer stipend. Summer registration will also be required for any student using University facilities or taking a graduate examination (prelim or final) during that time. Students who do not take a graded course register for "Continuation." Students should register for FULL Summer, not Summer Terms I or II.

### **E. Inter-Institutional Registration for Courses Offered at North Carolina Central University, The University of North Carolina at Chapel Hill, and North Carolina State University**

Registration must be completed at both Duke University and the visited institution. An inter-institutional approval form must be completed and proper signatures obtained. Billing will be done for inter-institutional registration at Duke's rates. If there is a special fee associated with a particular course, the fee should be paid at the visited school. Complete instructions for this registration procedure can be found at <http://www.registrar.duke.edu/registrar/studentpages/student/interinstitutionalduke.html>

### **F. Undergraduate Level Courses for Graduate Degree Credit**

In exceptional circumstances and with DGS approval, students may take any course(s) below the 500 level and have it (them) count toward their degree, provided that two conditions are met: 1) that such a course is over and above the graduate course requirements set by the department; and 2) that a grade of B or better is earned.

## **G. Audited Courses**

In order to audit a course, a student must have the approval of both the instructor of the course and the DGS. Any student registered full-time in a degree program may audit courses without charge, except in the unusual circumstance in which the number of audited courses has exceeded the number of regular courses taken. One may audit a course after meeting the 60-unit requirement.

## **Grades**

Duke's grading system is described in the Graduate Bulletin under "General Academic Regulations". Several points are worthy of emphasis:

1. Beginning with the fall 2004 semester, grades are : A, B, C, F, and I.
2. An 'incomplete' (I) is granted only with the explicit permission of the instructor and only for an acceptable reason. It is the instructor who determines the date by which the work must be completed. Students are sometimes confused by the fact that after receiving an I the Graduate School sends a notice indicating that one-year is allowed in which to complete the work. Please note that this is the Graduate School's limit. It only applies when the instructor does not set a stricter time limit.
3. Although a 'C' is a passing grade, it is cause for concern; and a student who receives such a grade will have his or her progress scrutinized by the program faculty. A remediation plan may be required. All students are expected to maintain a grade point average of at least 3.0 (B).
4. According to the Graduate Bulletin "a grade of F in a major course normally occasions withdrawal from a degree program not later than the end of the ensuing semester or term; a grade of F in any other course occasions "academic probation." The faculty of the Psychology Department has determined that for purposes of such decisions a "major course" is any course listed under Psychology in the Graduate Bulletin. The consequences of an F received in any other course will be determined by a faculty review.

## **Transferring Across Programs**

Implemented December 2, 2002, the faculty decided that, in principle, students will not be allowed simply to transfer between programs. Students wishing to switch programs, will need to re-apply and will be considered along with other applicants during that admissions season.

Since there is no guarantee that students who wish to transfer between programs will be offered admission to the new program, looking into other psychology programs outside of Duke is encouraged. If the student is not admitted (transferred) to the new program s/he will not lose his/her current status as a graduate student in the Psychology and Neuroscience department.



## **Mentoring Evaluation and Changing Mentors**

### **Evaluation of Mentoring**

Each mentor/student pair should meet once per year, during the spring to discuss the student's experience of the mentoring relationship. The form used for this (Appendix III) was adapted slightly from one developed by the National Academy of Sciences and should be used as the basis of this discussion. Students will complete the form and submit it to the DCT.

Students will be given a copy of the form during their first semester in the program, and oriented by the DCT to the purpose of the evaluation and the process to be followed. This will help guide students' thinking about what they need from their mentor. Familiarity with the form by mentors will also help mentors to stay mindful of all aspects of their role.

### **Changing Mentors**

Changing mentors should be a rare occurrence. If a student is dissatisfied with their mentoring experience, this should first be discussed with their mentor. If this does not lead to a resolution, the next step is for the student to discuss the situation with either the DCT or the DGS.

If a student wishes to switch mentors, whether because of dissatisfaction, changes in research interests, or any other reason, this should first be discussed with their current mentor before approaching any other faculty member about being his or her mentor. Faculty members who receive such requests should ensure that the current mentor is aware of the situation.

Because of implications for students' funding, and for whether or not a faculty member takes a new student during the admissions process, certain times of the year are strongly preferred for any changes in mentoring relationships. January is ideal because it would allow faculty members to know during the application review and admissions process how many students they expect already to be mentoring during the coming year.

Students will be given the expectation upon beginning the program that switching mentors may not always be possible in a given year because of funding constraints. For example, if the student's support was in part from a faculty member's grant, there may not be an available TA slot for the following year, and another faculty member may not have grant support available. Decisions made late in an academic year are particularly risky from this perspective.

## **Financial Support**

The University distinguishes among several types of support. Fellowships typically include funds for tuition and fees as well as a stipend for living expenses; scholarships are limited to a contribution for tuition and/or fees. Research and teaching assistantships are self-explanatory designations.

## **Research Assistant (RA)**

Various members of our faculty offer research assistantship opportunities. The proportion of stipend covered is dependent on the number of hours that service is performed by you. Students are not permitted to work more than 19.9 hours per week. You receive special training and "hands-on" experience that will benefit you in your education. Your commitment may be for 9-12 months, and this should be clarified early on with your employer.

## **Teaching Assistantship (TA)**

The Department of Psychology & Neuroscience requires four (4) TAships. Clinical students have the option of doing fewer, and the current general expectation is three (3) TAships. These are required regardless of source of funding.

The amount of time involved can vary across TA assignments and over the semester. Students will TA courses that require leading discussions sections and those that provide support to the instructor (e.g., grading, office hours, tutoring). These issues, along with other funding options, are taken into consideration when TA assignments are made by the DGS. The Department with the Dean of Trinity College negotiates courses to which assistants will be assigned.

Students should discuss with their advisor the most beneficial and preferred timing for completion of the TA assignments. Generally, Clinical students do one TA semester during each of years 2, 3, and 4. However, the TA assignment plan is often highly individualized and dependent on departmental TA needs. Thus, it is recommended that students take into consideration various responsibilities and requirements when discussing TAs with their advisor. Preference should be communicated to the DGS, but is not guaranteed.

## **Teacher Training Workshop Series for PhD Students**

To supplement your TA training, the Graduate School offers several training events to improve the teaching skills of PhD students. Opportunities for teaching improvement include the Preparing Future Faculty (PFF) program, a discussion series called "Teaching IDEAS: Instructional Development for Excellence And Success" that features Duke faculty and nationally known speakers, workshops on the instructional uses of technology.

We strongly encourage students to participate in these training opportunities. Find out more at [http://gradschool.duke.edu/prof\\_dev/teachingtech/index.php](http://gradschool.duke.edu/prof_dev/teachingtech/index.php)

### **Certificate in College Teaching**

In Fall 2011, the Graduate School developed a Certificate in College Teaching. This will appear on your transcript for Ph.D. students who complete its requirements. To apply for the Certificate in College Teaching, please go to [http://gradschool.duke.edu/prof\\_dev/cct/index.php](http://gradschool.duke.edu/prof_dev/cct/index.php).

### **Fellowships**

Applicants are urged to compete for national and foundation awards available for graduate study, including NSF Graduate Fellowships; National Research Service Awards (NRSA) from NIH; Stern Dissertation; Baugh Fellowship; Boone Fellowship; Bass Named Instructor; International Travel Awards; Summer Research; and the Aleane Webb Dissertation Research Fellowship. The University also provides competitive awards to facilitate graduate work, as well as to stimulate enrollment of minority students. (e.g., J.B. Duke Fellowship and Dean's Graduate Awards). Information regarding possible awards is distributed to students by the department. A listing of awards can be found <http://gradschool.duke.edu/financial-policies-forms-and-resources> or in the Office of Research Support (<https://ors.duke.edu/orsmanual/current-competitions>).

Applications for external sources of fellowship support are viewed as an integral part of your professional training. You will learn in the process much about how to prepare a proposal, structure your curriculum vita, etc. In no case will you be financially penalized for obtaining external funds or compromised in other aspects of your training. If the external award is less in amount than what you were offered by us, the department will make up the difference.

### **Summer Support**

12-month funding is guaranteed for all students during their first and second summers. This is to provide students ample opportunity in the summer months to advance into Ph.D. candidacy toward their degree. Students are expected to submit to their DGS a one page proposal outlining how the summer funding will be utilized to advance their educational pursuits. While all first and second year students are guaranteed summer support, only those students who have no other means of funding (e.g., mentor's grant) will be eligible to apply to the graduate school for this funding.

After the first two summers, students will be expected to seek research or teaching assistantship positions, compete for summer research fellowships, and/ or seek external funding sources (e.g., NRSA, NSF, and private foundation fellowships).

## **Student Loans**

Federal loans are available to graduate students through the Stafford Loan Program and the Carl Perkins Student Loan Program. Eligibility for all loans is based on financial need. Students who are enrolled at least half time, who are U.S. citizens or permanent residents, and who meet the federal criteria for need are eligible for Stafford Loans under the Federal Family Education Loan Program. After a student has borrowed the maximum from the Federal Stafford Loan Program, loans may be provided through the Carl Perkins Student Loan Program. Generally, loans made from these funds bear no interest charge to qualified borrowers while they maintain student status and for a short period thereafter. Interest during the repayment period is at a favorable rate. The Free Application for Federal Student Aid (FAFSA) is required for all students who wish to borrow through the federal program. This can be done online at <http://www.fafsa.ed.gov/>  
Contact the Financial Aid Office, The Graduate School, for further information concerning these loan programs. If summer support is being requested, you must be registered for summer school in order to receive support.

## **Policy on Conference Attendance**

Students are urged to become student members of a professional organization, attend professional meetings, and to present their research as often as possible. Several points should be kept in mind. If you present research that was performed while you were at another institution, that fact should be clearly indicated in your presentation. If you present work that was conducted at Duke, you should clear your presentation with a member of the Graduate Faculty in the Psychology Department before submitting your abstract. Please remember that you are representing Duke. Forms available in Appendix.

## **Funds for Travel**

In recent years the Dean of the Graduate School and the DGS in the Department have set aside small amounts of funds for student travel to conferences. First, second, and third year students are eligible for the Claire Hamilton Award, whether they are presenting at a conference or not. This is a \$250 award to be used once per academic year. Please see the end of this section for a copy of the Claire Hamilton Application (Appendix). You can also obtain the application from the DGS Assistant. The Conference Travel Fellowship is available through the Graduate School. Students are eligible to apply if their research has been accepted for presentation at a professional conference, and if they have completed prelims (usually 3rd year and beyond). Requests for travel funds must be made one month in advance of the meeting. The Graduate School will provide 70% of up to \$750.00 (\$525) and P&N department will provide the balance (\$225.00) for domestic trips and \$1,000 for international travel (\$700 from the Grad School and \$300 from P&N). The downloadable application form outlining eligibility requirements and terms of the award can be found on the

Graduate School's site at

<http://gradschool.duke.edu/sites/default/files/documents/conftrav.pdf>

Normally expenses are reimbursed after the trip is complete. It may be possible, however, to obtain a partial or full travel advance. For example, if the Department is to pay a portion of the travel costs, these may be received before the trip by applying to the DGS. Instructions for completing the Travel Expense form and the Travel Advance form can be found in Appendix.

### **Colloquium and Clinical Lunch Series Attendance**

The P & N Colloquium and Clinical Lunch Series are central aspects of department life. For students these are opportunities to become acquainted with major figures in the field and to become familiar with contemporary research.

In many universities Colloquium attendance by students is mandatory. The faculty of our department generally feel that such strictures are counterproductive, but the sentiment runs high/is expected that students should attend, even when the topic is distant from a student's research area.

Grand Rounds in the Department of Psychiatry & Behavioral Sciences at the Medical Center will also frequently be of interest to you.

### **Committees**

There are various department and university committees where student participation is encouraged and needed. There is always a need for student involvement to formalize channels of communication, with representatives at Practicum Committee Meetings, Clinical Faculty Meetings, Clinical Curriculum, and Mentoring Committee Meetings and at the Graduate and Professional Student Council.

## **Financial Accounting Fees**

Tuition is charged on a per semester basis for Ph.D. students. Tuition is levied for six semesters of graduate study, after which payment of registration fees is all that is necessary. The department will pay tuition provided you are making satisfactory academic progress.

Charges listed below are all for 2016-2017 and usually will increase from one year to the next.

The charge for tuition is \$24,750 per semester (for 2016-17).  
Registration fee for the summer of 2017 will be \$3,425. The department usually covers registration fees for years 1-5 (9-month academic year only).

**Student Health Fee:** All students are assessed a fee each semester for the use of the Student Health Service. For 2016-17, the health fee is \$386 per semester. Summer health fee is estimated at \$272. This fee is NOT Health Insurance and does NOT provide major medical coverage. The department covers Health Fees for the academic year for years 1-5.

**Recreation Fee:** All students are assessed a fee each semester for the use of any campus recreational facilities. For 2016-17, the recreation fee is \$136.50/semester.

**Student Health Insurance:** All students are required to have insurance. For those not adequately covered by other insurance, the Duke Student Insurance Plan is specifically designed to complement the coverage provided by the Student Health Fee. This coverage is from August 2016 to July 31, 2017.

**Transcript Fee:** All entering students will be charged in the fall semester a one-time mandatory fee of \$40 for transcripts. This fee entitles you to an unlimited number of Duke transcripts.

**Student Activity Fee:** For 2016-17, the charge is 17.75 per semester.

The Bursar's Office serves the student community by assisting students with their bursar accounts. For assistance, see <http://www.bursar.duke.edu/>

## **The Mechanics of Payment**

If you are to receive a stipend (fellowship from the department or the Graduate School), you will receive a check on the last day of each month beginning with September and ending in May. If you are to receive a "work related" check (TA or RA), you will receive a check on the 25th of each month. If you are receiving both a stipend

and are working, you will receive two checks. Total support for the academic year: \$22,030 for 2015-16.

### **Taxation**

Income is taxable if received for service (i.e., Teaching Assistantships and Research Assistantships.) This income is reported to the IRS and you need W-4 & I-9 forms completed before you will be placed on the payroll. Fellowships and scholarships are reportable as income with the exclusion of tuition, required fees, books and equipment. The University does not have any withholding or reporting requirements for scholarships and fellowships, but students may voluntarily have taxes withheld from the fellowship stipend by completing a W4 form with the payroll office.

### **THE HUMAN SUBJECT POOL**

Fall and Spring semester, the Psychology Department maintains a “Human Subject Pool” comprised of consenting students who are enrolled in the Introductory Psychology Courses: PSY 101, PSY 102RE, PSY 103RE, PSY 104RE, PSY 105, PSY 106 and PSY 221. Each faculty member who requests access to the Subject Pool is allocated a certain number of hours to use. Those hours are shared with his/her graduate student(s), post doc(s) and Graduation with Distinction student(s).

Those wishing to access the Human Subject Pool must respond to an email sent out about a month before the start of Fall or Spring semester. Studies conducted using the Subject Pool must have the approval of the University committee on the Use of Human Subjects in Non-Medical Research (IRB approval). There are definite deadlines to be observed with the IRB and the Subject Pool Administrator, so early application is necessary. IRB approval lasts one year and must be renewed annually.

The Prescreen: (In the past, this was called Group Testing): For the first two and a half weeks of the semester, an online prescreen is available for students to complete. The prescreen includes sets of questions submitted by researchers who will use the information to screen potential Subject Pool participants for their studies. The questions must be “yes/no”, Likert scale, or one/two word answers. Your submission should take a student five minutes or less to complete.

This questionnaire/survey for the Prescreen must be approved by the IRB and its inclusion in the Prescreen clearly noted. If you will need demographic information included in the results – race, primary language, religious affiliation, gender, handedness, class standing or place of birth – this must also be noted in your study’s IRB. You will not need to request this information in your entry because they are included in a demographic section of the Prescreen.

Students sign up for studies via a web based scheduling software found at: <http://duke.sona-systems.com/>. Researchers will access this site to enter a description of their study and create timeslots for scheduling.

More detailed information about the subject pool can be found at:

<http://psychandneuro.duke.edu/undergraduate/subjectpool>

Click on the links below the heading, "Researchers/Principal Investigators". There you can find out:

Important deadlines for the Subject Pool and Prescreen

Who is eligible to access the Subject Pool

How to enter studies into Sona

How to credit students

How to schedule studies

How to enter online questionnaires

And much, much more.



## Duke University Harassment Policy

Duke University is committed to protecting the academic freedom and freedom of expression of all members of the university community. This policy against harassment shall be applied in a manner that protects the academic freedom and freedom of expression of all parties to a complaint. Academic freedom and freedom of expression include but are not limited to the expression of ideas, however controversial, in the classroom, residence hall, and, in keeping with different responsibilities, in workplaces elsewhere in the university community.

Definition of harassment at Duke University:

1. Harassment is the creation of a hostile or intimidating environment, in which verbal or physical conduct, because of its severity and/or persistence, is likely to interfere significantly with an individual's work or education, or affect adversely an individual's living conditions.
2. Sexual coercion is a form of harassment with specific distinguishing characteristics. It consists of unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when:
  - submission to such conduct is made, explicitly or implicitly, a term or condition of an individual's employment or education; or
  - submission to or rejection of such conduct is used as a basis for employment or educational decisions affecting an individual.

The conduct alleged to constitute harassment under this policy shall be evaluated from the perspective of a reasonable person similarly situated to the complainant and considering all the circumstances. In considering a complaint under the Duke University Harassment Policy, the following understandings shall apply:

- Harassment must be distinguished from behavior which, even though unpleasant or disconcerting, is appropriate to the carrying out of certain instructional, advisory, or supervisory responsibilities.
- In so far as Title VII (Equal Employment Opportunity) of the Civil Rights Act of 1964 is applicable (i.e., in complaints concerning carrying out of noninstructional employment responsibilities), the university will use the definition of sexual harassment found in the Equal Employment Opportunity Commission (EEOC) Guidelines: "conduct of a sexual nature...when such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment."
- Instructional responsibilities require appropriate latitude for pedagogical decisions concerning the topics discussed and methods used to draw students into discussion and full participation.

The following behaviors are also prohibited by the Harassment Policy:

- Reprisals

Against the Complainant: It is a violation of Duke's Harassment Policy to retaliate against a complainant for filing a charge of harassment. A complaint of retaliation may be pursued using the steps followed for a complaint of harassment. When necessary, the appropriate dean or other university officer may monitor student grading or faculty/staff reappointment, tenure, promotion, merit review, or other decisions to ensure that prohibited retaliation does not occur. Against the respondent: Lodging a complaint of harassment is not proof of prohibited conduct. A complaint shall not be taken into account during reappointment, tenure, promotion, merit, or other evaluation or review until a final determination has been made that the university's harassment policy has been violated.

- Knowingly false or malicious complaints

To file a knowingly false or malicious complaint of harassment or of retaliation is a violation of the harassment policy. Such conduct may be pursued using the steps followed for a complaint of harassment. A complaint under this provision shall not constitute prohibited retaliation.

- Intentional breaches of confidentiality

All participants in the harassment complaint resolution process, including the complainant and respondent, witnesses, advisors, mediators, members of hearing panels, and officers, shall respect the confidentiality of the proceedings. Breaches of confidentiality jeopardize the conditions necessary to the workings of internal procedures for resolution of claims of harassment. Participants are authorized to discuss the case only with those persons who have a genuine need to know. A complaint alleging an intentional breach of confidentiality may be pursued using the steps followed for a complaint of harassment. Such a breach may also constitute an act of retaliation. A breach of confidentiality may void the outcome of any previously agreed-upon resolution to a complaint.

- Further Information

Individuals who believe they have been harassed, individuals charged with harassment, and individuals with knowledge of situations in which harassment may exist should consult Duke University's 'Procedures for Resolution of Claims of Harassment. This harassment policy and the procedures for resolution of claims of harassment are only part of Duke University's effort to prevent harassment in our community. In addition to spelling out steps for making and resolving complaints, the university is also committed to programs of education to raise the level of understanding concerning the nature of harassment and ways to prevent its occurrence.

### **Informal Complaints/Concerns**

It is often the case that student concerns or complaints can be handled informally. As a general guideline, students are encouraged to bring their concerns to their advisor, to the Director of the Graduate Program, or to the Director of Graduate Studies, in order to generate potential solutions to problems. If informal interventions are not successful, students may follow the formal grievance procedure, below.

### **Due Process and Grievance Procedure**

All students are afforded due process with regard to legal requirements and rights. It is the responsibility of the Director of Graduate Studies to inform each graduate student of the appropriate channels of redress for various kinds of grievances. In most circumstances, the director of graduate studies is the first to hear a complaint. If the complaint cannot be resolved satisfactorily at this level, the student may address, in turn, the department chair, the Associate Dean of the Graduate School, the Dean of the Graduate School, the Provost, and as a last resort, the President of the University. 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 jeopardize their graduate careers, they should go directly to the Associate Dean of the Graduate School. All students are assured that their confidentiality will not be compromised without their prior approval.

### **Information Technology Policy**

The Department of Psychology and Neuroscience requires that all clinical graduate students abide by strict safeguards regarding access to e-mail, departmental computers, personal laptops and electronic devices. As clinicians, students are more likely to come in contact with sensitive data—data that Duke is either required by law to protect, or which Duke protects to mitigate institutional risk. For this reason, the following policies apply:

- All personal laptops must be encrypted. Please contact Matt Mielke, or Rob Marks, Departmental IT Analysts, to make sure that your machine has the appropriate encryption. Currently the recommended programs are FileVault2 for Macintosh computers, and Bitlocker for Windows machines. Both of these programs are free and built-in with the operating systems. Matt or Rob will be happy to provide the software and assist with the configuration as needed.
- All smartphones must be secured with a passcode lock. For most phones, there is a password option in Settings -> Security. Please consult with Matt or Rob if you are not sure how to secure your smartphone. Please see The Duke Information Technology Security Office's link for safely configuring smartphones:

- Forwarding of Duke e-mail to an account such as g-mail is not allowed under any circumstances. Please consult Matt Mielke or Rob Marks for recommendations on configuring multiple accounts using an IMAP client such as MS Outlook or Thunderbird.
- For those working in the Duke Psychology Clinic, access to clinic data is allowed only from the confines of the clinic in 312 soc-psych. Students may access the data from one of three workstations in the clinic via a virtual machine and a protected VPN space. Students will be unable to electronically transmit these files but may print them out on the clinic coordinator's desk computer.

Please refer to the Duke IT Security Office's [policies and procedures](#) as well as the American Psychological Association's [HIPPA Frequently asked questions](#).