

CLINICAL GRADUATE STUDENT HANDBOOK

2021-2022

Department of Psychology and Neuroscience

Duke University

## Table of Contents

<b><i>Administrative and Support Staff for the Clinical Program</i></b> .....	<b>5</b>
<b><i>Major Requirements Pertaining to All P&amp;N Doctoral Students</i></b> .....	<b>8</b>
<b><i>Selection of Your Major Advisor</i></b> .....	<b>8</b>
<b><i>Second Year Empirical Research Paper</i></b> .....	<b>9</b>
<b><i>Selection of the Prelim/Ph.D. Committee</i></b> .....	<b>10</b>
<b><i>Committee Formation Checklist</i></b> .....	<b>10</b>
<b><i>The Preliminary Examination</i></b> .....	<b>11</b>
<b><i>Guidelines and Timeline for the MAP and Oral Exam</i></b> .....	<b>11</b>
<b><i>Master of Arts Degree</i></b> .....	<b>16</b>
<b><i>Guidelines for the Dissertation and Final Examination</i></b> .....	<b>17</b>
<b>11. Publishing your Dissertation</b> .....	<b>23</b>
<b>13. Commencement</b> .....	<b>23</b>
<b><i>Curriculum Requirements for the Clinical Program</i></b> .....	<b>24</b>
<b><i>Course Requirements for Clinical Students</i></b> .....	<b>31</b>
<b><i>Year I</i></b> .....	<b>31</b>
<b><i>Year II</i></b> .....	<b>31</b>
<b><i>Distributed Requirements for Clinical Psychology Graduate Students</i></b> .....	<b>32</b>
<b><i>History and Systems in Psychology</i></b> .....	<b>32</b>
<b><i>Supervision Theory and Methods</i></b> .....	<b>33</b>
<b><i>Student Evaluations by Faculty</i></b> .....	<b>34</b>
<b><i>Minimal Level of Achievement</i></b> .....	<b>35</b>
<b><i>Graduate School Requirement for the MAP</i></b> .....	<b>37</b>
<b><i>Clinical Practicum Guidelines</i></b> .....	<b>39</b>
<b><i>Year 1</i></b> .....	<b>41</b>
<b><i>Year 2</i></b> .....	<b>41</b>
<b><i>Year 3</i></b> .....	<b>41</b>
<b><i>Years 4/5</i></b> .....	<b>41</b>
<b><i>Years 5/6</i></b> .....	<b>41</b>
<b>A. Responsible Conduct of Research</b> .....	<b>42</b>

<b><i>B. Registration for Research Credit</i></b> .....	<b>42</b>
<b><i>C. Summer Session</i></b> .....	<b>42</b>
<b><i>D. Inter-Institutional Registration for Courses Offered at North Carolina Central University, The University of North Carolina at Chapel Hill, and North Carolina State University</i></b> .....	<b>42</b>
<b><i>E. Undergraduate Level Courses for Graduate Degree Credit</i></b> .....	<b>43</b>
<b><i>F. Audited Courses</i></b> .....	<b>43</b>
<b><i>Grades</i></b> .....	<b>44</b>
<b><i>Transferring Across Programs</i></b> .....	<b>45</b>
<b><i>Evaluation of Mentoring</i></b> .....	<b>46</b>
<b><i>Changing Mentors</i></b> .....	<b>46</b>
<b><i>Financial Support</i></b> .....	<b>47</b>
<b><i>Research Assistantship (RA)</i></b> .....	<b>47</b>
<b><i>Teaching Assistantship (TA)</i></b> .....	<b>47</b>
<b><i>Teacher Training Workshop Series for PhD Students</i></b> .....	<b>47</b>
<b><i>Certificate in College Teaching</i></b> .....	<b>48</b>
<b><i>Fellowships</i></b> .....	<b>48</b>
<b><i>Summer Support</i></b> .....	<b>48</b>
<b><i>Student Loans</i></b> .....	<b>49</b>
<b><i>Policy on Conference Attendance</i></b> .....	<b>49</b>
<b><i>Funds for Travel</i></b> .....	<b>49</b>
<b><i>Colloquium and Clinical Lunch Series Attendance</i></b> .....	<b>50</b>
<b><i>Financial Accounting</i></b> .....	<b>51</b>
<b><i>The Mechanics of Payment</i></b> .....	<b>51</b>
<b><i>Taxation</i></b> .....	<b>52</b>
<b><i>Departmental Human Subjects Research Pool</i></b> .....	<b>53</b>
<b><i>Informal Complaints/Concerns</i></b> .....	<b>55</b>
<b><i>Due Process and Grievance Procedure</i></b> .....	<b>56</b>
<b><i>Information Technology Policy</i></b> .....	<b>56</b>

## APPENDICES:

### Milestone Forms (University & Departmental Evaluation Forms) \*\*

- Committee Approval Form
- Research Project Form
- Written Empirical Evaluation Form
- Empirical Defense Evaluation Form
- Non-Thesis Master's Examination Card
- Doctoral Preliminary Examination Report
- Major Area Form
- Major Area Written Paper Evaluation Form
- Major Area Paper Oral Defense Evaluation Form
- Dissertation Project Approval Form
- Department Defense Announcement
- Written Dissertation Evaluation Form
- Dissertation Final Examination Evaluation Form

### Course Requirements

- Graduate Student Annual Evaluation
- Student Mid-Year Progress Report
- Mentor's Review of Student's Research Skills
- Comments on Faculty Mentoring
- Mid-Year Practicum Evaluation
- End-of-Year Practicum Evaluation
- Student Evaluation of Clinical Practicum Experience
- Graduate Course Evaluation
- Graduate Student Survey
- Practicum Hours Record
- Conference Travel Applications (Claire Hamilton and Graduate School)
- Guide for the Electronic Submission of Thesis and Dissertation

## **Administrative and Support Staff for the Clinical Program**

Department Chair	Prof. Elizabeth Marsh
Director of Graduate Studies (DGS)	Prof. Nancy Zucker
Associate Director of Graduate Studies	Prof. Staci Bilbo
Staff Assistant to the DGS	Chelsea Fillippa
Department Business Manager	Cynthia Lamaster
Administrator for Subject Pool	Robin Dunn
Director of Clinical Training	Prof. Timothy Strauman
Director of Psychology Clinic	Dr. Ronald Batson
Director of Clinical Practica	Prof. Melanie Bonner
Psychology Clinic Staff Specialist	Jane Utley
Psychology Clinic Teaching Assistant	Lindsay Ives

## **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
  - \_\_\_\_\_ THE TIMETABLE
  - \_\_\_\_\_ COMMITTEE COMPOSITION AND APPROVAL
  - \_\_\_\_\_ CONTENT AND FORMAT OF THE MAP
  - \_\_\_\_\_ USE OF THE FACULTY MENTOR AND COMMITTEE
  - \_\_\_\_\_ THE ORAL EXAM
  - \_\_\_\_\_ AFTER THE ORAL EXAM
- \_\_\_\_\_ THE DISSERTATION AND FINAL EXAMINATION
  - \_\_\_\_\_ PLANNING THE DISSERTATION RESEARCH
  - \_\_\_\_\_ TIME LIMITS
  - \_\_\_\_\_ THE PH.D. COMMITTEE FOR THE DISSERTATION
  - \_\_\_\_\_ WRITING THE DISSERTATION PROPOSAL
  - \_\_\_\_\_ DISSERTATION PROPOSAL REVIEW
  - \_\_\_\_\_ CONDUCTING THE RESEARCH
  - \_\_\_\_\_ PLANNING FOR PUBLICATION
  - \_\_\_\_\_ WRITING THE DISSERTATION  
(<https://gradschool.duke.edu/academics/thesesand-dissertations>)  
/SCHEDULE A FORMAT CHECK WITH THE GRADUATE SCHOOL
  - \_\_\_\_\_ 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 All P&N Doctoral 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 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 to develop the capacity to contribute independently as a scholar to the body of knowledge in psychology and neuroscience.

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 is an opportunity each year 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 the Clinical Program does have additional specific requirements that are described in detail in a later section.

### **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 authorized 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 see a current listing of P&N's 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 (see Appendix for the current evaluation forms). 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.

## 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 student's PhD committee, and typically serves as the committee for both the MAP and the dissertation.

The Prelim/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, and Section 3. *The Ph.D. Committee for the Dissertation*, under Guidelines for the Dissertation and Final Examination).

### Committee Formation Checklist

- PhD committees require at least **three** members of the primary or joint faculty of Psychology and Neuroscience (not secondary 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 preside 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 administrative role is defined below 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 to the Director of Graduate Studies.
- 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 and advisor to suggest alternative members.
- 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 remotely (e.g., via Zoom) rather than in person. 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

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 our department's examination is the Major Area Paper (MAP).

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

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.

During the summer, a preliminary examination may be scheduled only between the opening and closing dates of the summer session. Please note that according to the Graduate School, 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 in scope (encompassing both neuroscience and psychology), 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, and perspectives. 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 the committee is approved by the DGS, the department 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 (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*

P&N also offers graduate students the option of formatting the MAP as a grant proposal to NIH or NSF (e.g., the NIH K31 mechanism).

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 14 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 prior to the intended date).

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 Appendix for the current evaluation forms).

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 master's 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 nonthesis 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.

## **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

#### 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.

Often 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 14 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. 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.

---

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

## 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. Furthermore, it is considered unethical to ask participants to take part in research that is never published. Also, if a student is supported by department or government funds, there is an obligation to make every effort to publish the findings. 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.

Given the scope and complexity of a dissertation, the completed paper must be submitted to committee members at least 21 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 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, the open session begins.

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 (with a minimum of 48 hours advanced notice). The student should begin by giving a 30-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 1st round, and up to 10 minutes during the 2nd 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 the Appendix for the current forms).

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.

8

#### 11. 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.

#### 12. Deposit of the Dissertation

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

#### 13. 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. This is a Graduate School regulation and is not under the control of either the clinical program or the department.*

## **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 clinical 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. Of course, each student can choose to specialize in one area of focus or to combine across areas.

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.

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. Both educational goals and requirements for licensure dictate that clinical students engage with a curriculum which provides both breadth and depth. APA provides a set of standards to which accredited programs adhere, ensuring that the course requirements for that program 'cover all the bases' from both a scientific and a licensure standpoint. In brief, those standards (and courses either required or typically used to meet them) are described in detail on the following pages:

<b>How the program ensures that students possess knowledge in:</b>		
<b>Knowledge Area:</b>	<b><i>History and Systems of Psychology</i></b>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>This area is covered using an individualized infusion model across a number of required and elective courses: Adult Psychopathology, Personality Assessment, Intervention, Ethics/Psychotherapy, Social Development, Cognitive Psychology, Social Behavior and Personality, Theories in Developmental Psychology, Professional Issues in Clinical Psychology, Cognitive Assessment, Research Methods, and First Year Seminar.</li> </ul>	
How does the program assess students' knowledge in this area?	<p>How outcomes are measured:</p> <ul style="list-style-type: none"> <li>Grades from individual courses that constitute each student's infusion model for History and Systems knowledge.</li> </ul>	<p>Evaluation tool and location:</p> <ul style="list-style-type: none"> <li>Specific requirements vary by course.</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in each of the courses that are included in their individualized infusion model for History and Systems.</li> </ul>	
<b>Knowledge Area:</b>		
<b><i>Affective Aspects of Behavior</i></b>		
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>This area is covered using an individualized infusion model across a number of required and elective courses: Adult Psychopathology, Personality Assessment, Intervention, Inside the Disordered Brain, Ethics/Psychotherapy, Social Development, Cognitive Psychology, Social Behavior and Personality, Theories in Developmental Psychology, Professional Issues in Clinical Psychology, and Cognitive Assessment. Affective aspects of behavior are covered in all of these courses (e.g., mood disorders, assessment of emotional status, affect in therapeutic relationship, emotion regulation neurodevelopmental perspectives on normal and abnormal emotional states). In addition to this requirement, many of our students take advantage of graduate-level seminars such as Self-Regulation, Affective Neuroscience, and several different advanced cognitive-neuroscience methods courses to obtain advanced knowledge and training in the role of emotion within normal and abnormal behavior.</li> </ul>	

How does the program assess students' knowledge in this area?	How outcomes are measured: <ul style="list-style-type: none"> <li>Grades from individual courses that constitute each student's infusion model for Affective Aspects of Behavior knowledge.</li> </ul>	Evaluation tool and location: <ul style="list-style-type: none"> <li>Specific requirements and evaluation procedures vary by course.</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in each of the courses that are included in their individualized infusion model for Affective Aspects of Behavior.</li> </ul>	
<b>Knowledge Area:</b>	<b><i>Biological Aspects of Behavior</i></b>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>Students are required to take, or have taken at the undergraduate level, a full semester survey-type course to fulfill this requirement. Many of our students choose to take Dr. Hariri's course, Inside the Disordered Brain. In addition to this course, students have available to them a broad range of advanced seminars in our department as well as in Neurobiology and in Biomedical Engineering which cover topics of relevance to the biological aspects of clinical psychology.</li> </ul>	
How does the program assess students' knowledge in this area?	How outcomes are measured: <ul style="list-style-type: none"> <li>The course assesses knowledge-related outcomes via conventional tests, in-class presentations, and a focused research review paper.</li> </ul>	Evaluation tool and location: <ul style="list-style-type: none"> <li>Students are required, in the context of this course, to demonstrate comprehensive knowledge of the neurobiology of psychopathology (i.e., across major diagnostic categories) and to apply course knowledge to a research topic of their choosing (which invariably is related to the student's particular clinical research interests).</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in the required course.</li> </ul>	

<b>Knowledge Area:</b>	<b><i>Cognitive Aspects of Behavior</i></b>	
How does the program ensure that students possess knowledge?	Students are required to take, or have taken at the undergraduate level, a full semester survey-type course to fulfill this requirement. Almost all of our students elect to take the department's graduate-level survey course, Cognitive Psychology, to fulfill this requirement. As for the other topics, advanced graduate-level seminars are used to supplement and extend knowledge in this area, often in a blended way such as a focus on cognitive development, social cognition, or cognitive neuroscience.	
How does the program assess students' knowledge in this area?	<p>How outcomes are measured:</p> <ul style="list-style-type: none"> <li>• The course assesses knowledge-related outcomes via conventional tests, in-class presentations, and a focused research review paper.</li> </ul>	<p>Evaluation tool and location:</p> <ul style="list-style-type: none"> <li>• Tests, presentations, and a semester-end review paper required.</li> </ul>
What minimum level of achievement must be met?	<ul style="list-style-type: none"> <li>• Students must maintain an A or B grade in the required course.</li> </ul>	
<b>Knowledge Area:</b>	<b><i>Developmental Aspects of Behavior</i></b>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>• Students are required to take, or have taken at the undergraduate level, a full semester survey-type course to fulfill this requirement. Our colleagues in the developmental area introduced a revised survey-level graduate course entitled Theories in Developmental Psychology. This course provides and evaluates students' exposure to current knowledge in the area of developmental aspects of behavior, including transitions, growth, and development across an individual's life, along with prominent methods used to advance understanding of developmental processes. This includes basic research on both typical and atypical development across the lifespan, and students complete written graded assignments based on their reading of primary source material in the areas of cognitive and language development, social-emotional-moral development, biological and neural development, and peer and family relationships from a developmental perspective.</li> </ul>	
How does the program assess students' knowledge in this area?	<p>How outcomes are measured:</p> <ul style="list-style-type: none"> <li>• The course assesses knowledge-related outcomes via conventional tests, in-class presentations, and a focused research review paper.</li> </ul>	<p>Evaluation tool and location:</p> <ul style="list-style-type: none"> <li>• Tests, presentations, and a semester-end review paper required.</li> </ul>

For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in the required course.</li> </ul>	
<b>Knowledge Area:</b>	<i>Social Aspects of Behavior</i>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>Students are required to take, or have taken at the undergraduate level, a full semester survey-type course to fulfill this requirement. Our colleague Dr. Rick Hoyle teaches the department's graduate-level survey course in this area, Social Behavior and Personality. Our students then supplement their broad and general exposure in this domain with higher-level graduate seminars drawn from our department as well as the law and business school faculties.</li> </ul>	
How does the program assess students' knowledge in this area?	<p>How outcomes are measured:</p> <ul style="list-style-type: none"> <li>The course assesses knowledge-related outcomes via conventional tests, in-class presentations, and a focused research review paper.</li> </ul>	<p>Evaluation tool and location:</p> <ul style="list-style-type: none"> <li>Tests, presentations, and a semester-end review paper required.</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in the required course.</li> </ul>	
<b>Knowledge Area:</b>	<i>Advanced Integrative Knowledge of Basic Discipline-Specific Content Areas (excluding History and Systems)</i>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>Our approach to this aspect of disciplinary knowledge is to require students to demonstrate competence in at least one formal integration between two discreet areas of basic knowledge. As such, each student must successfully complete at least one advanced graduate level course which explicitly spans two of the knowledge areas: e.g., affective neuroscience, cognitive development, developmental neuroscience. To date all of our students have exceeded this requirement in pursuit of meeting program and licensing requirements for breadth and depth of scientific training. We note that for the vast majority of our students, their research experience (including the dissertation) requires them to engage in a topic-specific integration across multiple subdisciplines of behavioral science and neuroscience.</li> </ul>	

How does the program assess students' knowledge in this area?	How outcomes are measured: <ul style="list-style-type: none"> <li>The course assesses knowledge-related outcomes via conventional tests, in-class presentations, and a focused research review paper.</li> </ul>	Evaluation tool and location: <ul style="list-style-type: none"> <li>Tests, presentations, and a semester-end review paper required.</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in the required course.</li> </ul>	
<b>Knowledge Area:</b>	<b><i>Research Methods</i></b>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>Training in research methods is fundamental to all aspects of our program, so it is infused throughout the training activities. All students are required to take a full-semester Research Methods graduate course during their first year. This course includes both classic (validity and reliability, experimental design) and contemporary (clinical trials design) approaches to research design and methodology in clinical psychology. Students participate in regular lab meetings as well as in individual meetings with their research mentor where research methods are discussed. In addition, the development and defenses of the Major Area Paper and dissertation are focused on enhancing research methods and guiding the development of students into independent clinical scientists.</li> </ul>	
How does the program assess students' knowledge in this area?	How outcomes are measured: <ul style="list-style-type: none"> <li>The course assesses knowledge-related outcomes via conventional tests, in-class presentations, and a focused research review paper.</li> </ul>	Evaluation tool and location: <ul style="list-style-type: none"> <li>Tests, presentations, and a semester-end review paper required.</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in the required course.</li> </ul>	
<b>Knowledge Area:</b>	<b><i>Statistical Analysis</i></b>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>Students are required to take two full semester courses in quantitative methods, typically Applied Analysis of Variance and Applied Regression, which focus on statistical analysis of psychological data, statistical inference, univariate and multivariate analysis, and null-</li> </ul>	

	hypothesis testing and its alternatives. Almost all students go on to take at least one additional elective course in quantitative methods such as structural equation modeling, hierarchical linear modeling, advanced multivariate statistics, or biostatistics. Also, students gain practice in applying their training in quantitative methods through the analysis of their data.	
How does the program assess students' knowledge in this area?	How outcomes are measured: <ul style="list-style-type: none"> <li>The courses assess knowledge-related outcomes via conventional tests, in-class presentations, and focused research review papers.</li> </ul>	Evaluation tool and location: <ul style="list-style-type: none"> <li>Tests, presentations, and semester-end review papers required.</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in the required courses.</li> </ul>	
<b>Knowledge Area:</b>	<i>Psychometrics</i>	
How does the program ensure that students possess knowledge?	<ul style="list-style-type: none"> <li>Breadth of knowledge in psychometric theory and application is accomplished via infusion through the combination of four of our required courses: Research Methods, Personality Assessment, and the two-semester required sequence in statistics. Each course covers specific aspects of psychometric theory per se as well as its application to assessment of normal-range and abnormal behavior and psychological constructs of interest.</li> </ul>	
How does the program assess students' knowledge in this area?	How outcomes are measured: <ul style="list-style-type: none"> <li>The courses assess knowledge-related outcomes via conventional tests, in-class presentations, and focused research review papers.</li> </ul>	Evaluation tool and location: <ul style="list-style-type: none"> <li>Tests, presentations, and semester-end review papers required.</li> </ul>
For each outcome above, what minimum level of achievement (MLA) must be met?	<ul style="list-style-type: none"> <li>Students must maintain an A or B grade in the required course.</li> </ul>	

## 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. Listed below is a typical schedule of courses year-by-year. Note that some core courses are offered every other year, but with the assurance that by the end of Year 2 all students will have had the opportunity to take them. For a comprehensive listing of all Psychology courses, see:

<https://psychandneuro.duke.edu/all-psychology-courses>

### Year I

#### Fall

Applied Analysis of Variance (766)  
Adult Psychopathology (705) or  
Models of Intervention and Prevention (707)  
First Year Seminar (763)  
Research Design (718)

#### Spring

Personality Assessment (735)  
Applied Correlation and  
Regression Analysis (767)  
Research for Empirical (optional)  
First Year Seminar (764)  
Elective

\*Professional Issues in Clinical Psychology (797/798) one hour every semester

### Year II

Models of Intervention and Prevention  
(707) or  
Adult Psychopathology (705)  
Clinical Practicum (743)  
Elective  
Research (Research 01)

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

### Year III and Subsequent years

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

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

*Ethical Issues in Clinical Psychology* 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.

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

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

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. Students 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 using an individualized infusion model, through numerous courses and seminars. Readings on historical aspects of psychology are embedded in other clinical courses. Affective aspects of behavior likewise is covered using an individualized infusion model, as detailed below.

### **History and Systems in Psychology**

Throughout 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.

### **Affective Aspects of Behavior**

This area is covered using an individualized infusion model across a number of required and elective courses: Adult Psychopathology, Personality Assessment, Intervention, Inside the Disordered Brain, Ethics/Psychotherapy, Social Development, Cognitive Psychology, Social Behavior and Personality, Theories in Developmental Psychology, Professional Issues in Clinical Psychology, and Cognitive Assessment. Affective aspects of behavior are covered in all of these courses (e.g., mood disorders, assessment of emotional status, affect in therapeutic relationship, emotion regulation neurodevelopmental perspectives on normal and abnormal emotional states). In addition to this requirement, many of our students take advantage of graduate-level seminars such as Self-Regulation, Affective Neuroscience, and several different advanced cognitive-neuroscience methods courses to

obtain advanced knowledge and training in the role of emotion within normal and abnormal behavior.

### **Supervision Theory and Methods**

Clinical graduate students need exposure to theories and methods of supervision. Students must complete the monthly supervision series with the Pre-doctoral internship program in the Medical Center in the Fall of their 3<sup>rd</sup> or 4<sup>th</sup> year.

## **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, competency is rated mid-year and end of year based on the criteria below. Ratings are reviewed by the DCT and if indicated, a remediation plan is developed.

### Competency Rating Scale

#### PRACTICUM STUDENT/EXTERN

The following outlines the goals and minimum levels of achievement (MLA) across the nine profession-wide competencies for adequate progress for a practicum student/extern

- 1<sup>st</sup> Semester Goal for adequate progress through the practicum:  
All competency items/elements will be rated at a level of “2” or higher. Any rating of “1” will initiate the program’s Remediation procedures.
- 2<sup>nd</sup> Semester (Final) MLA for adequate completion of the practicum:  
By the conclusion of the practicum, students must have (>80%) competency/element items of “3” (moderately) or higher indicating they are approaching readiness for internship.

			Not at All/Slightly	Somewhat	Moderately	Mostly	Very
5	<b>Very</b>	<b>Skills comparable to independent practice at licensure level.</b> A frequent rating for the completion of a post-doctoral position. This rating is for a trainee that is functioning at a <b>very</b> advanced level similar to the level of a psychology staff member. Supervision is provided while in training and unlicensed status to foster ongoing development.					
4	<b>Mostly</b>	<b>Well-developed competency.</b> A frequent rating at the completion of internship and functioning at a level consistent with entry-level practice. Competency attained in <b>most</b> clinical areas and may need supervision in complex cases that require specialized skills and knowledge. Supervisor provides overall management of trainee’s activities.					
3	<b>Moderately</b>	<b>Intermediate.</b> A frequent rating for the completion of a practicum or externship and functioning at a level consistent with an intern. The trainee requires oversight in a variety of clinical activities during scheduled supervision and continues to build independence and competencies in these areas.					
2	<b>Somewhat</b>	<b>Intensive supervision required.</b> This rating is appropriate for entry-level trainees similar to a practicum student or extern or an intern learning new skills and roles in a new and unfamiliar setting. Supervision is required for all activities, including direction on routine tasks, didactic information, and support for mitigating high anxiety in the competency area.					
1	<b>Not at all/slightly</b>	<b>Remediation needed.</b> This rating indicates the trainee requires intensive instruction, observational learning, shadowing and/or scaffolding prior to being ready to assume patient care. This rating must initiate a remediation plan.					
n/a		<b>Not applicable</b> as the behavior/competency was not assessed or observed during this review.					

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 the 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.

## Clinical Practicum Guidelines

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. Typically, clinical students begin their formal practicum training during the summer between Year 1 and 2 in the Psychology Clinic under the direction of Dr. Batson.

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).

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.

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.

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.

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.

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.

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. At the end of the practicum year, students will also provide feedback about the rotation using the "Student Evaluation of Practicum" form.

Practicum descriptions are updated on an annual basis and can be found on the Clinical Psychology website.

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.

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 can be found in the Appendix)

### **Year 1**

- 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 is formed and approves your research project (\*top portion of Research Project Form).

### **Year 2**

- 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 3**

- 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).

### **Years 4/5**

- 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)

### **Years 5/6**

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 (RCR) 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.

Note that at Duke, RCR training extends well beyond traditional topics such as ethics and protection of research participants. We expect each clinical student to consult the current Graduate School information, resources, and requirements for RCR training:

<https://gradschool.duke.edu/professional-development/programs/responsible-conduct-research/rcr-requirements>

*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.

### D. 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>

**E. 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.

**F. 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:

For graduate courses, the standard grades are : A, B, C, F, and I.

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.

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).

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 Assistantship (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:

<https://gradschool.duke.edu/professional-development/programs/certificate-college-teaching>

## **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 at:

<https://gradschool.duke.edu/financial-support/financial-policies-forms-and-resources>

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

<https://gradschool.duke.edu/financial-support/financial-policies-forms-and-resources>

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 and are strongly encouraged.

## **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 and fees for YEARS 1-5, provided you are making satisfactory academic progress.

The charge for tuition is \$28,950 per semester (for 2021-22). Registration fee for the summer of 2022 will be \$4,000. 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 2021-22, the health fee is \$429 per semester. Summer health fee is estimated at \$302. 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 2021-22, the recreation fee is \$162.50/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 2021 to July 31, 2022.

**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 2021-22, the charge is 18.25 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: \$24,750 for 2021-22.

## **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.

## **Departmental Human Subjects Research 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>

## 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:
  - o submission to such conduct is made, explicitly or implicitly, a term or condition of an individual's employment or education; or
  - o 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.
- Forwarding of Duke e-mail to 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.
- 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](#).

## Clinical Psychology Program Social Media Policy

In an increasingly technologically connected and public world, students are encouraged to remain mindful of their behavior and its consequences online, including the use of social networking, blogs, listservs, and email. It is likely that students, clients, supervisors, potential internship sites, research participants, and future employers may be interested in searching or accessing online information about you. While all information about you may not be within your control, students are urged to exercise caution and restraint and to utilize safeguards when possible. Activities online, including those that you may consider purely personal in nature, may reflect upon your professional life. As members of the Duke University community, students in the clinical psychology program are responsible to follow all social media requirements and guidelines as stipulated by the university, the Health System, the School of Medicine, the Graduate School, and the College of Arts and Sciences. Just as importantly, keep in mind the ideals of the preamble to the American Psychological Association's Ethical Principles of Psychologists and Code of Conduct (APA Ethics Code) in which we aspire to do no harm to our clients, our research participants, or the profession with our actions. Adherence to this policy also will ensure your own confidentiality and safety. Students are expected to adhere to the APA Ethics Code. The APA Ethics Code can be found here: <http://www.apa.org/ethics/code/>

Public professionalism behaviors are those exhibited via the following mechanisms, although this is not an exhaustive list:

- Voicemail/answering machines
- Email signature lines
- Websites
- Blogs (personal and professional)
- Social media sites
- Research networking sites
- Postings to listservs/forums

When using social media, it is expected that students will act with courtesy and respect toward others. This includes, but is not limited to, clinically sensitive information you may have about a client. The appropriate use of social media as a clinical psychologist in training is not always intuitive or obvious. For example, if you convey that you are discussing a client, even completely anonymized, that could have an impact on the public's perception of mental health services. For this and other reasons, both the Clinical Psychology Program and the profession will hold you to a high standard in your professional and personal use of social media.

The faculty of the Clinical Program are responsible for protecting current and future clients from harm by ensuring that all students are competent in the practice of clinical psychology. Therefore, public information obtained via the Internet may be used by faculty to evaluate applicants and current students on behavior that might be indicative of competence problems, poor professionalism, or poor interpersonal judgment. This evaluation may result in adverse actions. This practice is consistent with the role played by

training programs as gatekeepers to the profession. Examples of troubling behavior include acts of discrimination such as racism or sexism, illegal behavior, or behavior that suggests a lack of professional judgment relevant to the professional practice of counseling.

Regardless of where or when they make use of these media, students are responsible for the content they post or promote. Students may be subject to action by the Clinical Program, the Department of Psychology and Neuroscience, or Duke University for posting or promoting content that substantially disrupts or interferes with program or university activities or that might lead the program or the university to reasonably foresee substantial disruption or interference with its activities. This action may be taken based on behavioral misconduct, academic performance, academic misconduct, or professional misconduct, and may range from a reprimand or failing grade to dismissal from the Clinical Program or the University.

Students should be aware that unwise or inappropriate use of social media could negatively impact their educational and professional career opportunities indefinitely, in addition to the potential for negative impact on others (clients, colleagues, and individuals seeking mental health services). To avoid these negative impacts, students should consider the following:

- Though you may only intend a small group to see what you post, a much larger group may actually see your post. Be aware that your statements may be offensive to others, including other members of the Department, undergraduates, clients, or potential clients (yours or others) who may read what you post.
- Training sites, potential employers, clients, and others may use social media to evaluate you. They will not necessarily distinguish between a professional and a personal social media presence.
- Once you have posted something via social media, it is out of your control. Others may see it, repost it, save it, forward it to others, etc. Retracting content after you have posted it is practically impossible. Likewise, it is practically impossible to explain or justify the content of a post after the fact.
- Be aware not only of the content that you post, but of any content that you host (e.g., comments posted by others on your site). Content you host can have the same effect as content you post.
- If you post content concerning the Clinical Program, the Department of Psychology and Neuroscience, or Duke University, make it clear that you do not represent those entities and that the content you are posting does not represent their views.
- Everything you post should be consistent with the ethical principles of the American Psychological Association, with the policies of the Clinical Program, P&N, and Duke University, and with state ethical and professional guidelines.

Students should also note that if they identify themselves as a graduate student of the program or reveal information relevant to the graduate program in their email signatures, voicemail files, or website/blog information, then this information becomes part of their program-related behavior and may be used in student evaluations. For example, if a

student reports doing something unethical or illegal on a web blog, or uses the website to engage in unethical or unprofessional behavior (e.g., disclosing confidential client or research information), then the program may use this information in the student's evaluation, including decisions regarding probation or termination.

Applicants to the program as well as current students are personally responsible for the content they publish on blogs, wikis, social networks, forum boards, or any other form of user-generated media. It is important to remember that all content contributed on online platforms becomes immediately searchable and is immediately shared. This content may leave the contributing individual's control forever and may be traced back to the individual even after long periods of time have passed.

For both applicants and current students, information posted on social networking sites may be considered and evaluated as to how it reflects your professionalism. Professionalism is considered a core competency of psychology and the Program. It consists of (a) Professional Values and Attitudes, (b) Individual and Cultural Diversity, (c) Ethical Legal Standards and Policy, and (d) Reflective Practice, Self-Assessment, and Self-Care.

Principle E of the Ethical Code for Psychologists (2002) states in part that: Psychologists respect the dignity and worth of all people, and the rights of individuals to privacy, confidentiality, and self-determination. Psychologists are aware that special safeguards may be necessary to protect the rights and welfare of persons or communities whose vulnerabilities impair autonomous decision-making. Psychologists are aware of and respect cultural, individual, and role differences, including those based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status and consider these factors when working with members of such groups.

Consistent with this principle, faculty members are respectful of individuals' reasonable right to privacy, even on a medium as inherently public as the Internet. It is the responsibility of applicants and current students, however, to decide what information about themselves they want shared with the general public. Program faculty will therefore not circumvent established privacy settings in an attempt to "dig" for information that individuals are making a reasonable attempt to keep private.

When problematic behavior in reference to social media is identified, it shall be reviewed and discussed using the following criteria: What are the actual behaviors that are of concern, and how are those behaviors related to the goals of the Program? How and in what settings have these behaviors been manifested? How serious is this behavior on the continuum of ethical and professional behavior? What is the explanation for the behavior?

While each case is different and requires individual assessment, the following factors may indicate that the problem is more serious: The individual does not acknowledge, understand or address the problematic behavior when it is identified; the problematic

behavior is not merely a reflection of a skill deficit that can be rectified by training; the behavior has the potential for ethical or legal ramifications if not addressed; the behavior negatively affects the public image of the University and/or the Program.

Evaluation will occur at the program level and adhere to the evaluation criteria listed above. A single faculty member will never be responsible for evaluating or reaching a decision on an applicant or student by themselves. The process will occur first in a group discussion with the DCT to assess the extent and severity of the information brought forward, and so that individual faculty member might both share their evaluations and perceptions. Final determination of action will then be made by the clinical program faculty. The DCT shall promptly offer to discuss the information with the individual. The purpose of this discussion is to permit the student to contextualize and explain the information uncovered. From this determination, options will be developed; these options include but are not limited to denial of an interview or of entry to the program, remedial training, or other interventions to address professionalism.