Sanford School of Public Policy
Duke University

PhD Student Handbook
2014-2015
INTRODUCTION

This handbook was prepared by the Public Policy Director of Graduate Studies (DGS) and the staff of the Public Policy PhD Program. It is intended to be of use to current students and faculty, and to prospective applicants to the Public Policy PhD Program. Subjects not covered herein, or those under review, are to be handled provisionally at the discretion of the Director of Graduate Studies.

This handbook is only one source of information. Students are also responsible for knowing the university guidelines and requirements as described annually in the Graduate School Bulletin. In addition, the DGS has a Manual for Directors of Graduate Studies which contains necessary information (sometimes in more detailed and specific form than is presented here) regarding all aspects of graduate study at Duke. Do not hesitate to consult with the DGS.

ABOUT THE PROGRAM

The PhD in Public Policy is an interdisciplinary scientific research degree. By design, the program couples rigorous grounding in a core discipline with exposure to broader perspectives and training in the communication skills required to convey scholarly insight to non-specialists. Graduates of the program are prepared for academic positions in public policy and other policy-oriented schools, as well as for openings in disciplinary departments with an applied orientation. Graduates are also prepared for professional positions in domestic and international public agencies, research organizations and policy consulting firms.

The program requires a two-course sequence in theories of public policy and coursework in three other social science disciplines. Students designate a disciplinary concentration such as economics, political science, sociology or psychology, as well as a policy focus, such as social policy, globalization and development, health policy, child development and social policy and social and behavioral determinants of health.

STUDYING PUBLIC POLICY AT DUKES

The PhD in Public Policy at Duke enables students to be mentored by Duke’s top-rated faculty members in public policy and Duke’s departments of economics, political science, sociology, and psychology and neuroscience, among others, all on the beautiful Duke campus. Duke University is located in Durham, N.C., close to both Chapel Hill (and UNC-Chapel Hill) and to the North Carolina state capital of Raleigh, in the dynamic Research Triangle area. Durham is a four-hour drive or 45 minute flight from Washington, DC.

Duke’s PhD in Public Policy is distinguished by its truly interdisciplinary nature; the program offers a unique balance of depth in a discipline such as economics, political science, sociology or psychology and the opportunity to focus on a particular policy area such as social policy, global policy, or health policy. The Sanford School is a national and international leader in the dynamic field of public policy studies, with numerous interdisciplinary centers exploring vital policy questions in the field and in the classroom. Members of our faculty are experts in fields ranging from aging, education and the environment to international affairs, media and democracy and welfare reform. In addition to working with Duke's world-class faculties of public policy, economics, history, political science, psychology and sociology, PhD students interact with leading scholars from Duke’s Nicholas School of the Environment and Earth Sciences, Duke’s Fuqua School of Business, and Duke’s Law and Medical Schools.

The relatively low number of students matriculated each year (4-6) enables each public policy PhD student to receive individual faculty attention in courses and in research. Students also enjoy state-of-the-art academic and research facilities including dedicated doctoral student space in Rubenstein Hall and the 6.3 million volumes in the Perkins Library System.
Most of our students pursue doctoral-level public policy research with the goal of pursuing a self-directed research career in academia or non-profit research organizations. Graduates are also well-positioned for jobs that place their research skills in the service of others, in domestic and international public agencies or policy consulting firms. Students are united by their passion for public policy and their desire to have a positive impact on the world.
**GRADUATE SCHOOL REQUIREMENTS**

The following requirements have been taken from the website of the Duke University Graduate School: [http://gradschool.duke.edu/](http://gradschool.duke.edu/)

Please always consult the Graduate School website regarding policies, procedures, deadlines and forms to ensure you are using the most up-to-date information possible. Information published by the Duke University Graduate School supersedes the information below about Graduate School requirements.

**Formal Requirements**
The formal requirements for the PhD degree are as follows:
1. payment of six semesters of full-time tuition (or five if credit for previous graduate work has been approved)
2. major and related courses
3. English language proficiency
4. training in the Responsible Conduct of Research
5. a supervisory committee for the student's program of study
6. continuous registration
7. preliminary examination
8. dissertation
9. final examination.

**Major and Related Work**
The student's program of study normally demands substantial concentration on courses in the major department, plus coursework in related minor fields as determined by individual programs. If there are deficiencies in a student's undergraduate program, departments may also require certain undergraduate courses to be taken. In all cases the student's supervisory committee will determine if the student must meet requirements above the minimum.

**English Language Proficiency**
All international students whose native language is not English must enroll in English language courses as determined by the English language placement exams administered during Orientation, unless formally waived from this requirement by the Graduate School upon certification of competency in English. These courses must be taken during students' initial year at Duke. For more information, see the English for International Students web site.

**Responsible Conduct of Research**
All doctoral students at Duke University are required to complete a series of training sessions in the Responsible Conduct of Research. For students in the social sciences a total of 12 hours of training must be completed. Half of this requirement (6 hours) is satisfied by participating in a mandatory orientation during the fall of the first year. The remaining 6 hours of training must be completed by attending three RCR forums (a schedule is provided at the beginning of each semester) by the end of the student's third year.

**Committee to Supervise the Program of Study**
As early in a student's course of study as is practicable **and not later than two months before the preliminary examination**, the Director of Graduate Studies in the major department will nominate for the approval of the Dean a supervising committee, using the appropriate form. The PhD Committee is composed of four members of the Public Policy PhD Program faculty, chaired by a faculty member with the rank of assistant, associate or full professor who holds a primary or secondary appointment in Public Policy, and including at least one member with a primary appointment in the student’s disciplinary concentration. This committee, with all members participating, will administer the preliminary examination.
Residence
The minimum residence requirement is one academic year of full-time registration at Duke (that is, two consecutive semesters of full-time tuition).

Time Limits
Ordinarily a student registered for full-time study should pass the preliminary examination by the end of the third year. A student who has not passed the examination by this time must file with the Dean of the Graduate School a statement, 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, extension will not be granted beyond the middle of the fourth year.

The doctoral dissertation should be submitted and accepted within two calendar years after the preliminary examination is passed. Should the dissertation not be submitted and accepted within four years after the examination, the candidate may, with the approval of the committee and the Director of Graduate Studies, petition the 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 may be dropped from candidacy. The student must then pass a second preliminary examination to be reinstated as a candidate for the degree. In such cases, the time limit for submitting the dissertation will be determined by the Dean of the Graduate School and the candidate's committee.

Ordinarily, credit is not allowed for graduate courses (including transfers) or foreign language examinations that are more than six years old at the date of the preliminary examination. Similarly, credit will not be allowed for a preliminary examination that is five years old at the date of the final examination. In cases of exceptional merit, however, the Dean of the Graduate School may extend these limits. Should the five-year limits be exceeded, the student's department must submit to the Dean specific requirements for revalidating credits or examinations.

Preliminary Examination
A student is not accepted as a candidate for the Ph.D. degree until the preliminary examination has been passed. A student must be registered during the term in which he/she takes the preliminary examination. In the summer a preliminary examination may be scheduled only between the opening and closing dates of the summer session. Successful completion of the preliminary examination requires at least four affirmative votes and no more than one negative vote. Thus if the committee is composed of four examiners, a single negative vote fails the candidate. A five-person committee would require at least four affirmative votes, a six-person committee at least five, and so on. The sole exception to this policy is that a negative vote cast by the chair of the examining committee will mean a failure on the examination. A student who fails the preliminary examination may apply, with the consent of the full supervisory 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. The original committee must conduct the second examination. Successful completion of the second examination requires the affirmative vote of all committee members. Failure on the second examination will render a student ineligible to continue a program for the Ph.D. degree at Duke University.
**The Dissertation**

The dissertation is expected to be a mature and competent piece of writing, embodying the results of significant and original research. One month before the dissertation is presented and no later than January 25 preceding the May commencement, July 1 for a September degree, and November 1 for a December degree, the student must file online a declaration of intention to receive degree. This form should indicate the approved title of the dissertation and be approved by both the director of graduate studies of the student's major department and the professor who directs the dissertation.

The basic requirements for preparing the dissertation and submitting it electronically are prescribed on the Graduate School Website: [http://gradschool.duke.edu/academics/theses/etd.php](http://gradschool.duke.edu/academics/theses/etd.php)

The dissertation must be completed to the satisfaction of the professor who directs the dissertation, members of the student's advisory committee, and the Dean of the Graduate School.

**The Final Examination**

The final examination is administered by all members of the supervising committee. The final oral examination shall be primarily on the dissertation; however, questions may be asked in the candidate's major field. The exam normally continues at least two hours, but not more than three. Except in unusual circumstances approved by the Dean, a final examination will not be scheduled when the university is not in session. A student must be registered during the term that he/she takes the final examination.

Successful completion of the final examination requires at least four affirmative votes and no more than one negative vote. If the committee conducting the examination includes the minimum of four examiners, a single negative vote fails the candidate. The sole exception to this policy is that a negative vote cast by the chair of the examining committee 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 professor who directed the dissertation 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.

**Commencement**

Graduation exercises are held once a year, in May, when degrees are conferred on 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 they are approved by the Academic Council and the Board of Trustees.

PhD Students who earn a Master of Arts degree in the first two years of the program are invited to participate in the Sanford School graduation ceremony in May, following the completion of that degree.
PUBLIC POLICY PhD PROGRAM REQUIREMENTS OVERVIEW

Detailed information about each of the following requirements is available below. The Public Policy PhD Program requires students to:

1. Complete a set of core public policy course requirements: Political Economy of Public Policy, Ethics of Public Policy, Microeconomics.
2. Complete disciplinary concentration and research methodology requirements, including sub-field requirements, in one of the following areas:
   a. Economics
   b. Political Science
   c. Sociology
   d. Psychology.
3. Complete at least one course in three of the following four disciplines:
   a. Economics
   b. Political Science
   c. Sociology
   d. Psychology
4. Complete a DGS-approved course of study focusing on a particular policy area.
5. Complete a second-year empirical research manuscript.
6. Pass a comprehensive examination, no later than September 30th of the third academic year in residence.
7. Complete a yearlong (two-course) research seminar leading to the dissertation proposal.
8. Complete the equivalent of 16 courses (minimum), equaling 48 credits. Please see checklist below.
9. Attain dissertation status, including meeting qualifying requirements and passing the preliminary exam, by the end of the third year.
10. Pass a final examination, which consists of an oral defense of a dissertation to an approved supervisory committee. This is typically completed by the end of the fifth year.
11. Regularly attend and participate in two weekly colloquia: the Graduate Research Workshop, an informal setting suitable for the presentation of preliminary work by students, and the Sanford Seminar Series, where students, faculty, and outside speakers present work suitable for a broader audience.

CHECKLIST OF THE 16 (MINIMUM) REQUIRED COURSES – 48 TOTAL CREDITS

1. Political Economy of Public Policy (PubPol 901)
2. Ethics of Public Policy (PubPol 902)
3. Microeconomics 1 (Economic Concentrators take Econ701, all others take PubPol 810)
4. Microeconomics 2 (Economic Concentrators take Econ 705, all others take PubPol 811)
5. Disciplinary concentration 1 – Research Methods
6. Disciplinary concentration 2 – Research Methods
7. Disciplinary concentration 3 – Subfield Elective
8. Disciplinary concentration 4 – Subfield Elective
9. Disciplinary concentration 5 – Subfield Elective
10. Policy area elective 1
11. Policy area elective 2
12. Policy area elective 3
13. Non-concentration social science 1
14. Non-concentration social science 2 for disciplinary concentration of Economics OR Elective for disciplinary concentration of Political Science, Sociology or Psychology
15. Dissertation proposal seminar 1 (PubPol 908)
PUBLIC POLICY PhD CORE COURSE REQUIREMENTS

All students in the PhD program take a common set of public policy courses that reflect the interdisciplinary and applied nature of the degree. These courses are intended to introduce students to a core theoretical literature about the nature of political, economic and social institutions and systems, approaches to modeling how policy interventions translate into policy outcomes, and frameworks for normative evaluation of both processes and outcomes. Students are highly encouraged to seek input on course selection from their designated advisors in Public Policy and other faculty in their disciplinary department. All students are required to satisfy the policy core course requirements. These are:

Political Economy of Public Policy – PubPol 901:
A one-semester course to be taken in the first semester of the program intended to introduce students to a core set of social science ideas relevant to public policy. These include theories of collective action, institutions and governance, all of which draw from economics, political science, sociology or psychology. The goal of the course is to provide students with a broad framework for evaluating market, political and social failures; identifying possible policy interventions; and predicting the ways in which such interventions would translate into policy outcomes.

Ethics of Public Policy – PubPol 902:
A one-semester course to be taken in the second semester of the program intended to introduce students to normative frameworks for evaluating public policies and governance processes. The course draws on social choice theory, political theory and social theory. The goal of the course is to provide students with normative and analytical bases to evaluate the public good, tradeoffs between efficiency and equity, political legitimacy and justice.

Microeconomics:
Microeconomic thinking is a central skill for understanding how individual preferences and behaviors translate into certain forms of collective action and, therefore, is a key analytic tool for public policy, as it has become for political science and economics. Every student is required to reach a level of proficiency in microeconomics.

For students in the Economics Disciplinary Concentration, the Microeconomics requirement is fulfilled by successful completion of ECON 701 (Microeconomics I) and ECON 705 (Microeconomics II).

For students in the Political Science, Sociology or Psychology Disciplinary Concentrations, the Microeconomics requirement is fulfilled by successful completion of PUBPOL 810 or PUBPOL 818 (Microeconomics and Public Policy Making) and PUBPOL 811 (Microeconomics: Policy Applications) and the associated PhD-level discussion sections and problem sets.
**Disciplinary Concentration Requirements Overview**

Although the Public Policy PhD Program is truly interdisciplinary, it is designed to ensure that students have a rigorous grounding in a particular disciplinary tradition. Students designate a disciplinary concentration when applying to the program. They may opt to concentrate in economics, political science, sociology and psychology.

A minimum of five courses in a discipline is required. Students take basic research methods courses (a minimum of two courses) in their disciplinary department. Students also take courses satisfying requirements in one designated sub-field in their discipline, and they are expected to meet appropriate qualifying or preliminary standards in that sub-field as would be required of a disciplinary PhD candidate. Economics concentrators may, in certain circumstances, receive limited waivers from meeting the qualifying standards in core microeconomic theory or econometrics courses.

Although we require a disciplinary concentration, we also expect Public Policy PhD students to gain knowledge in the other core disciplines. Thus, we require every student to take at least one course in three of the core disciplines: economics, political science, sociology and psychology.
DISCIPLINARY CONCENTRATION REQUIREMENTS: ECONOMICS

Public Policy PhD students with a disciplinary concentration in Economics must complete the following courses within the Economics Department:

ECON 701: Microeconomics I – PhD program microeconomics requirement
ECON 705: Microeconomics II – PhD program microeconomics requirement
ECON 703: Econometrics I – Research methods requirement
ECON 707: Econometrics II – Research methods requirement

AND a minimum of three courses (nine credits) in one of the department’s major field areas:

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<tr>
<th>Field</th>
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<tbody>
<tr>
<td>Applied Microeconomics</td>
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<tr>
<td>Econometrics</td>
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<tr>
<td>History of Political Economy</td>
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<tr>
<td>Macroeconomics and International Economics</td>
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<tr>
<td>Microeconomic Theory</td>
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<tr>
<td>Economics of Education</td>
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Applied Microeconomics encompasses many fields, including Development, Environmental, Family, Health, Industrial Organization, Labor, Population and Public Economics. Our belief is that students are best served in applied microeconomics by mixing and matching across course types. The field exam committee would then be dictated by the topic of the field paper and the combination of the courses taken. For a major in Econometrics, Econometrics III must be one of the courses comprising the nine graded credits.

Course structure in the Economics Department for the second year and beyond
After the first year, many (but not all) of the upper level courses in Economics are divided into half semester 'modules'. The purpose of this structure is to allow students to better align coursework with their research interests. By their nature, modules only count for 1.5 credits and students must complete enough of them to fulfill their graded course requirements. Module courses are all currently listed under special topics course number ECON 8. In the future, courses in fields under the Applied Micro umbrella will be designated by the letter "A", Econometrics courses by "E", Macro Courses by "M" and Micro Theory courses by "T". Students who wish to major in an Applied Micro field have some flexibility in their choice of courses, but must obtain explicit approval of their course plan from their advisor.
DISCIPLINARY CONCENTRATION REQUIREMENTS: POLITICAL SCIENCE

Public Policy PhD students with a disciplinary concentration in Political Science must meet Political Science departmental requirements for research methods courses and departmental requirements for one of the Political Science Major Fields. However qualifying standards, including preliminary examinations, are determined by the Public Policy department and described on p. 25 of this manual.

Methods Requirements

To meet the departmental research methods requirements, students must complete a minimum of two courses. Public Policy PhD students are encouraged to follow the requirements for the Political Science PhD which offers these two introductory courses:

- PS630: Empirical Methods for Political Science
- PS631: Analytical Methods for Political Science

Depending upon a student’s background and research goals other methods courses may be substituted for one of these courses with the approval of the faculty advisor and DGS. Here are some examples of other courses offered at the graduate level:

- PS 575S: Intermediate Statistical Methods
- PS 633S: Introduction to Positive Political Theory
- PS 631: Political Applications of Game Theory
- PS 731: Scope and Methods in Political Science
- ECON 703: Econometrics I
- STA 611: Introduction to Statistical Methods
- STA 831: Probability and Statistical Models

Students must also complete a minimum of three courses, including the field seminar, in one of the following major field areas:

- Normative Political Theory and Political Philosophy
- Political Behavior and Identities
- Political Institutions
- Political Methodology
- Security Peace & Conflict

For a more detailed description of the major fields and coursework visit the Political Science department website:

http://polisci.duke.edu/graduate/ph-d-requirements
DISCIPLINARY CONCENTRATION REQUIREMENTS: SOCIOLOGY

Public Policy PhD students with a disciplinary concentration in Sociology must complete the following courses within the Sociology Department:

SOC 710: Social Theory
SOC 722: Statistics I
SOC 720: Survey Research Methods OR
SOC 742S: Comparative and Historical Methods
The student will choose either SOC 720 or SOC 742S as required by the student’s sociology specialization area (see below).

The Department offers expert training in multiple sociological subfields. Students can choose to specialize in one of these areas or create specialty foci of their own, with the guidance of their advisory committee. Current field areas include:

- Economic Sociology
- Medical Sociology
- Population Studies
- Race
- Religion
- Social Networks
- Social Psychology
- Stratification

For a more detailed description of the subfields and coursework visit the Sociology department website: http://www.soc.duke.edu/graduate/requirements.html
DISCIPLINARY CONCENTRATION REQUIREMENTS: PSYCHOLOGY

The Department of Psychology and Neuroscience offers expert training in multiple psychological subfields. Students can choose to specialize in one of these areas or create specialty foci of their own, with the guidance of their advisory committee. The most relevant subfields include:

- Developmental psychology
- Clinical psychology*
- Social Psychology

*Although students selecting the psychology concentration will not be able to complete training to become clinicians, many of the Psychology and Neuroscience faculty members with expertise in Health Psychology are included in this group.

Note: The Department also offers training in Cognition and Cognitive Neuroscience, and Systems and Integrative Neuroscience.

***All Ph.D. students are required to take at least five courses in their disciplinary concentration. The following courses, all in the Department of Psychology and Neuroscience, constitute the curricular requirements for the concentration.

All students electing the psychology concentration are required to take the following methods courses, which are taught each year:

- PSY 718: Research Design
- PSY 767: Applied Correlation and Regression Analysis

Depending on students' substantive interests, they are required to select three of the following theory courses:

- PSY 727: Theories of Developmental Psychology [taught each year]
- PSY 722: Cognitive Development [taught every other year]
- PSY 721: Social Development [taught every other year]
- PSY 707: Models of Intervention and Prevention [taught each year]
- PSY 705: Adult Psychopathology [taught each year]
- PSY 706S: Health Psychology Intervention [taught every other year]
POLICY AREA FOCUS

In addition to gaining strength in a particular disciplinary tradition, Public Policy PhD students acquire depth in the policy area in which they will write a dissertation. Students take a minimum of two courses in a policy area to fulfill this requirement. Students may opt to take an independent study or an individual “Readings Course” to fulfill one or more of these requirements. Every student develops a plan of study to be approved by both the Public Policy Director of Graduate Studies and the student’s faculty advisor that satisfies the policy area requirement and prepares the student for the comprehensive exam.

Students typically focus on policy areas in which Duke has particular strength. These areas of strength can be discerned by reviewing the interests of the Sanford faculty: [http://fds.duke.edu/db/Sanford/faculty](http://fds.duke.edu/db/Sanford/faculty). Students are at liberty, however, to select a policy area of their choosing, subject to approval of the Director of Graduate Studies. Students who have a primary interest in environmental policy should apply to the University Program in Environmental Policy (a joint doctoral program with the Nicholas School of the Environment and the Sanford School of Public Policy: [http://nicholas.duke.edu/programs/university-phd-program-environmental-policy](http://nicholas.duke.edu/programs/university-phd-program-environmental-policy)).

Inter-Institutional Registration

Students may occasionally find relevant coursework at nearby institutions, including UNC-Chapel Hill, NC Central University, or NC State. Students who have found a course of interest should initiate the Inter-Institutional Registration process:

- Contact the course instructor to receive his/her written permission to take the course.
- Print out the Inter-Institutional Registration form available at: [http://www.registrar.duke.edu/registrar/studentpages/student/interinstitutional.html](http://www.registrar.duke.edu/registrar/studentpages/student/interinstitutional.html)
- Bring this written permission, a description of the course, and the completed Inter-Institutional Registration Form to the PhD Director of Graduate Studies to discuss the course and have the form signed.
- Bring all permission information and forms to the PhD Program Coordinator, who will forward them to the Inter-Institutional Registration Specialist at the Duke University Registrar’s Office.
### SAMPLE PhD TRACKS

All of our PhD students, regardless of disciplinary concentration or policy area focus, will generally spend their first two years of the program taking classes – a combination of public policy core courses and electives. Students usually spend their third year writing and defending their dissertation proposal, supported by a PUBPOL 908/909. The fourth and fifth years are typically devoted to writing and defending the dissertation. Below are illustrative graduate student career paths, to provide a better idea of what your five years at Duke will encompass.

#### Sample Path 1: Disciplinary Concentration in Economics, Policy Focus in Health

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<th>Year</th>
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| Year 1 | o Political Economy of Public Policy  
         o Microeconomics I  
         o Political Science Elective | o Ethics of Public Policy  
                                  o Microeconomics II  
                                  o Econometrics II  
                                  o violation Exam |
| Year 2 | o Health Policy Elective  
         o Economics Field Elective  
         o Economics Field Elective  
         o Political Science Elective | o Health Policy Readings Course  
                                  o Health Policy Elective  
                                  o Economics Field Elective  
                                  o Sociology OR Psychology Elective |
| Year 3 | o Comprehensive Exam on Economics and Health Policy  
         o Dissertation Proposal Workshop I | o Dissertation Proposal Workshop II  
                                  o Preliminary examination, including defense of dissertation proposal |
| Year 4 | | Write dissertation |
| Year 5 | | Complete and defend dissertation |

#### Sample Path 2: Disciplinary Concentration in Political Science, Policy Focus in Globalization and Development

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<tr>
<th>Year</th>
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<th>Spring</th>
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</table>
| Year 1 | o Political Economy of Public Policy  
         o Microeconomics I  
         o Political Science Research Methods | o Ethics of Public Policy  
                                  o Microeconomics II  
                                  o Political Science Research Methods  
                                  o Globalization & Development Elective  
                                  o violation Exam |
| Year 2 | o Globalization and Development Elective  
         o Political Science Field Elective  
         o Political Science Field Elective  
         o Sociology OR Psychology Elective | o Globalization & Development Readings Course  
                                  o Political Science Field Elective  
                                  o Open Elective |
| Year 3 | o Comprehensive Exam on PoliSci and Development  
         o Dissertation Proposal Workshop I | o Dissertation Proposal Workshop II  
                                  o Preliminary examination, including defense of dissertation proposal |
| Year 4 | | Write dissertation |
| Year 5 | | Complete and defend dissertation |
Sample Path 3: Disciplinary Concentration in Sociology, Policy Focus in Social Policy

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<td>o Sociology Research Methods</td>
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<tr>
<td>Year 3</td>
<td>o Comprehensive Exam on Sociology and</td>
<td>o Dissertation Proposal Workshop II</td>
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<td></td>
<td>Social Policy</td>
<td>o Preliminary examination, including defense of dissertation proposal</td>
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<td></td>
<td>o Dissertation Proposal Workshop I</td>
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<tr>
<td>Year 4</td>
<td>Write dissertation</td>
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<td>Year 5</td>
<td>Complete and defend dissertation</td>
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Sample Path 4: Disciplinary Concentration in Psychology, Policy Focus in Social Policy

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<th>Year 1</th>
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<td></td>
<td>o Political Economy of Public Policy</td>
<td>o Ethics of Public Policy</td>
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<td>o Microeconomics I</td>
<td>o Microeconomics II</td>
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<td>o Research Design</td>
<td>o Applied Correlations Regression Analysis</td>
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<td>o Social Development</td>
<td>o Psychology Elective</td>
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QUALIFYING REQUIREMENTS

Throughout their course of study in Duke’s PhD in Public Policy Program, doctoral students are required to meet specific qualifying requirements before beginning full time work on a dissertation. Failure to meet any of these requirements may result in dismissal from the PhD in Public Policy Program.

Qualifying requirements for the Public Policy PhD Program include:

- Satisfactory performance in the core public policy and disciplinary departmental courses (3.0 GPA or better average). Students concentrating in Economics must show satisfactory performance (B+ or better) in the PhD-level microeconomics and econometrics courses or pass qualifying examinations held in the summer following the first year. Economics concentrators may be granted limited waivers from this qualifying requirement under certain conditions, including but not limited to outstanding performance in PUBPOL 901/902.

- Passing a qualifying exam on theories of public policy. This exam is common to all students, and is normally taken at the end of the first year as part of PUBPOL 902.

- Passing a comprehensive exam that encompasses an evaluation of an individual’s knowledge of a disciplinary concentration and policy area focus. (See description of Comprehensive Exam Policies and Procedures on the following page.) This exam is typically taken at the beginning of year 3.

- Passing a preliminary exam, a defense of a dissertation prospectus, at the end of year 3.
Comprehensive Exam Requirements and Procedures

The Comprehensive Exam consists of three components: 1) an empirical research paper requirement, typically satisfied by the submission and subsequent revision of a paper written for a second-year course, 2) a written test or journal-length literature review manuscript, and 3) an oral follow-up with the exam committee. The oral component should be seen as an opportunity to request further explanation, to clarify answers provided on the written exam, or to begin the process of translating mastery of a relevant literature to identification of research questions for the dissertation. The exam encompasses an evaluation of an individual’s knowledge of a disciplinary concentration and a policy area focus. Exams are individually designed to test whether a student has achieved a sufficient mastery of their field to warrant granting them the independence to pursue their own research agenda. In the Public Policy program, a “field” may denote some combination of disciplinary subfields and policy areas of interest. Note: Passing the Comprehensive Exam is a prerequisite for taking the Preliminary Exam at the end of the 3rd year. The Preliminary Exam is a defense of a student’s dissertation prospectus.

Exam Committee

Each student will have a 3-person Comprehensive Exam Committee to conduct and assess the examination. The student will be responsible for selecting a Committee Chairperson to oversee the development of the exam and two additional committee members with expertise in the student's disciplinary concentration and policy area focus, subject to approval by the Director of the PhD Program. At least two committee members will have a primary appointment in Public Policy. Each student will work closely with the exam committee to determine the focus of the exam and to identify a body of knowledge that the student will be responsible for mastering.

Specific Requirements and Deadlines

Statement of Academic Purpose: Each student must submit a 1-2 page Statement of Academic Purpose that constitutes a coherent, concise summary of the individual's academic plan. Given the inter-disciplinary nature of the PhD Program in Public Policy, this statement should seek to make detailed connections between a student's disciplinary concentration, disciplinary subfield and policy area focus. The statement is not a dissertation proposal, but rather a reflection upon the rationale for the student’s body of coursework that can guide the Program Director in appointing and charging an appropriate Comprehensive Exam Committee. For students in the 2nd year of the program, the statement must be submitted to the PhD Program Coordinator no later than November 1.

Reading List: After the Statement of Academic Purpose is submitted and the exam committee is appointed, it is the responsibility of the student to meet with members of the committee to discuss compiling a list of readings, subjects, and/or concepts that the student will be expected to know for the exam or read for the manuscript. Ideally, this list should be completed and approved by all members of the exam committee and the Program Director before April 1. However, it is strongly encouraged that students consult with their exam committees before the end of the fall semester of the second year to identify any gaps in a student’s preparation that could be filled by coursework in the spring semester.

Second Year Paper: Students consult with their committee members to identify a research paper suitable for satisfying the second year paper requirement. In the event the student is not engaged in research writing for any second year classes, it is expected that the student will produce such a paper independently or in the context of an independent study under the direct supervision of an exam committee member. The second year paper is to be submitted to the exam committee by the last day of the spring semester. Committee members will provide comments on the draft to the student in a timely manner, no later than May 31. The student is responsible for providing a revised version of the paper to committee members at the time of the written examination.
Administration of the Written Exam: If the written examination is selected by the student, it will be administered in a single eight-hour session. Students are permitted to bring only a clean paper copy of their reading list, without annotations. The exam is typed on electronic bluebook software that precludes access to the internet or to the hard disk of the computer in use.

Literature Review Option (**replaces the written exam): Instead of an eight-hour written test, students will be allowed to write a journal-length manuscript that reviews and synthesizes a literature and/or makes a theoretical contribution to a field. The manuscript should indicate mastery of literature, and the author should synthesize and critically examine a field of research. The intent is to help students grow these research skills and add to their academic accomplishments/vita.

Each student and the faculty research mentor must declare which option will be pursued by April 1 through an email that copies the research mentor and indicates which option will be pursued and a tentative manuscript title.

For students electing the manuscript option, they should consult with all committee members well ahead of the deadline about the topic, readings, and thesis. The deadline is the same as for students electing the written test option. The oral exam must be scheduled for at least one week after turning in the manuscript, and all components must be completed before September 30.

Administration of the Oral Exam: The oral examination occurs no later than one week after the written exam and no later than September 30th of the student’s third year in residence. The oral exam is typically scheduled for 90 minutes, which incorporates time for the committee to deliberate. The committee may ask the candidate about his or her second year paper, his or her responses to written exam questions or the literature review, or any other topic germane to assessment of the candidate’s preparedness to pursue an independent research agenda.

Assessment: Successful completion of the Comprehensive Exam requires a passing vote from all committee members. If the vote is split (2:1), the DGS will decide whether the student will pass the exam. In the event of a failure, the student will be permitted one retake to be scheduled no later than the end of the fall semester of their third year in residence.
**Dissertation Overview**

A successful Public Policy PhD dissertation must constitute a significant contribution to policy-relevant knowledge, either through innovative application of social science methods to policy problems, or by innovation in theory or methods appropriate for addressing public policy problems.

Students are expected to develop and defend a PhD prospectus before a dissertation committee composed of four members of the Public Policy PhD Program faculty, chaired by a faculty member with the rank of assistant, associate or full professor who holds a primary or secondary appointment in Public Policy, and including at least one member with a primary appointment in the student’s disciplinary concentration.

Students are generally expected to have defended a dissertation proposal (the oral defense constitutes the preliminary exam) by the end of their third year. Normally, in years four and five, students work on their dissertations, defending their dissertations by the end of the fifth year.

**The PhD Committee**

The PhD Committee is composed of four or more members of the Public Policy PhD Program faculty, chaired by a faculty member with the rank of assistant, associate or full professor who holds a primary or secondary appointment in Public Policy, and including at least one member with a primary appointment in the student’s disciplinary concentration. It will be appointed by the Director of Graduate Studies, in consultation with the student, early enough to advice in the formulation of the student's program and in defining the research topic for the dissertation.

The committee must be appointed and approved by the Associate Dean of the Graduate School at least two months before the student’s preliminary examination. The Director of Graduate Studies recommends the committee's composition to the Dean by means of a committee approval form provided by the Graduate School (http://www.gradschool.duke.edu/policies_and_forms/index.html).

The date of the Associate Dean’s signature on the committee approval form serves as the official date of record for committee approval. The Director of Graduate Studies and/or the student is responsible for notifying the members of the committee of their appointment and for scheduling all examinations. **Normally, the same committee administers both the preliminary and the dissertation examinations.**

The procedure for establishing the original committee should be followed in making any necessary changes in a student's committee. All such changes in a committee must be formally approved by signature of the Associate Dean of the Graduate School before the exam takes place, or the exam may be invalidated.

Members of the committee are drawn from the graduate faculty of Duke University. At least one member of the committee must represent the student's minor or related area; at least three must represent the major. Occasionally requests to appoint persons not on the full-time graduate faculty — especially members of the graduate faculties of the University of North Carolina and North Carolina State University — are approved by the Associate Dean. A person not on the graduate faculty should be appointed an ad hoc member for a term that corresponds to the projected duration of the committee service. Please contact the DGSA who will use the forms available on the Graduate School web site: http://gradschool.duke.edu/academics/forms/index.php
**THE DISSERTATION PROPOSAL AND THE PRELIMINARY EXAMINATION**

In their third year, students take a yearlong (two course) Dissertation Proposal Workshop (PUBPOL 908/909). Approximately one-third of the workshop consists of guided discussions of topics in professional development, including methods of identifying research questions, strategies for securing research support, writing for an interdisciplinary audience, oral presentation strategies, and navigating the peer-review process at academic journals and scholarly presses. Two-thirds of course sessions consist of student presentations. Students begin the academic year by making general presentations regarding their fields of interest, then move over the course of the semester to identify a specific dissertation topic.

All students are required to prepare a dissertation proposal. The proposal should describe a research project in detail sufficient to permit an evaluation of both its merit and feasibility. The PhD program expects that this dissertation proposal will include a statement of the research question, a thorough discussion of how answering this question will advance existing academic literature, and a statement of the prospective consequences of the research findings for policy. The proposal should identify the methods to be used and data sources to be procured in the course of answering the research question.

A student is not accepted as a candidate for the PhD degree until the preliminary exam has been passed. **The student is required to submit his or her dissertation proposal to all members of the PhD Committee at least two weeks before the preliminary exam.** The preliminary exam includes an oral defense of the dissertation proposal, which may incorporate an evaluation of the depth of dissertation area knowledge and the research methodologies to be used in the dissertation.

The voting to pass or fail the student at the preliminary examination, and to allow or deny a re-examination, will be by written ballot. Passing the preliminary examination requires at least four affirmative votes and not more than one negative vote. If the chair of the committee casts a negative vote, the student will not pass the examination. The Director of Graduate Studies is responsible for submitting the Preliminary Examination Form to the Graduate School, and for ensuring that all preliminary committees understand and follow the correct Graduate School procedures. Should the student fail, he or she may apply, with the consent of the examining committee and the Associate Dean, for the privilege of a second examination to be taken no sooner than three months after the date of the first. The original committee must conduct the second examination. For the student to pass this second examination, the committee's vote must be unanimous. A second failure will render the student ineligible to continue in the doctoral program.

**THE DISSERTATION**

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

The dissertation title, along with the Intention to Receive Degree Form, should be filed by the student no later than January 25 for a May degree, July 1 for a September degree, and November 1 for a December degree. The form is filed on-line. The address is [http://gradschool.duke.edu/academics/forms/index.php](http://gradschool.duke.edu/academics/forms/index.php)

The basic requirements for preparing the dissertation and submitting it electronically are prescribed on the Graduate School Website: [http://gradschool.duke.edu/academics/theses/etd.php](http://gradschool.duke.edu/academics/theses/etd.php)
For more specific aspects of form and style, the student is advised to use *A Manual for Writers of Term Papers, Theses, and Dissertations* by Kate L. Turabian, or other approved manuals of style.

Doctoral students frequently co-author research articles with their advisors or other faculty. The standard expectation in the public policy program is that no more than one chapter of a student’s dissertation may reflect such co-authored work. This presumes that a dissertation consists of a minimum of three chapters. This restriction does not apply to work co-authored with fellow students, however it is expected that joint work between two or more students will be submitted as part of only one dissertation. Any deviation from this norm must be approved in advance by the Director of Graduate Studies.

**Dissertation Defense**

The Director of Graduate Studies sends a notice of the time, place, date, student’s name, title of dissertation, and names of the committee members to the Graduate School at least two weeks before the scheduled examination. An initial version of the dissertation manuscript must be submitted to the graduate school by this deadline as well. The Final Examination Certificate will not be released by the Graduate School until this notification is received from the Director of Graduate Studies and the student has brought the dissertation to the Graduate School for a format check. **Members of the doctoral committee should have at least two weeks prior to the defense to read the dissertation.**

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

Questions asked on the final examination should concern the candidate's dissertation and related matters. The examination is oral and normally continues at least two hours, but not more than three. The decision on whether the candidate has passed the examination should be by written ballot. If all members vote affirmatively, they sign their names on at least the acid-free and the first copy of the dissertation title page, on the acid-free and first copy of the abstract title page, and on the certificate of examination to the Dean (doctoral exam card). These signatures signify that the latter is an abstract of the dissertation suitable for publication in Dissertation Abstracts. The final examination certificate should be returned promptly to the Graduate School Office, either by the student or by the chairperson of the student's committee. A committee that finds the candidate has passed except for minor revisions should sign the dissertation examination certificate and abstract, with the understanding that the supervisor sees and approves the revisions before the dissertation is submitted to the library. The student has up to one month after the examination to make changes in the dissertation requested by the committee. If the student needs longer than one month for making these changes, you may request an extension of time, stating the reason for the delay and specifying the date the dissertation will be returned. The period of one month after the examination for returning the final copies of the dissertation and all required forms cannot apply if the examination occurs just prior to the end of the Summer Session, or the fall or spring semesters. At those times the corrected dissertation and required forms must be returned immediately to meet specified deadlines for the awarding of degrees. If, at the end of the semester or term, the student cannot meet these deadlines and takes longer than one month to return the dissertation, the student will be required to register for the ensuing term or semester in which the degree will be awarded.
M.A. Degree Requirements

PhD Students in good standing become eligible to receive an M.A. degree upon successful completion of the comprehensive exam, typically administered at the beginning of a student’s third year in residence. Students who elect to exit the Ph.D. program, or who fail one or more qualifying requirements up to and including the comprehensive exam, may be eligible to earn an M.A. in Public Policy, under conditions described below.

I. Option 1

Description:

Students enrolled in the PhD Program in Public Policy who have met all coursework requirements and successfully passed the Comprehensive Exam may apply for an M.A. in Public Policy as they continue to work toward the PhD degree. Students interested in obtaining the MA must apply to receive it and bring the necessary forms to be signed by the Comprehensive Exam Committee. Receipt of the MA in Public Policy precludes students from obtaining Master’s degrees in any other area during the course of their doctoral studies.

A. Coursework

Students must pass at least 10 three-credit graduate courses. These courses must include the following:

- PubPol 901
- PubPol 902
- 2 courses in Research Methods
- 2 courses in a Disciplinary Subfield within Economics, Political Science or Sociology (See Course Planning Requirements)
- 2 Public Policy Electives in a specific Policy Area (500 level or above).

B. Completion Exercise: the Comprehensive Exam

The Comprehensive Exam is designed to assess a student’s mastery of existing scholarly work in an area delimited by traditional disciplinary subfield and policy area and is taken at the beginning of a student’s third year in the PhD program. The Comprehensive Exam will consist of three components: 1) a paper to be initially submitted in advance of the exam, with a revision due on the date of the written exam, 2) a written exam or literature review that will prove mastery of the reading materials 3) an oral follow-up with the three-member examination committee. The paper and written test/literature review collectively serve the role of a completion exercise, and the oral follow-up serves as the defense of this completion exercise. The standard for passing the comprehensive exam at the MA level is intended to be lower than the standard for passing at the Ph.D. level, thus a comprehensive exam committee may simultaneously deliberate (a) whether a student has met the standard to continue in the Ph.D. program in good standing and (b) conditional on failing to meet this threshold, whether the student has met the requirements to receive the MA degree. For more specific information regarding exam content, preparation and assessment see the Comprehensive Exam Requirements in the PhD Student Handbook.
II. **Option 2: “accelerated” MA**

**Rationale:**

The proposed “accelerated” Master’s degree for PhD students in Public Policy draws heavily from similar degrees available to PhD students in the Political Science, Economics, and Sociology departments at Duke. The option is primarily intended for those students that have completed the majority of the coursework for the doctoral program but were unable to meet one or more specific qualifying requirements, or for those students who have elected to leave the program voluntarily.

Students interested in pursuing option 2 must obtain approval from the DGS of the Public Policy Ph.D. program prior to the oral defense of the M.A. project.

**A. Coursework**

The course requirements for option 2 are identical to those for option 1 above. Students must pass at least 10 three-credit graduate courses. These courses must include the following:

- PubPol 901
- PubPol 902
- 2 courses in Research Methods
- 2 courses in a Disciplinary Subfield within Economics, Political Science or Sociology (See Course Planning Requirements)
- 2 Public Policy Electives in a specific Policy Area (500 level or above).

**B. Completion exercise: the M.A. Project**

Students, who elect to leave the program before the administration of the comprehensive exam, or those who fail to complete an earlier qualifying requirement, complete an M.A. project in lieu of the comprehensive exam. The M.A. project should demonstrate the student's ability to collect, interpret, and analyze pertinent material on a research problem. Ideally, the M.A. project will be a paper of approximately 20-30 pages double spaced. Students may choose to expand upon a term paper to fulfill this requirement. Student projects will be completed under the supervision of a faculty advisor. The project will be the principal topic of a final oral examination conducted by the advisor and two other Public Policy faculty members and scheduled to meet posted Graduate School deadlines for Master’s examinations (http://gradschool.duke.edu/academics/grad_deadlines.php).
APPLY TO GRADUATE

Apply to Graduate Form
All graduate students who plan to receive a degree from Duke must “Apply to Graduate” no later than the deadline listed for each semester and summer session. This includes students who intend to receive an MA degree en route to the PhD. The deadlines are July 1 for a September degree, November 1 for a December degree, and January 25 for a May degree. The form is filed on-line. The address is:
http://gradschool.duke.edu/academics/apply_to_grad.php
In addition to the academic information this form provides, it is used to order diplomas.

Change of Degree Date, Addresses, etc.
Apply to Graduate Forms are not carried forward from one commencement to another, so students who do not meet their intended date of completion will have to file a new form. If a student wishes to change his or her address for mailing the diploma, that change may be made in the Graduate School Office. All such changes must be made in writing.
WITHDRAWAL, LEAVE OF ABSENCE AND REINSTATEMENT

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

Withdrawal - Involuntary
A grade of "F" in a major course normally occasions withdrawal from a degree program. Students are also administratively withdrawn from the Graduate School for failure to pay their debts to the University. Such withdrawal normally occurs in the early part of a semester. The Director of Graduate Studies will be informed of students from the department who have not cleared their Bursar's account and be given a date by which they will be withdrawn if their bills remain uncleared. When a student is withdrawn from school for failure to pay his or her debts to the University, he or she will not be allowed to attend classes, to receive stipend payments, or to function as a student in any fashion. Any student so withdrawn may not be registered in the Graduate School again until (1) all debts to the University have been cleared, and (2) reinstatement has been requested by the department and approved by the Dean. A reinstatement fee will also be charged. Students may also be administratively withdrawn for failure to comply with the State of North Carolina immunization laws. Students may obtain immunization forms from the Student Health Clinic. Finally, all students who have placed into English language proficiency courses and who fail to make satisfactory progress in their English proficiency requirements during their initial year of residence may not be allowed to register for a second year. In that case, they may be administratively withdrawn no later than the first day of classes in what would be their third semester at Duke. (Normally, the end of August for students matriculating in the preceding fall semester.)

Leave of Absence
A leave of absence differs from voluntary withdrawal in that the student granted a leave is insured a place in the graduate program if he or she returns to Duke within the time limit specified. Leaves of absence may be granted because of:
- medical necessity;
- full-time employment at Duke University;
- acceptance of an external award judged likely to benefit the student as an individual but not related to degree requirements;
- other reasons approved by the Associate Dean.

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

A leave of absence may be granted for a period of time no longer than one calendar year. Before the end of the period of time granted for a leave of absence, the student must notify the Associate Dean and the Director of Graduate Studies of his or her intention to resume graduate study.
To Note:
Non-US citizens with a student visa normally cannot take a leave of absence, since doing so jeopardizes their student visa status. Although the International Office cannot advise students about the academic validity of a leave request, non-US students with student visas would be well-advised to check with a representative of the International Office before submitting a leave of absence request to the Graduate School.

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

Reinstatement
Students who fail to register continuously in the Graduate School, who do not return to school after an approved leave of absence, who have been withdrawn for failure to pay tuition and fees, or who have been withdrawn for failure to comply with the State of North Carolina immunization law or the Graduate School English proficiency requirement, must seek reinstatement before they can be enrolled again. To be reinstated the student must send a letter to the Director of Graduate Studies for endorsement before it is forwarded to the Dean for approval. The student must, as a condition of readmission, pay a reinstatement fee as well as “continuation” fees for all semesters not covered by a leave of absence before any subsequent registration can be accepted.

APPEALS AND GRIEVANCES

Required Courses: A student may petition the Director of Graduate Studies for permission to substitute coursework taken elsewhere for courses required by the department.

The Preliminary Examination/Dissertation Proposal Defense: This examination is subject to Graduate School rules, specified in the Bulletin, regarding both the requirement that it be taken within three years of matriculation and the procedure for a petition for a second attempt in case of failure on the first. Students wishing to petition for an extension of the Graduate School-imposed deadline must submit a written statement to the Director of Graduate Studies, who will then decide whether to forward the petition to the Dean of the Graduate School for formal approval. This statement must explain the reason for the delay and propose a specific date for the examination, and provide space for the signature of the Director of Graduate Studies.

Appeals and grievances on other matters can be made by written appeal to the full faculty, either through the Director of Graduate Studies or the Steering Committee for the Public Policy Ph.D. program. For further grievance procedures, see the Bulletin of the Duke University Graduate School.
The Sanford School of Public Policy Code of Professional Conduct

The Duke Community Standard

Duke University is a community dedicated to scholarship, leadership, and service and to the principles of honesty, fairness, respect, and accountability. Citizens of this community commit to reflect upon and uphold these principles in all academic and non-academic endeavors, and to protect and promote a culture of integrity.

To uphold the Duke Community Standard:
- I will not lie, cheat, or steal in my academic endeavors;
- I will conduct myself honorably in all my endeavors; and
- I will act if the Standard is compromised.

Objective and Applicability of the Code of Professional Conduct at the Sanford School

Objective. The objective of the Sanford Code of Professional Conduct is to promote the Duke Community Standard. Since the entire Duke community benefits from the atmosphere of trust fostered by the Code, each of its members is responsible for upholding the spirit, as well as the letter, of the Code.

Applicability. The Sanford Code addresses standards expected of, and violations committed by, Master of Public Policy (MPP) or Master of International Development Policy (MIDP) students of the Sanford School of Public Policy or other students taking courses for graduate credit at the Sanford School. MPP and MIDP students who violate the Honor Code within other schools or programs remain under the jurisdiction of the Sanford School of Public Policy and will have their cases reviewed and acted upon, as necessary, according to the Honor Code and procedures described in this document. For dual degree students simultaneously enrolled in the Sanford School and another school at Duke University, the Dean of the Sanford School and the Director of the MPP or MIDP program will discuss any Honor Code violations committed with administrators in the dual degree student's sister program to determine the appropriate course of action.

PhD students are members of the Graduate School of Duke University and are governed by the Standards of Conduct and Judicial Procedures of the Graduate School. [http://gradschool.duke.edu/academics/academic-policies-and-forms/standards-conduct](http://gradschool.duke.edu/academics/academic-policies-and-forms/standards-conduct)

Undergraduates are governed by the policies and procedures of the Duke University Division of Student Affairs – Office of Student Conduct. For all students, any conduct arising under Duke University’s pickets and protests regulations and cases involving students across communities (Sanford, Fuqua, Divinity, Undergraduate, etc.) also fall under the jurisdiction of the University Judicial Board.

Student Obligations, Professionalism, and Grievance Procedures

Student Obligations. Students will uphold the Sanford Code of Professional Conduct and the Duke Community Standard, including its obligation to take action if the Standard is compromised.

Student Professionalism. Integral to upholding the Duke Community Standard is the obligation to develop and maintain a professional atmosphere in every aspect of graduate student life. This includes complying with the Honor Code, as set out in further detail below, and according dignity and respect to other students, faculty, and staff, both on and off campus. This obligation extends to official and unofficial activities and events.
Grievance Procedure. It is the responsibility of the director of graduate studies to inform each graduate student of the appropriate channels of appeal. In normal 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 senior associate dean of The Graduate School, and the dean of The Graduate School, who shall be the final avenue of appeal. An appeal must be filed in writing with the next appropriate university officer within 10 days after a decision has been formally rendered by any of the university officers mentioned above.

The Sanford School of Public Policy Honor Code and Violations

Honor Code. An essential feature of Duke University is its commitment to integrity and ethical conduct. Duke’s honor system builds trust among students and faculty and maintains an academic community in which a code of values is shared. Instilling a sense of honor and of high principles that extend to all facets of life is an inherent aspect of a professional education. A student, by accepting admission to the Sanford School of Public Policy, thereby indicates willingness to subscribe to and be governed by the rules and regulations of the University as currently are in effect or, from time to time, are put into effect by the appropriate authorities of the University, and indicates willingness to accept disciplinary action, if behavior is adjudged to be in violation of those rules or in some way unacceptable or detrimental to the University. A student’s responsibility to the authorities and the regulations of the University in no way alters or modifies responsibilities in relation to civil authorities and laws.

Violations. Violations of the Sanford School of Public Policy Honor Code include the following:

- Unsanctioned collaboration on any examination or assignment. All academic work undertaken by a student must be completed independently unless the faculty member or other responsible authority expressly authorizes collaboration with another. Students may not discuss exams until all students have taken the exam.

- Plagiarism. “Plagiarism” occurs when a student presents any information, ideas or phrasing of another as if they were his or her own. Proper scholarly procedures require that all quoted material be identified by quotation marks or indentation on the page, and the source of information and ideas, if closely associated with a particular source, be identified and attributed to that source. Instructors should make clear what their expectations are with respect to citing sources for each project. Students unsure about the University definition of plagiarism should consult the undergraduate bulletin, The Duke Community Standard in Practice, at: http://studentaffairs.duke.edu/conduct/about-us/duke-community-standard. The Duke Library website offers guidelines for citing sources and avoiding plagiarism at: http://library.duke.edu/research/plagiarism/.

- Harassment. “Harassment” is any persistent, unsolicited behavior that threatens, intimidates, or torments another and is likely to interfere with an individual’s work or education, or to affect adversely an individual's health, welfare, safety, or living conditions. Students unsure about the University definition of harassment should consult The Office of Student Conduct harassment policy statement at: http://studentaffairs.duke.edu/conduct/z-policies/harassment.

- Cheating. “Cheating” is the act of wrongfully using or attempting to use unauthorized materials, information, study aids, or the ideas or work of another in order to gain an unfair advantage. It includes, but is not limited to, the following: plagiarism; giving or receiving unauthorized aid on tests, quizzes, assignments, or examinations; consulting unauthorized materials or using unauthorized equipment or devices on tests, quizzes, assignments, and examinations; altering or falsifying information on tests, quizzes, assignments, and examinations; using without prior instructor permission any material portion of a paper or project to fulfill requirements of more than one course; submitting an altered examination or assignment to an instructor for re-grading; or working on any test, quiz, examination, or assignment outside of the time constraints imposed.

- Computer-Related Offenses. It is expected that any student of the Duke community using its computer resources (all hardware, software, and network connections) will act in a legal and ethical manner. For more information, see the University’s Computing and Electronic Communications Policy in the undergraduate bulletin at: https://registrar.duke.edu/sites/default/files/bulletins/2013-14/DCSGuide2013-14Finalsrm.pdf.
- **Stealing.** “Stealing” is the theft, mutilation, or any other unlawful or improper appropriation or use of any property that does not belong to oneself. This includes funds or property found in student common areas, faculty and staff offices, classrooms, library and reserve materials; intellectual property of anyone other than oneself; and other funds or property, whether or not related to Duke University.

- **Lying.** “Lying” includes, but is not limited to, communicating a falsehood in order to gain unfair academic, professional, personal, or employment advantage that impacts the students, faculty, and administration of Duke University.

- **Any Other Misconduct,** whether committed on or off campus, which is adjudged detrimental to the University community.

A comprehensive list of violations included in the **Sanford Honor Code** appears in The Duke University Community Standards in Practice, found at [https://registrar.duke.edu/sites/default/files/bulletins/2013-14/DCSGuide2013-14Finalsm.pdf](https://registrar.duke.edu/sites/default/files/bulletins/2013-14/DCSGuide2013-14Finalsm.pdf), which defines authoritatively the violations described in the Sanford Honor Code, and is incorporated, along with its subsequent changes, herein by reference.

**Honor Code Procedures**

**Student Response to Suspected Violations.** A student’s signature on the Duke Community Standard obligates him or her to take constructive action if he or she witnesses, or knows about, behavior that he or she perceives to be inconsistent with the Standard. Although there are no disciplinary sanctions associated with failure to act, a student is, nonetheless, expected to take action as a responsibility of membership in the Duke community.

If any member of the Sanford community believes that an Honor Code violation has occurred, then he or she should, if practicable, approach the suspected violator to clarify the situation. If, after the approach, the person making the allegation realizes no violation occurred, then the issue may be dropped. If, however, the person making the allegation still believes a violation may have occurred, he or she must promptly bring the matter to the attention of the faculty member concerned and Director of the PhD program. For cases involving social behaviors of concern, a student should alert a faculty member, a senior staff member, or the Director of the PhD program to address the matter through the appropriate informal or formal channels.

**Authority and Revision of Sanford Code of Professional Conduct**

The Dean and leadership community of the Sanford School of Public Policy approved this initial version of the Sanford Code of Professional Conduct, effective July 1, 2009. The Code may be amended at any time with due notice or publication by consent of the Executive Committee of the Sanford School, in consultation with student representatives. Questions and problems not answered or anticipated by the foregoing may be resolved by use of other existing institutions or by amendment. The Dean retains final authority for addressing all student misconduct, including conduct not covered in this Code and referral of matters for resolution in the civil or criminal justice systems.

Note: The constitution and procedure of the judicial board are detailed in The Graduate School Bulletin which can be found at [https://registrar.duke.edu/university-bulletins/graduate-school](https://registrar.duke.edu/university-bulletins/graduate-school)
FINANCIAL AID

Duke University and the Sanford School of Public Policy are committed to supporting Public Policy PhD students for five years through a combination of scholarships, fellowships, research or teaching assistantships and stipends, provided that students maintain satisfactory progress in the program.

In addition to tuition, fees and health insurance students will receive a 9-month stipend in the amount determined annually by the Sanford School in consultation with the Duke Graduate School. Students may seek summer employment on or off campus to supplement this annual stipend. In order to receive this stipend, PhD Students in Public Policy will be required to work in a research, teaching or graduate assistantships according to their year of study:

Year 1: Full fellowship, no work requirements
Year 2: Part-time (10 hours/week) assistantship plus fellowship
Year 3: Part-time (10 hours/week) assistantship plus fellowship
Year 4: Dissertation Fellowships or full-time (19.9 hrs/week) assistantship
Year 5: Dissertation Fellowships or full-time (19.9 hrs/week) assistantship

Students may petition the Director of Graduate Studies to postpone their fellowship support. For example, a student may petition to accept a 10 hour per week work commitment in the first year in exchange for half-fellowship support in the 4th year, which would reduce the expected work obligation from 19.9 to 10 hours per week. Petitions will be considered on a case-by-case basis.

Starting in Year 3, students are expected to apply for all applicable sources of external funding to support their dissertation research. However, we strongly encourage all students to seek fellowships from external sources, which can offer generous multiyear support packages. Of special interest to applicants who are U.S. citizens or permanent residents are the National Science Foundation Graduate Research Fellowships and the Jacob Javits Graduate Fellowship. U.S. minority applicants may also want to investigate the Ford Foundation Predoctoral Fellowships for Minorities, the American Political Science Association Minority Fellowships, the American Sociological Association Minority Fellowships Program, the Ronald E. McNair Post-baccalaureate Achievement Program, and the Alfred P. Sloan Foundation Graduate Scholarship Program.

For more information about financial support for PhD students at Duke, please visit: http://gradschool.duke.edu/financial_support/phd%20support/index.php

For more information about Duke University Graduate School Fellowships, please visit: http://gradschool.duke.edu/financial_support/phd%20support/continuing.php

In addition to those awards available through the university, applicants are urged to compete for national and foundation awards available for graduate study. A website maintained by Duke's Office of Research Support lists awards available from a variety of federal and private sources, as well as awards funded by the university. External awards, which are prestigious and a valuable acknowledgement of a student's intellectual project and promise typically replace departmental or Graduate School awards. Please visit the Office of Research Support website for detailed information about external financial awards: http://www.ors.duke.edu/orsmanual/graduate-and-professional-student-funding

Supplemental Employment During the Academic Year

Duke Graduate School regulations govern student compensation for any academic year employment obtained outside the standard graduate awards budget system. For example, if you are on an external fellowship and wish to supplement that income with TA or RA work, that is permissible in some cases.
In every case, the DGS must approve the arrangement. The DGS possesses the sole authority to determine whether earnings from such work will be offset by a reduction in the stipend amount.

Any student wishing to pursue this type of supplemental arrangements should take the following steps in exactly this order:

2) Fully read and comprehend any regulations provided by the institute or agency providing external-to-the-Sanford School fellowship funds.
3) Obtain the written permission of any such institute or agency to seek supplemental employment, if any permission is required.
4) Approach the DGS to obtain written permission to seek such supplemental employment. The student will be expected to demonstrate their compliance with steps 1) - 3).
5) In the event said written permission is granted, seek such supplemental employment. Prospective employers should be made aware that they will be expected to cover the costs of compensation from resources at their disposal, not Ph.D. program funds.
6) Once a suitable employment arrangement has been identified, return to the DGS for final approval.

Students receiving unsolicited offers of employment in exchange for supplemental pay during an academic year should immediately inform the offering party of these regulations and proceed through these six steps exactly as outlined.

Requests to approve supplemental employment arrangements that do not conform to this protocol will be denied.

This protocol does not apply to students who do not receive funding through the standard graduate awards budget system.

**Department Funding for Research-Related Expenses**

The PhD Program has limited resources to support travel to conferences, attend supplemental training programs, and reimburse some start-up costs for research projects. The majority of these funds are allocated in an annual Small Grants competition. The call for proposals is typically issued in the fall with a deadline in mid-October. Applications will be accepted during other parts of the year only as funds are available.
Our Public Policy PhD faculty members represent diverse disciplinary backgrounds and numerous research interests. The Public Policy PhD Program faculty consists of all members of the graduate faculty of Duke University with primary or secondary appointments in the Department of Public Policy as well as members of the graduate faculties in the Departments of Political Science, Economics, Sociology and other relevant departments, and of the faculties of the Nicholas School of the Environment and Earth Sciences, the Fuqua School of Business, the Law School, and other professional schools.

**Public Policy Faculty**

http://fds.duke.edu/db/Sanford/faculty

You can also search for faculty by policy interests using this link: http://fds.duke.edu/db/Sanford/expertise_list.html

**Economics**

http://econ.duke.edu/people

**Political Science**

http://polisci.duke.edu/people

**Sociology**

http://sociology.duke.edu/people

**Nicholas School of the Environment and Earth Sciences**

http://fds.duke.edu/db/Nicholas/esp/faculty/

**Duke Global Health Institute**

https://globalhealth.duke.edu/people#dghi-faculty

**Duke Law School**

http://law.duke.edu/fac/

**Fuqua School of Business**

http://www.fuqua.duke.edu/faculty_research/faculty_directory/
## Sanford School Frequent Contacts

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>E-mail Address</th>
<th>Phone</th>
<th>Office</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Graduate Programs Office</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ken Dodge</td>
<td>Director of Graduate Studies</td>
<td><a href="mailto:dodge@duke.edu">dodge@duke.edu</a></td>
<td>613-9303</td>
<td>222 RH</td>
</tr>
<tr>
<td>Lisa Kukla</td>
<td>PhD Program Coordinator</td>
<td><a href="mailto:lisa.kukla@duke.edu">lisa.kukla@duke.edu</a></td>
<td>613-9214</td>
<td>168 RH</td>
</tr>
<tr>
<td>To be named</td>
<td>Graduate Programs Assistant</td>
<td><a href="mailto:Art181@duke.edu">Art181@duke.edu</a></td>
<td>613-9206</td>
<td>171 RH</td>
</tr>
<tr>
<td><strong>Career Services Office</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Donna Dyer</td>
<td>Director</td>
<td><a href="mailto:donna.dyer@duke.edu">donna.dyer@duke.edu</a></td>
<td>613-7383</td>
<td>257 SB</td>
</tr>
<tr>
<td>Carmella LaBianca</td>
<td>Global Policy Career Advisor</td>
<td><a href="mailto:cl209@duke.edu">cl209@duke.edu</a></td>
<td>613-7328</td>
<td>255 SB</td>
</tr>
<tr>
<td>Nicole Kubinsky</td>
<td>Assistant to the Director</td>
<td><a href="mailto:nicole.kubinsky@duke.edu">nicole.kubinsky@duke.edu</a></td>
<td>613-7381</td>
<td>257 SB</td>
</tr>
<tr>
<td><strong>Graduate School Offices</strong></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Lisa Roop-Wioskowski</td>
<td>Student Financial Aid Coordinator</td>
<td><a href="mailto:Lisa.roop-wioskowski@duke.edu">Lisa.roop-wioskowski@duke.edu</a></td>
<td>681-3247</td>
<td></td>
</tr>
<tr>
<td>Nicki Rivers</td>
<td>Staff Assistant—manages thesis/dissertation process</td>
<td><a href="mailto:Nicki.rivers@duke.edu">Nicki.rivers@duke.edu</a></td>
<td>681-4441</td>
<td></td>
</tr>
<tr>
<td>Susan Williford</td>
<td>Coordinator - Grad Student Records</td>
<td><a href="mailto:susan.williford@duke.edu">susan.williford@duke.edu</a></td>
<td>681-3248</td>
<td></td>
</tr>
<tr>
<td><strong>Network/Computing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stan Paskoff</td>
<td>Network Administrator</td>
<td><a href="mailto:paskoff@duke.edu">paskoff@duke.edu</a></td>
<td>613-7368</td>
<td>227 SB</td>
</tr>
<tr>
<td>Neil Prentice</td>
<td>Director of Information Technology</td>
<td><a href="mailto:neil.prentice@duke.edu">neil.prentice@duke.edu</a></td>
<td>613-9355</td>
<td>015 SB</td>
</tr>
<tr>
<td><strong>Key Contacts</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jadrien Hill</td>
<td>Building Manager/School Parking Contact</td>
<td><a href="mailto:jadrien.hill@duke.edu">jadrien.hill@duke.edu</a></td>
<td>613-9200</td>
<td>104 RH</td>
</tr>
<tr>
<td>Mary Lindsley</td>
<td>Special Events Coordinator</td>
<td><a href="mailto:mary.lindsley@duke.edu">mary.lindsley@duke.edu</a></td>
<td>613-7312</td>
<td>205 SB</td>
</tr>
<tr>
<td>Richard Mitchell</td>
<td>AV Services Specialist</td>
<td><a href="mailto:Richard.mitchell@duke.edu">Richard.mitchell@duke.edu</a></td>
<td>613-9269</td>
<td>106 RH</td>
</tr>
<tr>
<td>Catherine Shreve</td>
<td>Public Policy Librarian</td>
<td><a href="mailto:catherine.shreve@duke.edu">catherine.shreve@duke.edu</a></td>
<td>660-6934</td>
<td>Perkins Library</td>
</tr>
<tr>
<td>Nancy Shaw</td>
<td>Human Resources/ Payroll Manager</td>
<td><a href="mailto:nancy.shaw@duke.edu">nancy.shaw@duke.edu</a></td>
<td>613-7316</td>
<td>122 SB</td>
</tr>
<tr>
<td>Karen Kemp</td>
<td>Assistant Dean of Communications &amp; Marketing</td>
<td><a href="mailto:kkemp@duke.edu">kkemp@duke.edu</a></td>
<td>613-7394</td>
<td>129 SB</td>
</tr>
<tr>
<td>Belinda Keith</td>
<td>Accounting Supervisor</td>
<td><a href="mailto:belinda.keith@duke.edu">belinda.keith@duke.edu</a></td>
<td>613-7308</td>
<td>121 SB</td>
</tr>
<tr>
<td><strong>Student FAX Machine</strong></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Have incoming faxes addressed to your Name – “PhD Student”</td>
<td>919-681-8288</td>
<td></td>
<td>133 SB</td>
</tr>
</tbody>
</table>
**Building Facilities Information**

Contact for Building Issues:
Jadrien Hill, Rubenstein Hall Room 104, 613-9200, jadrien.hill@duke.edu

**Building Hours:** Sanford School buildings are open to students 24 hours a day, with the exception of the first floor office corridors and the second floor of Rubenstein Hall. These areas are open during normal business hours. During the school year, the buildings are open to the public Monday through Friday from 7 a.m. to 7:30 p.m. Use your Duke Card to access both buildings at all other times. From midnight to 6 a.m., the air conditioning/heating may be reduced to conserve energy and cut costs. When maintenance affects building utilities (water, air, electricity, etc.) is scheduled to be done, an email will be sent out to all faculty, staff and students to advise them of utility shut downs.

**Cubicles, Lockers, and Office Space:** You will be assigned a shared cubicle. Individual lockers are available upon request. Please note the cubicles do not contain phones or computers. You may be required to share your cubicle with other Public Policy PhD students. Students who share a cubicle or students who do not wish to have cubicle space will have access to a personal locker on the second floor of Rubenstein. A limited number of shared office spaces are available to Ph.D. students; priority for these spaces is reserved for students with Sanford teaching obligations and dissertation writers.

**Computer Labs:** The computer lab in the Sanford Building is located in Room 09 on the ground floor of the building. In Rubenstein Hall, the computer lab is located in room 162 on the first floor. The Sanford Building lab is always open (except when classes are being conducted inside a lab) and is accessible to those students who have accounts on the Public Policy local area network (LAN). If one lab is being used for a class, the other lab is open for students. Class schedules will be posted on the doors of the labs each semester. The Rubenstein Hall lab is accessible by swiping your Duke ID Card. For assistance with your personal computer, contact the OIT helpdesk, 684-2200. For computer, network, or email assistance, contact the PPS Helpdesk at 613-7400 or ppshelp@duke.edu.

**Parking:** Students who park motor vehicles on campus Monday through Friday (generally 8 a.m. to 4 p.m.), must purchase a parking permit from Duke Transportation Services; exceptions are restricted, handicapped, service vehicle only or specially designated areas where you cannot park at any time. Parking in the PPS Lot or the three visitor spaces in the traffic circle during the business day is prohibited and subject to a $50 fine. Parking in the traffic circle, in the loading dock of either building, or in one of the two handicap spaces at the traffic circle is prohibited and subject to up to a $250 fine. If you become temporarily disabled due to an accident or other illness, please see Jadrien Hill, RH104 for assistance in getting handicap or handicap equivalent parking. When you purchase your parking permit, you should receive a campus map and guidelines for parking on the University campus. Please read this information. If you have questions regarding parking please contact Duke Parking Services, 100 Facilities Center, phone: 684-7275 or on the web at: parking.duke.edu Please contact Sandra Peters with any questions about parking issues.

**Deli:** Saladelia Deli is located on the ground floor of the Sanford Building and operates Monday through Friday. Specific hours of operation will be posted outside the Deli. The Deli has a variety of breakfast and gourmet lunch menu items.
Mailroom and Copier: Your mailbox is located in Rubenstein Hall Room 145. Your campus mail box number is 90315. A copy machine (which utilizes your Duke Card for payment) is located on the ground floor of the Sanford School Building (Room 08). The pickup and delivery of incoming/outgoing stamped and departmental mail (to other Duke offices) occurs twice daily Monday through Friday at about 10 a.m. and 2 p.m. All business-related PhD student mail should be addressed to Box 90315, Durham, NC 27708. Students are strongly advised to have all personal mail, UPS, and FedEx deliveries addressed to their local off-campus mailing address to expedite delivery; delivery of personal mail and packages addressed to the Sanford School mailing address is strongly discouraged. A second copy machine is located in the Resource Room (Room 147) in Rubenstein Hall. If problems arise with the copiers in either building, contact Jadrien Hill, 613-9200 or by email at jadrien.hill@duke.edu.

Building Maintenance, Housekeeping, Parking Issues, and Room Reservations: For building maintenance and housekeeping, parking issues, and room reservations for both Rubenstein Hall and the Sanford School, contact Jadrien Hill by email at jadrien.hill@duke.edu.

Audio-Visual Equipment, Room Reservations: If you require audio-visual equipment, contact Richard Mitchell, Room 295 Rubenstein Hall, 613-9269, email: richard.mitchell@duke.edu.

Reserving Meeting Rooms: All meeting rooms in Sanford School buildings are available by reservation ONLY. To reserve a room go to the facility rental site: http://sanford.duke.edu/about/facilities

Resource Room: Room 147 in Rubenstein Hall is open to Public Policy graduate students only daily from 7 a.m. until 5 p.m. and is accessible after those hours by swiping your Duke ID Card. In this room students can find a printer, scanner and photocopy machine (for use by patrons with a prepaid personal flex card)

Telephones and Facsimile Machine: Local and on-campus phones are located near the entrances on the ground floor and first floor of the Sanford Building. Long distance calls made by students in either building require the use of a calling card. The fax machine is located in Rubenstein next to the Graduate Assistant desk and close to Lisa’s office.
There are four “team rooms”, 203 and 254 in the Sanford Building, and 103 and 160 in Rubenstein Hall. Students can use these rooms for group projects. Each room has a computer and can accommodate two to six people. Students can reserve these rooms using the sign-up sheet posted on the door of the room. For security reasons, the doors to these rooms must never be propped open. During orientation you will get a key for these rooms.

Both the Sanford Building and Rubenstein Hall, and most of Duke for that matter, are fully equipped for wireless networking. You can log on to the network from all common areas as long as you have a registered wireless Ethernet card in your laptop computer. For more information on this please see: http://oit.duke.edu/net-security/network/wireless/connect.php

The Duke Computer Store offers some excellent pricing on its back to school page. Note that these laptops have a four year Devils Pledge Warranty (3 year for Apple computers), which not only covers parts and labor but also accidental breaks or spills. For more information on the models offered please see these student configurations.

There is another set of configurations with a 4 year warranty (3 for apple) but without coverage for accidental breaks or spills, and these computers are lower in price.

During orientation you will learn how to use our computing system.

**Storage Space**: Everyone has his or her own H: drive (H is mnemonic for “home”) on the network. This is your own private workspace to store your files for easy access from any networked computer. You can create any subdirectory structure that is convenient. You are encouraged to store only current files on the network and to archive other files onto your own media (flash drive, CD, etc) if you will not be using them. You are discouraged from storing music or video on the network. Shared space is available if you are working on a group project. Feel free to ask about getting shared space.

The network is backed up every night at midnight. Backed up files are generally available for three months.

**Software:**

<table>
<thead>
<tr>
<th>MS Office 2010</th>
<th>Word, Excel, Access, PowerPoint</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-mail:</td>
<td>Your email address is <a href="mailto:netid@duke.edu">netid@duke.edu</a>, and in most cases your E-mail address alias is: <a href="mailto:firstname.lastname@duke.edu">firstname.lastname@duke.edu</a>. You can reach your email via <a href="http://webmail.duke.edu">http://webmail.duke.edu</a></td>
</tr>
<tr>
<td>Statistics:</td>
<td>Stata version 11. Stat Transfer 11 is also available. Note that other software packages (e.g., SAS, R) may be available in some computer labs on campus. Sanford School methodological courses generally provide instruction in Stata.</td>
</tr>
</tbody>
</table>
Duke OIT offers a wealth of free and discounted software including virus and spam protection, research tools, Office suites, and operating systems.

**Reporting Problems:** On the whiteboard in the front of each lab are listed phone numbers and email addresses for reporting problems. For problems related to email, call the Duke OIT Helpdesk at 684-2200. For computer/printer related problems, call the PPS Helpdesk at 613-7400. You can also email ppshelp@duke.edu to tell us when problems exist. When reporting a problem, you need to be specific, including any error messages and the computer number posted on the front of the computer.

**Printing Charges:** There is not a charge to print in the labs. HOWEVER, you are limited to 5,000 pages per academic year. So, if between August 2013 and May 2014 you print 4,200 pages, you will not be charged for printing, and your counter goes back down to 0 in August 2014. The status of your print queue always appears on your lab computer.

If you go over 5,000 pages before August 2014, you will need to start using the eprint printer located in the alcove off the Fleishman Commons in the Sanford Building. Eprint is managed by Duke OIT. See http://www.oit.duke.edu/comp-print/printing/ for more information. Your Sanford counter will go always go back down to 0 in August.

If you are working as a TA or RA and print something for the professor, you do not want those pages to count against your Sanford total. Printing done for assistantship work should be printed via eprint to the eprint printer in the alcove near the front entrance of the Sanford Building, see link in previous paragraph for details about eprint.

**Printer/Copier Paper and Printer Toners:** Paper is in boxes near the printer in each lab. Paper and toner cartridges in two computer labs and the Resource Room will be restocked by staff. If any of these places are out of supplies please email ppshelp@duke.edu. Students are advised to check the condition of the toner cartridge (by printing a sample page and checking it for readability) prior to printing a large number of pages, to reduce waste of paper.

**Sanford School Computing Staff:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Email</th>
<th>Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ed Ocampo</td>
<td>Computer Technician</td>
<td><a href="mailto:emo11@duke.edu">emo11@duke.edu</a></td>
<td>Room 295, Rubenstein</td>
</tr>
<tr>
<td>Astrid Gatling</td>
<td>Computer Technician</td>
<td><a href="mailto:agatling@duke.edu">agatling@duke.edu</a></td>
<td>Room 018, Sanford</td>
</tr>
<tr>
<td>Stan Paskoff</td>
<td>Manager, Desktop Support</td>
<td><a href="mailto:paskoff@duke.edu">paskoff@duke.edu</a></td>
<td>Room 018, Sanford</td>
</tr>
<tr>
<td>Neil Prentice</td>
<td>Director</td>
<td><a href="mailto:neilp@duke.edu">neilp@duke.edu</a></td>
<td>Room 015, Sanford</td>
</tr>
</tbody>
</table>
Research Management Tools at Duke University

Looking for ways to manage your research notes and citations and to format in-text citations and bibliographies? Duke provides access to two tools that may just fit the bill:

EndNote is a powerful desktop reference management application designed to help researchers keep track of citations and prepare bibliographies. EndNote is compatible with Microsoft Word and other word-processing software, allowing users to import references into documents as they write and automatically format papers in thousands of bibliographic styles, including Turabian, MLA, APA, and Chicago 15th. Download EndNote to your computer by visiting http://oit.duke.edu/compprint/software/Licensing%20Reference/index.php#faq-4.

Learn how to make the most of this complex tool by using the support documents or registering for a class offered at Perkins Library: http://library.duke.edu/services/instruction/endnote.html.

Rather have a web-based application? Then RefWorks is the research management tool for you. RefWorks offers many of the same functions as EndNote but resides online rather than your personal computer. Register for a free account by visiting www.refworks.com/refworks while on campus (register off-campus by downloading Duke’s Virtual Private Network to your computer; for more info about downloading the VPN, visit http://oit.duke.edu/net-security/network/remote/vpn/). For support documents or to register for a RefWorks class at Perkins Library, visit http://library.duke.edu/services/instruction/refworks.

Consider beginning to use EndNote or RefWorks early in your program – you’ll thank yourself as you put the finishing touches on your Masters project.

Still have questions? Contact Emily Daly at emily.daly@duke.edu or 660-5879.
EMERGENCY MANAGEMENT PLAN
Sanford School of Public Policy

The Sanford School of Public Policy (SSPP) of Duke University maintains two academic buildings, and supports faculty, staff and students through its PhD program, master’s degrees programs in public policy (MPP) and international development policy (MIDP), public policy undergraduate program and a number of affiliated centers and programs. The SSPP is located at the corner of Towerview Road and Science Drive.

An emergency, as defined by the University, is "a significant event that prompts significant, often sustained, news coverage and public scrutiny and has the potential to damage the institution's reputation, image or financial stability. An emergency could be precipitated by an emergency or a controversy. An emergency is a fire, hurricane, crime that presents an ongoing threat or other event that involves a response from police, fire or emergency medical personnel. A controversy could be student protests or employee misconduct.”

The Emergency Manager for the SSPP is David Arrington, Associate Dean of Finance & Administration. In case of an emergency, David Arrington should be contacted. If he is unavailable, the person(s) next in line should be contacted. All members of the SSPP Emergency Management Team should be notified.

EMERGENCY MANAGEMENT PRIMARY CONTACT INFORMATION

1. David Arrington
   Associate Dean of Finance & Administration
   Office 919-613-7310
   Cell 919-812-2937
   Home 336-364-2070

2. Neil Prentice (Backup EM)
   Director of Information Technology
   Office 919-613-9355
   Cell 919-491-7785
   Home 919-405-3927

3. Karen Kemp
   Assistant Dean for Communications & Marketing
   Office 919-613-7394
   Cell 919-475-2704
   Home 919-493-5727

The SSPP Emergency Management Team consists of individuals covering key functional areas of the School, i.e., Central Administration, Facilities, Information Technology, Events Management, Resource/Study Room and School Centers/Programs. Other Team members are noted below, along with their emergency contact information.

EMERGENCY MANAGEMENT SECONDARY CONTACT INFORMATION

Jadrien Hill
Facilities/Building Support Services Coordinator
   Office 919-613-9200
   Cell/Home 919-673-7456

Mary Lindsley
Events Coordinator
   Office 919-613-7312
   Cell/Home 919-413-4417

Jonathan Abels
Executive Dir, Duke Center for International Development
   Office 919-613-9230
   Cell 919-604-3546
   Home 919-493-3546

Kate Walker
Assistant to the Dean
   Office 919-613-7309
   Cell/Home 919-308-2294
   919-545-2441

Judith Kelley
Office 919-613-7343
In addition to the SSPP Emergency Management Team members, the SSPP has an established fire safety monitor network of individuals (see Appendix A for complete listing of monitors) in each building and on each floor of each building that assist in emergency events. The lead fire safety monitor in each building is to be contacted when an emergency event occurs.

**Types of Emergencies**

**Fire, Building Collapse, Explosion, Chemical Spills:** 911 is the first alert, followed by alerting Emergency Manager. The SSPP Emergency Management Team and fire safety monitors will assist with egress from the affected area/building via the fire escape or exit doors and will make sure faculty, staff and students are removed to a safe location. The Emergency Manager will inform the University Emergency Coordinator when a fire, explosion or chemical spill has occurred.

**Criminal Acts:** 911 is the first alert followed by alerting Emergency Manager. If a suspect is present and a danger to himself or others, the Emergency Manager will assist with providing a safety perimeter for unwary personnel to prevent them from entering within range of danger. Members of the SSPP Emergency Management Team will inform faculty, staff and students via different communication modes (email, text messaging, automated phone message) of whether to evacuate the facility(ies) or lockdown in their office/classroom. The Emergency Manager will alert the University Emergency Coordinator of any criminal act.

**Cyber Attacks:** Notify Sanford School IT Help Desk (919-613-7400) followed by alerting Emergency Manager. IF unable to reach Sanford School IT Help Desk, then please contact OIT Security Office via their Help Desk (919-684-2200). Examples of a cyber attack are taking down our websites or denial of service attacks (called DOS attacks)).

**Severe Weather/Tornadoes:** 911 is the first alert followed by alerting Emergency Manager. The SSPP Emergency Management Team and fire safety monitors will assist with moving faculty, staff and students to safe and windowless areas in the event of a severe weather occurrence. The Emergency Manager will alert the University Emergency Coordinator when a severe weather condition has occurred.

Each SSPP faculty, staff and student will be provided a “How Will You Be Notified in the Event of an Emergency” handout outlining different communication modes and instructions that will be used (Appendix B).

**Review and Mitigation:** Each emergency and its associated damages are assessed by the Emergency Manager and members of the Management Team as soon as possible. Steps are implemented to make emergency repairs and contract for permanent repairs to the physical plant, and to modify safety and response standards as indicated. Damages are reported to SSPP Facilities Manager for insurance claims. Housekeeping Services begin cleanup if needed. Faculty and staff return their assigned spaces to full function as soon as possible, sometimes having to relocate offices.

Each event is reviewed by the Management Team and is used as a tool to refine emergency procedures. The Management Team will meet biannually to formally review procedures in place for continued relevancy.

**University’s Counseling and Psychological Services (CAPS)** (Phone 919-660-1000, Location: 214 Page) and **Personal Assistance Service (PAS)** (Phone 919-416-1727, Location: 2200 W. Main St., Erwin Square Tower, 4 floor, Suite 400A) are available to assist students (CAPS) and faculty and staff (PAS) in the event of emotional trauma as a result of any emergency event.

**Employee Preparedness:** Employees will be informed and/or reminded of the SSPP emergency management plan through a variety of methods, as follows:

- SSPP orientation manual
- Quarterly new staff employee orientation session
- Semi-annual new faculty orientation session
- As part of annual staff performance review
By email and discussion at a faculty meeting on a yearly basis, led by SSPP Dean

**IMPORTANT UNIVERSITY PHONE CONTACTS IN THE EVENT OF AN EMERGENCY SITUATION:**

- **Duke Police:** Land line (911); Cell (684-2444)
- **Duke Card Office:** Roland Gettlief or Jeffrey Clay (681-5448 or 684-5800)
- **Facilities Management Department (FMD):** 684-2122
- **Housekeeping:** Barbara Allen, Supervisor (613-9201) or University Housekeeping (684-6387)

**How Sanford School Community Members Will Be Notified of an Emergency**

(This document is adapted from the Duke University Emergency Communications Plan online at emergency.duke.edu, with additions (underlined) specific to the Sanford School of Public Policy. Please refer to the web site for additional information.)

Duke’s communication approach is based on redundancy, using multiple methods to reach members of the university as well as parents, alumni, visitors and the news media.

Duke’s goal is to send alert messages within 30 minutes of officials being notified of an emergency situation. While other means may be used, the primary methods of alerting people are:

- **Outdoor Warning System:** An alert message may be broadcast in and around buildings on campus using Duke’s siren/public address system. For more information, please see the [Outdoor Warning System](http://emergency.duke.edu/notified/warningsystem/)

- **Text Messaging:** An alert message may be sent to the mobile devices of Duke community members who register for a text messaging system. Go to [http://emergency.duke.edu](http://emergency.duke.edu) to Sign up for DukeALERT text messages.

- **Email:** A “Duke Alert” message will be sent to all students, faculty and staff at their Duke e-mail account. Duke parents whose students have provided an e-mail address to the University through ACES will also receive an e-mail. When an emergency originates at the Sanford Building or in Rubenstein Hall, or when the incident does not require wide campus action or notification, the Sanford Emergency Management Team will e-mail an alert to PPS-emergency-mgmt@duke.edu and to undergraduate public policy lists.

- **Duke Digital Signage:** Alert and informational messages from the University Emergency management team may be posted on the digital displays in both buildings during a campus wide incident.

- **Web:** Emergency information will be posted online at [http://www.emergency.duke.edu/](http://www.emergency.duke.edu/). An alert message will also be posted on Duke.edu, today.duke.edu, [https://dukepass.duke.edu](https://dukepass.duke.edu) and [Sanford.duke.edu](https://sanford.duke.edu). In addition, the Duke community is encouraged to subscribe on the emergency website to RSS feeds that will provide information about the nature of an emergency and update you throughout an emergency. The RSS feeds will activate only in case of emergency.

- **Phone:** An alert message will be posted on 919-684-INFO, Duke’s emergency and severe weather information line.

- **Direct contact:** Supervisors will announce alert messages to staff in their respective units. Residence life staff will alert students and other residents living in university housing. Duke police or officials will alert those in academic buildings, as well as other
campus locations. In the Sanford/Rubenstein buildings, fire safety monitors will notify people in their areas.

- **Other**: Regular updates will be provided to news media.

  Created February 2008/ Most recent update July 2014.
Course Audit Form

Auditing a course gives a student the opportunity to explore an area related to his/her policy interests or review an area of personal expertise. No credits will be issued for an audited course; however, it will appear on the student’s transcript with the grade notation “AD” for an audit that has been completed successfully or “WA” for an audit from which a student has withdrawn. Once a class has been audited, a student may not enroll in it for credit in a future semester. A student may drop and audit without penalty until the end of the drop/add period. After that time, the student must officially withdraw from the audit if he/she can no longer participate in the course.

Complete this Course Audit Form and submit it directly to the Office of the University Registrar no later than noon on the final day of Drop/Add for a given semester. The form may be delivered in person to the Registrar’s Office, 114 S. Buchanan Blvd., Smith Warehouse, Bay 9, Room A289, or scanned and sent as an email attachment to registrar@duke.edu.

Name of Student:  
(Please Print)

Student ID:  
(Please use Student ID and not Unique ID)

Student’s Program:

Semester (e.g., Fall 2012):

Subject (e.g., PUBPOL):  
Course # and Section (e.g., 804.01):

Course Title:  
________________________________________________________________

Days and Times Course Meets:  
________________________________________________________________

Approval Signatures:

Printed Instructor Name  
Instructor Signature  
Date

Printed Student Name  
Student Signature  
Date

Printed Sanford Administrator Name  
Administrator Signature  
Date
GRADUATE STUDENT INDEPENDENT STUDY PERMISSION FORM
Sanford School of Public Policy

To the student: This form must be approved and signed by the supervising faculty member, the instructor (if different from supervising faculty member), and submitted to the Director of Graduate Studies, (Mac McCorkle (MPP), Cory Krupp (MIDP), Ken Dodge (Ph.D) before the end of the drop/add period. Once form is complete return to Sanford Registrar, Anita Lyon, 166 Rubenstein Hall.

Student Name: _______________________________ Date _______________________________ Email: _______________________________ Student ID (not unique ID) _____________ Telephone # ___________________ Graduation Date: _______________________________________________________________________

Academic Plan: MPP MIDP Ph.D Other (please specify) Course Subject / Number: __________________________

Term / Year: Fall ___ Spring ___ Summer (I) ___ (II) ___ Full___ Special reading 792 MPP students only variable credit; please indicate credit _

Research Topics 786 MIDP students only variable credit; please indicate credit _

Title of Independent Study ________________________________________________________________

Short Title ________________________________________________________________ (to be listed on transcript; limit 30 characters, including spaces)

Supervising Faculty Member ____________________________________________________________

Academic Title ________________________________________________________________ Date _________________

Signature of Student

Approval Signatures:

Supervising Faculty Member (print name) Signature Date _________________

Director of Graduate Studies (print name) Signature Date _________________

ASSIGNED COURSE AND SECTION NUMBER: ________________________________

ASSIGNED PERMISSION NUMBER: ________________________________
INTER-INSTITUTIONAL APPROVAL FORM
(FOR STUDENTS TAKING COURSES ON ANOTHER CAMPUS)

Home Institution:
- Duke University
- N.C. Central University
- N.C. State University

Visiting Institution:
- U.N.C.- Chapel Hill
- U.N.C.- Charlotte
- U.N.C.- Greensboro

Classification:
- Graduate/Professional
- Undergraduate

Department/College: __________________________

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>Middle Name or Initial</th>
<th>Student ID Number (Social Security Number)</th>
</tr>
</thead>
</table>

CURRENT LOCAL ADDRESS
( )
Street, RFD or P.O. Box Number: __________________________
Apartment: __________________________
Telephone Number: __________________________
City: __________________________
State: __________________________
Zip: __________________________
E-Mail Address: __________________________

PERMANENT MAILING ADDRESS
(Where you will be receiving registration materials)
Street, RFD or P.O. Box Number: __________________________
City: __________________________
State: __________________________
Zip: __________________________
County: __________________________
Country: __________________________

What is your legal residence? County: __________________________
State: __________________________
Country: __________________________

CITIZENSHIP:
- US Citizen
- Non-Resident Alien
- Resident Alien

DATE OF BIRTH: __________________________

SEX/MARITAL STATUS:
- Male
- Female
- Single/Divorced
- Married

PLACE OF BIRTH: __________________________
City: __________________________
County: __________________________

APPLICANT’S ETHNIC GROUP:
- African-American (Not of Hispanic Origin)
- American Indian or Alaskan Native
- Asian or Pacific Islander
- Hispanic
- White (Not of Hispanic Origin)
- Other/Foreign

Have you ever attended the Visiting Institution? NO YES If "YES", last term attended __________________________

Term you desire to attend: Fall 20__ Spring 20__ Summer I 20__ Summer II 20__
Are you graduating this term? YES NO

Number of hours for which you will be enrolled for above semester: Home Institution: __________ Visiting Institution: __________

COURSE(S) TO BE TAKEN ON VISITED CAMPUS
(please consult the Visiting Institution’s schedule of classes to correctly fill out this section)

<table>
<thead>
<tr>
<th>Subject Abbr.</th>
<th>Course No.</th>
<th>Section</th>
<th>Title</th>
<th>Cr. Hrs.</th>
<th>Hour/Days</th>
<th>Visited Inst. Approval (if required)</th>
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</tbody>
</table>

NOT ALLOWED TO TAKE PASS/FAIL OR NO CREDIT COURSES

I hereby give consent for my Home Institution’s Registrar’s Office to provide the Visiting Institution’s Registrar’s Office my student identification number (social security number) for record-keeping purposes. Also, I am aware that my grades at the Visited Institution will be submitted to my Home Institution’s Registrar’s Office for the term of enrollment indicated above.

Department/Advisor’s Approval: __________________________ Date: __________________________

College Dean’s Approval: __________________________ Date: __________________________

Students Signature: __________________________ Date: __________________________

Home Registrar’s Office Approval: __________________________ Date: __________________________

White: Registration Office-Home Institution Use Only
Sent completed inter-institutional form to Visiting Institution by:
- US Mail/State Counter: _______
- FAX: _______
- Student: _______
- Date: _______

Canyon: Registration Office-Visitor Institution Use Only
Visited student registered on: _______
Visited student not registered because: _______
Sent Confirmation/Rejection Notice by: _______
- US Mail: _______
- E-mail: _______
- Student: _______
- Date: _______

Received drop notice on: _______
Course Withdrawal Form

After the drop/add period students can withdraw from courses “W” designation on the transcript. Students can withdraw from courses until the last day of classes in the current semester. No tuition refund will be given. Complete this form and deliver it to Sanford School Registrar, Anita Lyon, 166 RH.

Name of Student: ____________________________________________________________
(Please Print)

Student ID: ________________________________________________________________
(Please use Student ID and not Unique ID)

Student’s Program: __________________________________________________________

Course to be dropped: _______________________________________________________
(Please include course number and section)

Current term and year: ________________________________________________________

Approval Signatures:

________________________________________________________________________
Instructor Date

________________________________________________________________________
Director of Graduate Studies Date

________________________________________________________________________
Student Date

Effective Date