

**Duke University**  
**University Program in Environmental Policy**  
**(UPEP)**

**Joint Ph.D. Program of the**  
**Nicholas School of the Environment (NSOE)**  
**and the Sanford School of Public Policy (SSPP)**

**Student Handbook**

**Update: January 2020**

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## 1. Duke's Community Standard (Honor Code)

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 nonacademic 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 responsibly in all my endeavors; and
- I will act if the Standard is compromised.

## 2. Handbook Preface

This handbook was prepared by the Director of Graduate Studies (DGS) in consultation with faculty and students for the University Program in Environmental Policy (UPEP). It is intended to be of use to current students and faculty, as well as to prospective applicants. Subjects not covered by official policy of the Graduate School, not discussed here, or those under review, are to be handled at the discretion of the DGS in consultation with the Steering Committee, faculty, and students.

In addition to the DGS, program leadership and administrative assistance is provided by the Associate Director of Graduate Studies (Associate DGS) and the Director of Graduate Studies Assistant (DGSA). The Associate DGS is a UPEP faculty member whose primary appointment is in the affiliated school—the Nicholas School of Environment or the Sanford School of Public Policy—that is not the primary appointment home for the DGS. Policy decisions are made by the UPEP faculty Steering Committee, comprising the DGS, Associate DGS, and two other UPEP faculty members, one from each school. When possible, to ensure disciplinary balance, those additional faculty members are from the opposite discipline from the DGS or Associate DGS in their school.

This handbook is supplementary to (i.e., is not a substitute for) the university's guidelines and requirements as described annually in the official [Graduate School Bulletin](#). In addition, the Graduate School's Manual for Directors of Graduate Studies contains further information (sometimes in more detailed and specific form than presented here) regarding all aspects of graduate study at Duke.

## 3. About the UPEP Ph.D. Program

Identifying solutions to environmental policy challenges requires a command of tools from the social sciences, alongside knowledge of a topic, plus understanding of policy processes. Duke's University Program in Environmental Policy (UPEP) Ph.D. is a five-year, research-intensive doctoral program for such training. It combines specialization in either economics or political science with emphasis on understanding specific policy problems, processes, and contexts. We believe that solving environmental policy problems requires integrating multiple perspectives while applying disciplinary rigor.

UPEP is jointly administered by the Nicholas School of the Environment (NSOE) and the Sanford School of Public Policy (SSPP). It draws on the extensive resources of both schools, as well as other departments and research institutes across Duke University. The program has close affiliations with the Nicholas Institute for Environmental Policy Solutions (NIEPS) and the Duke Global Health Initiative (DGHI). Students work in close proximity to Ph.D. students in various disciplines, within each school and across Duke. Graduates are well prepared for positions in academic departments and professional schools (for example, schools of environment or public policy), domestic and international public agencies, environmental organizations, research institutes, and policy consulting firms.

Students and faculty conduct world-class research, in domestic and international contexts, on topics including climate change, air quality, water resources, biodiversity conservation, community resource management, ecosystem services, energy, environmental health, fisheries, forest management, poverty, development, and environmental justice.

UPEP builds on a long history of Duke University's engagement with environmental policy issues. The predecessors of the Nicholas School of Environment—the School of Forestry, the Marine Lab, and the Department of Geology—were founded in the 1930s. The Sanford School of Public Policy traces its history back to the formation of Duke's Institute of Policy Sciences and Public Affairs in 1971. Both of the two schools have offered environment- and policy- focused training within Ph.D. programs for many years. In 2010, UPEP was created to bring together groups engaged in social science research and training for environmental policy.

#### 4. Faculty Advising and Thesis Committees

Faculty advisers and committee members come from schools and programs across Duke. Since UPEP is a joint program of NSOE and SSPP, its graduate faculty is made up of all members of the graduate faculties of NSOE and SSPP, including secondary appointments. To maintain the disciplinary emphasis of the program, UPEP thesis committees must include at least two active UPEP Ph.D. advisors. (See section 5.9 for guidelines on committee role and composition.)

##### Active UPEP Ph.D. advisors as of January 2020:

<a href="#">Elizabeth Albright</a>	Assistant Professor of the Practice of Environmental Policy <i>Environmental Science and Policy Methods</i>
<a href="#">Lori Benneer</a>	Associate Professor of Environmental Economics and Policy <i>Environmental Economics, Environmental Policy</i>
<a href="#">Sarah Bermeo</a>	Associate Professor of Public Policy <i>Global Governance, Development</i>
<a href="#">Marc Jeuland</a>	Associate Professor of Public Policy <i>Environmental Health, Water Management, Energy Policy</i>
<a href="#">Randall Kramer</a>	Professor of Environmental Economics <i>Environmental Economics, Environmental Policy, Global Health</i>

<a href="#">Robyn Meeks</a>	Assistant Professor of Public Policy <i>Environmental and Energy Economics, Development Economics</i>
<a href="#">Megan Mullin</a>	Associate Professor of Environmental Politics <i>Environmental Politics, American Political Institutions and Behavior</i>
<a href="#">Brian Murray</a>	Research Professor of Environmental Economics <i>Energy Policy, Environmental Economics, Land Use Policy, Forestry</i>
<a href="#">Subhrendu Pattanayak</a>	Professor of Environmental and Energy Policy <i>Environmental Economics, Environmental Policy, Global Health</i>
<a href="#">Alexander Pfaff</a>	Professor of Public Policy <i>Environmental Economics, Environmental Policy, Development</i>
<a href="#">Billy Pizer</a>	Professor of Public Policy <i>Climate Policy, Environmental Markets, Energy Policy</i>
<a href="#">Steven Sexton</a>	Assistant Professor of Public Policy <i>Environmental Economics, Energy</i>
<a href="#">Martin Smith</a>	Professor of Environmental Economics <i>Marine Policy, Environmental and Resource Economics</i>
<a href="#">Chris Timmins</a>	Professor of Economics <i>Environmental Valuation, Public Economics, Urban Economics</i>
<a href="#">Jeff Vincent</a>	Professor of Forest Economics and Management <i>Environmental Policy, Land Use, Forests, Biodiversity Conservation</i>
<a href="#">Erika Weinthal</a>	Professor of Environmental Policy <i>Global Environmental Politics, Water Resource Management</i>

## 5. Requirements

Please consult the Graduate School website regarding policies, procedures, deadlines, and forms to ensure you are using the most up-to-date information in terms of Duke's policies. Information published by the Graduate School supersedes the information below about Graduate School requirements. The following outlines UPEP's programmatic requirements.

### 5.1. Common Requirements

UPEP is structured to impart a consistent set of knowledge and skills to all students in the disciplinary concentrations of economics and political science. To the extent possible, UPEP's program requirements match those of other Ph.D. programs in NSOE and SSPP, while at the same time promoting disciplinary emphasis.

#### 5.1.1. Full-time Tuition

Payment of six semesters of full-time tuition (or five semesters if credit for previous graduate work has been approved). This rule comes directly from the Graduate School. Generally speaking, the Graduate School covers tuition and fees for the first five years.

### 5.1.2. Curriculum

- A. Complete a set of common requirements, including courses in the political science and economic theories of public policy, plus courses leading to the dissertation proposal.
- B. Complete at least one course (appropriate level) in environmental/resource economics.
- C. Meet UPEP's standards for grades in courses (see sections 5.3 and 6.1), as well as maintain compliance with the Graduate School's requirement of a 3.0 overall GPA.
- D. Complete the disciplinary concentration requirements for core theory, fields (e.g., environmental economics, environmental politics), and research methods.
- E. Complete an overall approved course of study with a minimum of 40 course credits (equivalent to approximately 13 3-credit courses). Please see the course list below.
- F. Attend and participate in UPEP's Student Research seminar (biweekly) in which faculty, Ph.D. students, and others present research to the UPEP community.
- G. Submit a report (see template) to the DGS and advisor(s) at the end of each semester.
- H. Attain the status of dissertation candidate, including meeting qualifying requirements and passing the preliminary exam (with thesis proposal), by the end of the third year.
- I. Pass a final examination, which consists of an oral dissertation defense to an approved supervisory committee. This is expected to be completed by the end of the fifth year.

Total course-of-study requirements are expressed in terms of total course credits (rather than a total number of courses), because not all of the courses have equal credit. The following is a summary list of the categories for 40 total credits (see following sections for details):

Public Policy Core Courses (PUBPOL 901, 902) (6 credits)

Dissertation Proposal Seminar (PUBPOL 908, 909) (6 credits)

Environmental and Resource Economics (3+ credits)

Disciplinary Concentration (in either Economics or Political Science)

- a. Core Theory Courses (6+ credits)
- b. Research Methods (6+ credits)
- c. Fields (environmental economics or environmental politics) (6+ credits)
- d. Other requirements and electives (6+ credits)

### 5.2. Common Course Requirements

All UPEP students take a set of courses intended to introduce a core theoretical literature about the nature of economic and political institutions and systems, approaches to

modeling, the translation of policy interventions to policy outcomes, and frameworks for normative evaluation of both processes and outcomes. These are:

- Political Economy of Public Policy (PUBPOL 901, 902): This two-semester course sequence introduces students to social science ideas relevant to public policy. These include theories about collective action, institutions, and governance drawing from economics, political science, and sociology. This sequence is also a core requirement of the Ph.D. in Public Policy.
- Dissertation Proposal Seminar (PUBPOL 908, 909): This two-semester course sequence provides structure for students preparing their dissertation proposal. This sequence is also a core requirement of the Ph.D. in Public Policy.
- Environmental/Resource Economics (various courses): Every student is required to reach a level of proficiency in microeconomics as it applies to environmental and resource policy issues. The specific environmental economics requirements vary by disciplinary concentration, however (see below).
- Natural Sciences: Students need to ensure that they have sufficient training in the natural sciences relevant to their area of environmental study. Many students will already have such training prior to entering the Ph.D. program. Others will need to acquire this through coursework and/or independent study and research. The level and content of natural sciences training are flexible and are worked out in consultation with the student's advisor(s) as required for one's research areas.

### 5.3. Requirements Specific to Disciplinary Concentrations

Although UPEP is multidisciplinary, it is designed to ensure that students have strength in a particular discipline. Students choose a disciplinary concentration, economics or political science, when applying to the program. In addition to the common requirements above, specific concentration requirements are listed below. Example timelines for fulfillment of these requirements are presented in Appendix 1.

#### 5.3.1. Concentration requirements: Economics

##### Mathematics (3 credits)

Mathematics for Economists I (ECON 700), or Math Camp, in the summer before Year 1.

##### Core Theory Courses (6 credits and qualifying exam, if necessary)

Microeconomic Analysis I (ECON 701)

Microeconomic Analysis II (ECON 705)

All students who do not receive a grade of B+ or higher in Microeconomic Analysis I and II must take the relevant qualifying exam(s) administered by the Economics Department in the summer after the first year (typically in June).

##### Research Methods (12 credits)

Econometrics I (ECON 703)



## Econometrics II (ECON 707)

At least 6 credits of additional research methods courses approved by student's advisor(s). A recommended two-module sequence is:

Topics in Applied Microeconomics: Hedonics and Non-market valuation (ECON 881-1) (1.5)

Topics in Applied Microeconomics: Equilibrium Sorting Models (ECON 881-2) (1.5)

## Environmental and Resource Economics Field (6 credits)

Natural Resource Economics (ENV 829)

Environmental and Energy Economics (PUBPOL 910)

## Additional Field (6 credits)

Students can select from a wide variety of Ph.D.-level courses from Duke or other institutions. The courses should be complementary and must be approved by the DGS and the student's advisor(s). Courses approved by the DGS in the past include:

- Development Economics (ECON 751 Political Economy of Institutions; ECON 881 Topics in Applied Microeconomics: Development Economics; ECON 881 Topics in Applied Microeconomics: Empirical Methods: Development; POLSCI 549S Collective Action, Property Rights and the Environment)
- Applied Microeconomics (ECON 881 Topics in Applied Microeconomics: Social Interactions and Discrimination; ECON 881 Topics in Applied Microeconomics: Empirical Models of Dynamic Equilibrium; ECON 881 Topics in Applied Microeconomics: Dynamic Discrete Choice)
- Industrial Organization (ECON 885 Topics in Economic Theory: Theoretical Industrial Organization; ECON 885 Topics in Economic Theory: Market Design I; ECON 885 Topics in Economic Theory: Market Design 2; ECON 881 Topics in Applied Microeconomics: Demand Estimation)
- Computational methods in Environmental Economics (ECON 881-1 Topics in Applied Microeconomics: Hedonics and Non-market valuation; ECON 881-2 Topics in Applied Microeconomics: Equilibrium Sorting Models; ECG 590 (NC State) Dynamic Environmental Resource Management)

## Elective Courses (sufficient to attain a minimum of 40 total credits)

All students who have not taken macroeconomics before entering the UPEP Ph.D. program are strongly encouraged to take at least one semester of graduate-level macroeconomics in the Department of Economics or in SSPP. Many other courses in NSOE, SSPP, Arts and Sciences, Law, and Business will be relevant to UPEP students. There are also many natural science courses available in NSOE and other science departments.

### **5.3.2. Concentration requirements: Political Science**

## Public Policy Ph.D. Courses (12 credits)

Political Economy of Public Policy (PUBPOL 901, 902)

Dissertation Proposal Seminar (PUBPOL 908, 909)

### Environmental and Resource Economics (3 credits)

Qualifying courses include:

- ECON 751 Political Economy of Institutions
- POLSCI 549S Collective Action, Property Rights, and Environment
- ENV 520 Resource and Environmental Economics (or similar)
- PUBPOL 811 Microeconomics: Policy Applications (or similar)

### Core Theory Courses (9 credits, plus field exam)

At least three courses in one or more subfields defined by Duke's Political Science Department:

- Normative Political Theory and Political Philosophy
- Political Behavior and Identities
- Political Economy
- Political Institutions
- Security, Peace and Conflict

This must include the core seminar for the field plus two additional courses. Students are also encouraged to attend the bi-weekly workshop for the field. Students must take a field exam in core theory relevant to their political science subfield (see section 5.11).

### Research Methods (6 credits)

Students must take at least two research methods classes, including one statistics course. Students are encouraged to take both quantitative and qualitative methods courses, as approved by their advisor(s). Qualifying courses include:

- Scope and Methods in Political Science (POLSCI 731)
- Positive Political Theory (POLSCI 633S)
- Political Applications of Game Theory (POLSCI 631)
- Empirical Methods in International Relations (POLSCI 890)
- Program Evaluation of Environmental Policies (ENV 850)
- Social Science Surveys for Environmental Management (ENV 557)
- Research Design and Qualitative Methods (PS 330)

UPEP political science students may use external courses to help meet this requirement, such as those offered by the [Consortium on Qualitative Research Methods \(IQMR\)](#) and the [Inter-university Consortium for Political and Social Research \(ICPSR\)](#). The Program has provided and aims to continue providing funding to offset the cost for students attending these programs.

### Environmental and Resource Politics Field (6 credits, plus field exam)

Core course: Global Environmental Politics (ENV 826)

Qualifying additional courses include:

- Environmental Politics (ENV 577)
- Politics of the Urbanized Environment (ENV 684)
- Collective Action, Property Rights, and the Environment (PS 549S)
- Political Ecology (ENV 860SA)

Elective Courses (sufficient to attain a minimum of 40 total credits)

Many other courses in NSOE, SSPP, Arts and Sciences, Law, and Business will be relevant to UPEP students. There are also many natural science courses available in NSOE and other science departments.

#### **5.4. Inter-institutional Registration for Additional Course Options**

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

- a. Contact the course instructor to receive written permission to take the course.
- b. Print out the [Inter-institutional Registration form](#).
- c. Bring written permission, course description, and the completed Inter-institutional Registration Form to the DGS to discuss the course and to have the form signed.
- d. When it is signed, the DGSA will forward these materials to the Registrar's Office.

#### **5.5. Foreign Language Requirement**

Neither the Graduate School nor UPEP has a foreign language requirement for the Ph.D. Study of languages is generally possible through Duke's language departments. A number of UPEP students have studied languages and received support through the United States Department of Education's [Foreign Language and Area Studies program](#). Languages do not count toward other course requirements.

#### **5.6. English Language Proficiency Requirement**

International students whose native language is not English must take 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. Courses must be taken during the first year at Duke. For more information, see Graduate School resources on [English for International Students](#).

## 5.7. Responsible Conduct of Research Requirement

All Ph.D. students at Duke University are required to complete a series of training sessions in the Responsible Conduct of Research (RCR). This requirement consists of two components:

- All students must attend a mandatory one-day Fall workshop, during orientation week. This requirement for RCR is typically completed before the first semester.
- To meet the total number of hours required for RCR training (12 hours total), Ph.D. students must subsequently attend a minimum of three workshops on RCR topics over the course of their degree. The number and content of such workshops is published at the start of each semester and advertised by the Graduate School.

## 5.8. Advisor to Supervise the Program of Study

Admitted students are assigned an initial primary advisor or two co-advisors. Students can switch primary advisors if a different advising arrangement would be more suitable.

The school that is the primary home for the advisor covers the student's non-TA costs (i.e., costs not already covered by TA payments or fellowships). The Graduate School labels each UPEP student as either NSOE or SSPP (or both, when co-advisors are in different schools). If students switch primary advisors, the school paying non-TA costs also switches.

## 5.9. Committee to Supervise the Program of Study

### 5.9.1. Role and formation of the committee

Students take the lead in forming their supervising committees, in consultation with their advisor(s) and the DGS. This committee, with all members participating, will determine the student's program of study and administer the preliminary and the final examinations.

Once the committee is tentatively formed, the DGS formally nominates the committee for approval by the Graduate School's Associate Dean of Academic Affairs. The committee must be approved by the Associate Dean at least one month (30 days) before the preliminary examination can take place. UPEP students typically finalize their committee during the Fall semester of the third year before defending their dissertation proposal in the preliminary exam toward the end of the third year (see section 5.12).

### 5.9.2. Eligible members of the committee

Supervisory committees require at least four members. The Graduate School requires that at least three members are members of "the department." For UPEP, this requirement may be fulfilled by any member of the graduate faculties of NSOE and SSPP, including secondary appointments, since, taken together, they constitute the graduate faculty for the UPEP Ph.D.

Given the breadth in these schools' faculties and the desire to ensure that committees contain the relevant expertise from economics and political science, at least two of the three committee members must be active UPEP Ph.D. advisors (see section 4).

The fourth (and optional fifth) member would typically be “external,” from outside NSOE and SSPP, such as another department at Duke or another institution. However, they can also be from within NSOE and SSPP if the faculty member is from “a clearly differentiated division within the department.” These members generally should not be active UPEP Ph.D. advisors, with the rare exception that they are from the opposite core discipline (political science or economics) to the student.

If the list of active UPEP Ph.D. advisors (section 4) changes during a Ph.D. student’s time at Duke, the student may select faculty from the current list or the list valid at the time of the student’s matriculation, as long as the faculty members are still at Duke University.

**EXAMPLE**

<i>Committee Members</i>	<i>Description</i>
1 (committee chair)	Active UPEP Ph.D. advisor (section 0) in NSOE or SSPP
2	Active UPEP Ph.D. advisor (section 0) in NSOE or SSPP
3	Another graduate faculty member in <a href="#">NSOE</a> or <a href="#">SSPP</a> ; may or may not be an active UPEP Ph.D. advisor
4 (minor area representative)	Graduate faculty member not in NSOE or SSPP; may be at another university
5 (optional)	Graduate faculty member; since optional, may or may not be in NSOE or SSPP, may be at another university

**5.9.3. Changes to the committee**

The committee’s composition can be changed with the permission of the DGS and the Graduate School if a student and advisors believe that different committee members can better serve the student’s ongoing needs. Changes are made using the committee nomination [form](#).

**5.10. Residence**

The minimum residence requirement is one academic year of full-time registration at Duke (i.e. two consecutive semesters of full-time tuition).

**5.11. Qualifying Requirements**

Students are required to meet specific qualifying requirements before beginning full time work on a dissertation. Failure to meet these requirements may result in dismissal from the program.

### 5.11.1. Economics concentration

Students concentrating in economics demonstrate mastery of core theory in microeconomics by receiving a grade of B+ or higher in Microeconomic Analysis I and II during their first year. Students who do not a B+ or higher in both semesters must take the relevant qualifying exam(s) administered by the Economics Department in the summer after the first year (typically in June).

Students demonstrate mastery of core theory in Environmental and Resource Economics by passing final exams in two field courses.

### 5.11.2. Political Science concentration

Students concentrating in political science must demonstrate mastery of the core theory of a major field in political science and of environmental politics.

To demonstrate mastery of a major political science field as defined by Duke's Political Science Department (Normative Political Theory and Political Philosophy; Political Behavior and Identities; Political Economy; Political Institutions; Security, Peace and Conflict), students must take a qualifying examination in the field after completion of their primary coursework. Exams generally take place at the end of the second year (early summer), when possible in cooperation with the Political Science department's administration of qualifying exams. If the exam is administered by the UPEP program, it will be an eight-hour, closed-book, closed-note examination written on a computer on the Duke campus and governed by the Duke Community Standard (honor code). It will be reviewed by a three-member faculty committee appointed by the UPEP DGS. The Political Science field exam committee should not include the student's primary advisor.

To demonstrate mastery of environmental politics, students will submit a solo-authored research paper no later than on September 30 of the third year. The paper should contain original empirical research or be a journal-length literature review manuscript that makes a theoretical contribution to the field. Students must submit to committee members for approval a proposal (750-1,000 words) containing the topic, readings, and research design no later than March 1 of the second year. The environmental politics exam committee will be appointed by the UPEP DGS and will not necessarily overlap with the political science exam committee. The environmental politics exam committee may include the student's primary advisor.

## 5.12. Preliminary Examinations

A student becomes a candidate for the Ph.D. after passing their preliminary examination. The examination may cover the major field, related work, and the dissertation proposal. This is an official requirement of the Graduate School for both the economics and the political science concentrations.

Dissertation Proposal. The Dissertation Proposal Seminar (PUBPOL 908, 909) provides students with an opportunity to develop their dissertation proposal. The proposal should describe a research project in detail sufficient to permit an evaluation of both its merit and its feasibility. The dissertation proposal should include a thorough literature review, an

evaluation of current knowledge in the field, and a statement of how the dissertation will add to that body of knowledge. The proposal should reflect a thorough understanding of the research methods that will be used in the dissertation. The student is required to submit the dissertation proposal to all members of their Ph.D. Committee at least two weeks before the preliminary exam. The preliminary exam includes not only an oral defense of the dissertation proposal itself but also an oral exam evaluating the depth of dissertation area knowledge and the research methodologies to be used in the dissertation.

Timing Students should take the preliminary examination in their third year by the rules of the Graduate School. If it is in the summer, a preliminary examination may be scheduled only between the opening and closing dates of the summer session, unless permission is granted by the Graduate School. A student must be registered during the term of the preliminary examination. The exam may last up to three hours.

Passing As stated in the Graduate School rules, successful completion of the preliminary examination requires at least three affirmative votes and no more than one negative vote. 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.

Failing As stated in the Graduate School rules, a student who fails the preliminary examination may apply, with the consent of the full supervisory committee as well as the Dean of the Graduate School, for the privilege of a second examination to be taken no earlier than three months after the date of the first. Successful completion of the second examination requires the affirmative vote of all committee members. Failure on the second examination will render a student ineligible to continue a program for the Ph.D. degree at Duke University.

### **5.13. The Dissertation (as per the Graduate School)**

The dissertation is expected to be a mature and competent piece of writing, embodying the results of significant and original research. Requirements for submitting an electronic dissertation are available at the [Electronic Theses and Dissertation](#) section of the Graduate School website. 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 electronic dissertation must be submitted to UMI/ProQuest and the format accepted at least two weeks before the scheduled date of the student's examination, according to graduation deadlines set for each semester by the Graduate School.

### **5.14. The Final Examination (again per the Graduate School)**

The final examination is administered by all members of the supervising committee. It shall be primarily on the dissertation, but questions may be asked in the candidate's major field.

Scheduling Except in unusual circumstances approved by the Dean, a final examination must be scheduled when the university is in session. A student must be registered during the term of the final examination.

Passing Successful completion of the final examination requires at least four affirmative votes and no more than one negative vote. The sole exception to this policy is that a

negative vote cast by the chair of the examining committee will mean a failure on the examination.

**Failing** 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.

### **5.15. Time Limits (as per the Graduate School)**

**Preliminary Exam:** Ordinarily, students 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 a statement with the Dean of the Graduate School, approved by the DGS, explaining the delay and setting a date for the examination. Except under unusual circumstances, extension beyond the middle of the fourth year will not be granted.

**Dissertation:** 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 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. 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.

**Courses and Exams:** Credit usually is not given 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 specific requirements to the Dean for revalidating credits or examinations.

### **5.16. Deposit of Electronic Dissertation (as per the Graduate School)**

After passing the examination, candidates should make the changes requested by the examining committee as well as the formatting changes requested by the Graduate School to the electronic dissertation that was submitted initially. The Graduate School will be notified that you have revised your dissertation and you will receive an e-mail when your dissertation has been accepted. All dissertations must be accepted before the final submission deadline for the semester in which the student intends to graduate or 30 days from defense date, whichever is sooner.



### 5.17. Commencement (as per the Graduate School)

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.

### 5.18. Masters en route to the Ph.D.

UPEP students who complete the Ph.D. can receive a master's degree along the way without paying for an additional 30 units of graduate credit. In the past, some UPEP students with a concentration in economics have earned an MA in Economics.

Economics concentration students interested in this opportunity must apply to the Graduate School and to the Department of Economics. The application includes a rationale for the intellectual relationship between the two programs (UPEP and the MA), a transcript, and two letters of recommendation from Duke faculty speaking to and supporting the relationship between the two programs. Eligibility for the MA in Economics depends on the coursework undertaken by the UPEP student.

More information is provided [here](#) by the Department of Economics.

## 6. Dismissal, Withdrawal and Leave

### 6.1. Dismissal

Students are expected to meet academic requirements as well as financial obligations, as specified in the Graduate School [Bulletin](#), in order to remain in good standing. Certain non-academic rules and regulations must be observed also. Failure to meet requirements may result in summary dismissal by the appropriate officer of the university. The university reserves the right to request the withdrawal of any student whose academic performance at any time is not satisfactory.

Failure to meet the core economics coursework requirements (in ECON 701 and 703, B+ or a passing grade on the microeconomics qualifier exam) is grounds for dismissal from the program. However, the UPEP Steering Committee may make exceptions if there is sufficient evidence that suggests likely future success in research for the student. This evidence may include PUBPOL 901 and 902 grades, prior coursework, and evidence of ongoing research.

### 6.2. Withdrawal

A student who wishes for any reason to withdraw from the Graduate School must notify in writing both the DGS and the Dean of the Graduate School prior to the date of the expected withdrawal and no later than the published last day of classes for that semester or summer session. Students wishing to withdraw from courses in the summer session must consult both the DGS and the director of the summer session.

For refunds upon withdrawal, see the “Financial Information” section of the Bulletin.

A student who must withdraw after successfully completing one semester of graduate study but before completing a graduate program may, with the approval of the major department, request the Dean to issue a certificate of graduate study.

### 6.3. Terminal Master’s Degree

Students who are dismissed or withdraw from the program may be eligible for a terminal Master’s Degree (MA) in Environmental Policy, depending upon the coursework that they have completed. If the requirements for this MA are met at the time that the decision of dismissal or withdrawal is made, the student does not face any financial cost. Students who wish to stay beyond UPEP Ph.D. dismissal to complete the MA may face tuition or other costs.

### 6.4. Leave of Absence (as per the Graduate School)

A leave of absence for a period of time no longer than one calendar year may be granted because of medical necessity, full-time employment, receipt of an external award, or other acceptable reasons. A request for a leave of absence should originate with the student, be endorsed by the student’s major professor and DGS, and submitted to the Associate Dean of the Graduate School for consideration prior to the beginning of the semester for which the leave is requested. A student is eligible to request a leave of absence only after having completed at least one semester at Duke. Time limitations which pertain to the various degrees and the completion of courses on which a grade of I (incomplete) was earned are not waived. Students contemplating leaves of absence should be aware that, for financial purposes, all guarantees of financial support are calculated from the date of initial matriculation. For example, if a graduate program has stated that a student will be supported through the fifth year of graduate study and the student subsequently takes a leave of absence for one of those years (other than for a medical emergency), the student would potentially forfeit a year of institutional support (for the fifth year of actual study).

## 7. 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 the Graduate School’s rules, as 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 DGS, who will then decide whether or not to forward the petition to the Dean of the Graduate School for formal approval or denial. 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, through the DGS. For further grievance procedures, see the [Bulletin](#) of the Graduate School.

## 8. Financial Aid

### 8.1. Tuition and Fees

Students normally receive a stipend and waiver of tuition and fees for up to five years of study if they maintain satisfactory progress. After the first year, a student lacking other funding sources (e.g., a research assistant (RA) position or internal or external fellowship) will be allocated a teaching assistant (TA) position of one course per semester in exchange for their Ph.D. stipend and waiver of tuition and fees:

- For the first year, UPEP students typically receive a fellowship.
- For years 2 and 3, students typically serve as a TA (about 10 hours per week).
- For years 4 and 5, doctoral students typically serve as RA on grants managed by a student's committee member (up to 20 hours per week depending on overlap with student research goals); serve as a TA (one course per semester, thus about 10 hours per week); or receive fellowships from internal or external sources.

If NSOE and SSPP academic year stipends (for RA or TA positions) differ, the UPEP student stipend would be set as the average of NSOE and SSPP stipends. For any transition relevant to this rule, no stipend for a student already enrolled in UPEP should fall, across years, due to such averaging. Currently, NSOE and SSPP follow the Graduate School's stipend guidelines and so the school's stipends are the same.

External sources of funding often carry considerable prestige and offer generous support. We urge U.S. citizens and permanent residents to consider the National Science Foundation Graduate Research Fellowship Program (NSF GRFP), Jacob Javits Graduate Fellowship, and the EPA Star Fellowship. U.S. underrepresented minority applicants may also wish to investigate the Ford Foundation Predoctoral Fellowships for Minorities, American Political Science Association Minority Fellowships, Ronald E. McNair Post-baccalaureate Achievement Program, and Alfred P. Sloan Foundation Graduate Scholarship Program. International students may qualify for the Fulbright Program.

### 8.2. Funding Beyond the Fifth Year

UPEP is a five-year program and funding is not typically available for subsequent years. In some cases, students who face significant shocks to their Ph.D. research plans or personal lives may be eligible for a sixth year of stipend and a waiver of tuition and fees by serving as a teaching assistant. This requires agreement by the DGS and supervising committee chair regarding sufficient rationale. Such decisions may take into account whether the student has received an unusually large amount of external funding during Years 1-5.

### 8.3. Summer Funding

Students are expected to pursue summer support on their own, with the assistance of their advisor(s). Common sources of summer funding are RA positions on faculty grants, as well as internal and external fellowships.

For the summers after first and second years, students who are unable to find summer funding (after demonstrated effort) can receive a summer research fellowship from the Graduate School. Students must submit to the DGS a brief proposal outlining how the summer funding will be used to advance their educational pursuits. Dean's Graduate Fellows, NSF GRFP fellows on tenure, and students who will be working as research or teaching assistants during the summer are not eligible. Application instructions are [online](#).

For the summers after third and fourth years, students may apply for competitive summer research fellowships. Application instructions are [online](#).

### 8.4. Funding for Travel, Tutoring, and Professional Development

- UPEP students may access up to \$500 annually for the purposes of travel to make research presentations, professional development, and core tutoring. This funding is designed for activities that provide a value-added “professional” experience to the student’s academic training. Funding will be considered for conferences, meetings, symposia, or training. A maximum of \$500 will be available per student per fiscal year (July 1- June 30). Requests should be made to the DGSA.
- First-year students in the economics concentration often choose to spend some of their \$500 travel allowance on tutoring for help with the core economics courses. Students are responsible for finding their own tutors. In the past, tutors have been senior economics Ph.D. students. Students sometimes have formed small groups and jointly hired a tutor, stretching their total allowances further. Other students have opted for individual tutoring.
- Post-candidacy students may access up to \$750 (for domestic travel) and \$1000 (for international travel) from the Graduate School (70 percent of total costs) and the Program (30 percent), per year. Application instructions are [online](#). The program’s contribution (30 percent) may be taken from the above \$500 allowance.

Funding is provided as reimbursement after the approved activity has taken place.

To receive reimbursement:

- a. Fill out an expense report at [Duke@Work](#).
- b. Attach receipts as a single pdf file.
- c. Under “Cost Assignment” change the Cost Center number to 4510613 if you have NSOE advisor or 1510323 if you have a SSPP advisor. If you also have funds from the Graduate School or other sources, inform the DGSA when submitting the expense report.

## 9. Appendix 1: Example Program Timelines

### 9.1. Economics Concentration

#### Summer before Year 1

- Mathematics for Economists (ECON 700)
- Attend the Responsible Conduct of Research (RCR) fall orientation
- Meet with advisor(s) and DGS to discuss Year 1 courses

#### Year 1

##### *Semester 1*

- Political Economy of Public Policy (PPOL 901)
- Microeconomic Analysis I (ECON 701)
- Econometrics I (ECON 703)
- If required, enroll in English proficiency courses required by the Graduate School for certain international students
- Participate in UPEP Student Seminar (optional for year 1 students)

##### *Semester 2*

- Political Economy of Public Policy (PPOL 902)
- Microeconomic Analysis II (ECON 705)
- Econometrics II (ECON 707)
- Participate in UPEP Student Seminar (optional for year 1 students)

#### Summer after Year 1

- Students who do not receive a grade of B+ or higher in Microeconomic Analysis I or II take associated qualifying exam(s).
- Recommended: Engage in research as a research assistant
- Begin to form research agenda

#### Year 2

##### *Semester 3*

- Natural Resource Economics (ENV 829)
- Research methods course
- Additional field course
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant

##### *Semester 4*

- Environmental and Energy Economics (PUBPOL 910)
- Research methods course
- Additional field course
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant

### Summer after Year 2

- Engage in research as a research assistant
- Continue forming research agenda

### Year 3

#### *Semesters 5 and 6*

- Dissertation Proposal Seminar (PUBPOL 908 and 909)
- Complete any additional coursework recommended by committee
- At least two months in advance of Preliminary Examination, student and primary advisor make any necessary changes to Ph.D. Advisory Committee
- Write dissertation prospectus and attain dissertation status by end of third year by passing the doctoral Preliminary Exam (dissertation prospectus defense)
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant

### Years 4 and 5

#### *Semesters 7 - 10*

- Write dissertation
- Make any necessary changes to Ph.D. supervisory committee that will oversee the Final Examination (dissertation defense)
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant
- Undertake job search throughout year 5
- Final Examination

## **9.2. Political Science Concentration**

### Summer before Year 1

- Attend the Responsible Conduct of Research (RCR) fall orientation
- Meet with advisor(s) and DGS to discuss Year 1 courses

### Year 1

#### *Semester 1*

- Political Economy of Public Policy (PPOL 901)
- Research methods course
- Core theory course in political science
- If required, enroll in English proficiency courses required by the Graduate School for certain international students.
- Participate in UPEP Student Seminar (optional for year 1 students)

#### *Semester 2*

- Political Economy of Public Policy (PPOL 902)
- Core theory course in political science
- Research methods course

- Participate in UPEP Student Seminar (optional for year 1 students)

### Summer after Year 1

- Recommended: Engage in research as a research assistant
- Begin to form research agenda

### Year 2

#### *Semester 3*

- Environmental and Resource Economics course
- Core theory course in political science
- Global Environmental Politics (ENV 826)
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant

#### *Semester 4*

- Environmental and resource politics field course
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant
- Submit environmental politics qualifying paper proposal

### Summer after Year 2

- Political science field exam
- Work on environmental politics qualifying paper
- Continue forming research agenda

### Year 3

#### *Semesters 5 and 6*

- Submit environmental politics qualifying paper by September 30
- Dissertation Proposal Seminar (PUBPOL 908 and 909)
- Complete any additional coursework recommended by committee
- At least two months in advance of Preliminary Examination, student and primary advisor make any necessary changes to Ph.D. Advisory Committee
- Write dissertation prospectus and attain dissertation status by end of third year by passing the doctoral Preliminary Exam (dissertation prospectus defense)
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant

### Years 4 and 5

#### *Semesters 7 – 10*

- Write dissertation
- Make any necessary changes to Ph.D. supervisory committee that will oversee the Final Examination (dissertation defense)
- Participate in UPEP Student Seminar
- Engage in teaching as a teaching assistant or in research as a research assistant
- Undertake job search throughout year 5

- Final Examination