BROWN UNIVERSITY

GRADUATE REPRESENTATIVE HANDBOOK

Fourth edition

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I. Introduction

Graduate Representatives are those faculty members who handle all transactions between the graduate programs, graduate students, and the Graduate School. This Handbook attempts to answer some of the most commonly asked questions from Graduate Representatives about University and Graduate School policy and how to implement it. It also includes information about resources for coping with the myriad of problems that graduate students may face. In different graduate programs some of the responsibilities addressed here may be delegated to more than one faculty member. A general principle for the Graduate Representative to remember is that every official step in a graduate student's career requires written notification of the Graduate School and/or Registrar. Instructions on what paperwork to send and where to send it are in boxed paragraphs in this handbook.

Dean Michael Diffily is responsible for implementing recommendations for changes in students' status - leaves of absence or traveling scholar status, withdrawals, changes in degree program. Dean Michael Plater is responsible for minority affairs and recruiting. He also holds appointments as Associate Director of Corporate Relations in the Development Office and as Adjunct Associate Professor of American Civilization and Afro-American Studies. Dean Carla Hansen of the Student Life Office also serves part-time in the Graduate School. She addresses general issues of graduate student life, provides personal counseling to graduate students, and provides liaison with other counseling offices such as Student Life, Psychological Services, the Chaplain's office and Health Services. She also oversees the residential life program for graduate students in Miller Hall. Dean Joan Lusk has responsibility for the financial aid budgets, fellowships and tuition scholarships and is Secretary to the Graduate Council. Ms. Linda Gillette handles student loans and Ms. Barbara Bennett handles the submission of theses and dissertations.

II. Admissions

A. The goal

Ideally each graduate program would like to admit and matriculate the best applicants in sufficient numbers to be able to justify offering the courses that provide the best fundamental and advanced education, and to provide the faculty with as many advanced doctoral students as they want to supervise and can place in appropriate careers. Usually the impediments to achieving this goal are financial: we have relatively few fellowships to offer, and most are for the first year; funding for continuing students is primarily in the form of teaching assistantships, the number of which is set with regard only to the needs of undergraduate instruction; in the form of research assistantships, the number of which depends on faculty success in competing for grants and contracts; and in the form of proctorships, the number of which is limited by the amount of Federal College Work-Study money allocated to the Graduate School.

B. Permitted recruiting

The most effective recruiting technique is personal contact from faculty. It is permissible for the Graduate Representative or any faculty member to phone or write an applicant whose application seems particularly attractive, or whose interests seems particularly suited to Brown's program, or whose interests need clarification in order to reach a decision. Usually the impediments to achieving this goal are financial: we have relatively few fellowships to offer, and most are for the first year; funding for continuing students is primarily in the form of teaching assistantships, the number of which is set with regard only to the needs of undergraduate instruction; in the form of research assistantships, the number of which depends on faculty success in competing for grants and contracts; and in the form of proctorships, the number of which is limited by the amount of Federal College Work-Study money allocated to the Graduate School.
minimum for a teaching appointment was 575; 600 is a more realistic value, but one must bear in mind that the TOEFL does not directly test speaking ability. Since 1993 the standard for a teaching assistantship has been set by a panel evaluation or interview at Brown rather than by TOEFL score. Students whose native language is not English must pass a panel evaluation of their English before they may teach. Evaluations are performed by the program in English for International Teaching Assistants, which also teaches free, non-credit courses in pronunciation and the use of English in the classroom.

Departments may wish to copy parts of the applications of top applicants, to start a departmental file on each matriculating student and to retain information about the students' academic background and goals for the purpose of recruitment and later academic advising. Letters of recommendation, however, are not to be copied; they are meant for admission purposes only and are usually written in confidence. The Graduate School destroys letters of recommendation after the admission process is completed.

C. Limits on recruiting

All formal offers of admission come from the Graduate School in the form of a letter signed by the Dean of the Graduate School. Graduate Representatives and other faculty must be careful not to promise admission, but only to promise that the program will recommend admission to the Graduate School. Generally, the Graduate School accepts the program's recommendations; but there may be cases where the Graduate School intends to limit the number admitted or where the applicant's qualifications, particularly English proficiency, may be an issue. The Graduate School also will not admit an applicant without official transcripts of previous academic work, without an official TOEFL score, or without two of the requested three letters of recommendation - even though the program may be satisfied with fewer or less official documents.

Fellowships, teaching assistantships, proctorships and tuition scholarships are offered by the Graduate School, on recommendations from the graduate programs. No offers of financial aid from Graduate School funds can be made by the faculty or Graduate Representatives themselves. Departments can offer RA and fellowship support from their own funds, but admission itself is contingent on Graduate School approval.

Brown University subscribes to a policy (Appendix A) of the Council of Graduate Schools on a universal deadline of April 15 for responses to offers of admission. It is forbidden to pressure an applicant to respond to an offer before April 15. Nevertheless, it is permissible to ask an applicant to inform us as soon as his or her decision is made, so that we may make effective use of a waiting list for admission or financial aid. The same CGS policy requires that an applicant who has accepted an offer and then wishes to relinquish it must write to the Graduate School to be released from his or her commitment. Departments recommending offers of admission after April 15 should be aware that such offers are contingent on the applicant's obtaining a written release from any other graduate school whose over he or she may have accepted.

D. Privacy of applications

The Educational Privacy Act requires that applications be kept confidential. The information in the applications is to be seen only by the faculty admissions committees and support staff and used only for the purpose of admissions. Current students may not read applications.

E. The graduate admissions meeting in February

1. Admission of new students

After departmental decisions on admissions have been made, return the applications with a ranked list of those you want to admit. The Graduate School will have sent a memo in December informing you of the number of entering students we expect to support. Your
ranked list of applicants should be about 50% longer than the number that will need to be
admitted in order to enroll the intended class size, including applicants to be admitted
without support.

After the Graduate School has approved admission of student with departmental support,

send a copy of the department's letter offering the aid to the student to the Graduate School
so that the official letter of admission can refer to the department's aid.

2. Recommendation of financial aid for continuing students

Aid for continuing students is discussed at the same time as decisions to admit the next
entering class. The Graduate School in its December memo asks that each program send,
along with its recommendations for admission, a ranked list of continuing students and a
tentative assignment of how they are to be supported in the coming year. That assignment
should be realistic in terms of the number of TAships, RAships, proctorships and tuition
scholarships have traditionally been available and can reasonably be expected in the future,
and realistic in its assessment that the students will receive external fellowships for which
they should have applied. When students have applied for external fellowships that will not
pay tuition, the Graduate Representative should bring the possible need for tuition
scholarships to the attention of the Graduate School. Students whose native language is not
English must have been certified to teach by the program in English for International
Teaching Assistants before they can accept a teaching appointment.

III. Degree programs

A. Special students

"Special students" are not candidates for any degree. They are billed by the course rather
than by the full semester. They are admitted for a limited time period, a semester or a year,
after which they might be admitted to a degree program. Some ("post-baccalaureate special
students") are admitted through the Office of Special Studies (Brown Learning
Community), which negotiates a place for them in specific classes without involving the
admission committees of graduate programs.

The Graduate School admits two kinds of Special Student, "probationary" and regular, upon
the recommendation of a graduate program. Probationary special student status is
appropriate for applicants who seem at high risk, particularly because of non-traditional
academic background. If a probationary special student is subsequently admitted to a
degree program, his or her transcript will not reveal the former probationary status. Regular
special students may also be admitted to a degree program, but their transcripts report on
their initial "special" status. In either case, a special student who is subsequently admitted
as a degree candidate will be given a new graduate ID number and the records will be
merged. Course work done as a special student of any type (except undergraduate) may be
counted toward graduate degrees with the approval of the graduate program.

Graduate special students enrolled for at least two courses per semester are eligible for
student loans, while post-baccalaureate special students are not.

B. Master's degree programs

Masters-only students need to be more aware of the course and tuition requirements for
their degree than doctoral students, since they are usually paying for their tuition and do not
want to be billed for more courses than are required. [See sections on the relationship
between academic credit and tuition credit and on part-time status.]

When a graduate program oversees more than one master's degree – AM, ScM, MPH,
MFA - or degrees in two different fields - the Graduate Representative must notify the
Graduate School (Dean Diffily) if the student's degree program needs to be changed.
C. Integrated bachelor's-master's degrees

Brown undergraduates may apply to enter an integrated program leading to the Master's degree two semesters after the Bachelor's. Two courses taken as an undergraduate but not counted toward the undergraduate concentration may be counted toward the Master's, leaving six courses to be taken in the postgraduate year and only six tuition units to be paid for the usual eight-course degree.

To admit a student to the Integrated Master's program, the Graduate Representative endorses the student's proposed curriculum on the application form (Appendix B) and the student forwards the application form together with an abbreviated Graduate School application, the undergraduate concentration form, internal academic record, and two letters of recommendation, to the Graduate School (Dean Diffily). The Graduate School then sends the completed application to the department for a recommendation on admission.

The deadline for applying is the third week of the student's penultimate undergraduate semester.

The Division of Engineering has established a standard integrated master's program and has established its own forms and application procedures, forwarding its recommendations of admission to the Graduate School with an indication of which two courses are to be transferred from the undergraduate years to the master's program. Other graduate programs are welcome to develop standard programs as well.

D. Combined bachelor's-master's degree

In contrast to the integrated program, the combined degree program leads to the simultaneous awarding of both degrees after eight or ten semesters. The student is never formally enrolled in the Graduate School. Application forms are available through the office of the Dean of the College (Dean Donovan) and admission is handled through the Committee on Academic Standing, in conjunction with the Graduate School (Dean Diffily). The Registrar’s Office can provide a document containing guidelines and instructions for applying.

E. Masters and PhD

The Graduate School admits doctoral students who have not already earned master's degrees in the same field to study for both the master's and PhD at Brown. Because many students want to take the master's degree en route to the PhD, having admitted them to both degree programs saves the paperwork that would otherwise be required. Occasionally a student does not want the transcript to state that his or her immediate academic objective is the master's and is not interested in taking the master's degree; in that case you may recommend to the Graduate School that the degree program be changed to PhD only.

Sometimes a student enrolled for the master's and PhD decides to leave with the master's. In that case, you should send a memo to the Graduate School (Dean Diffily) recommending that the degree program be changed to the AM or ScM only.

F. Second master's degrees

Doctoral students may earn a second master's degree from Brown in a field related to the PhD, without additional charge for tuition. Requirements for the master's in the field of the PhD and in the related field must be separately met; no courses or theses may be counted for more than one master's degree.

Approval of the Graduate Representatives of both graduate programs is required on the form to be submitted to the Graduate School (Dean Diffily) (Appendix B).
G. PhD only

Students who enter with master's degrees in the same field are admitted for the doctorate only. Sometimes, however, the field of the previous master's degree was different enough that the student wants a second master's from Brown. Sometimes, also, the student has completed the degree requirements for a master's from Brown and does not intend to complete the PhD. The Graduate Council has ruled that such students may have their degree programs changed to include the master's degree.

H. PhD in Special Studies

After at least one year in residence, a graduate student who finds that he or she cannot reach his or her academic goals within the structure of an existing graduate program may propose an individualized program to the Graduate Council. See Appendix A for guidelines. All potential paths for remaining in an existing program should be explored first, including setting up a dissertation committee that includes faculty from outside of the home department or outside of Brown. Students whose goals cannot be accommodated within their original program should be advised to see Dean Lusk.

I. Paperwork for changes in degree program

| Send a memo to the Graduate School (Dean Diffily) asking for the change. Particularly when the change reflects the dropping of a degree program, include a statement from the student requesting or consenting to the change. |

IV. Suggested Schedule of Advising

A. Semester I

Each entering student needs to be placed into the available courses that are most appropriate to the requirements of the program and to the student's personal goals. Those goals may have changed since the student applied, almost a year previously, and care should be taken to see that each student enrolls in the most appropriate courses. Any gaps in preparation should be filled as soon as possible. Courses essential for passing departmental exams should be taken, and plans for meeting language requirements must be begun. Sometimes it is clear to a student after only a few meetings of a course that the course is at the wrong level or its content is not what was expected. Students should be encouraged to seek advice after the first week of classes and revise their registrations appropriately, if necessary. If a student shows any deficiencies at the end of the semester, he or she needs to be told what to do in order to be allowed to continue or to receive financial support for the second year.

B. Semester II

The Graduate Representative should report to each student, preferably in writing before the second semester begins, on his or her first semester's progress and the faculty's expectations for progress in the second semester. Plans for second semester courses may need revision. Later in the semester, students need to be told how they stand with respect to funding for the second year. Not knowing whether they can expect financial aid can be a distracting emotional burden for many students.

C. Semester III

The Graduate Council has ruled that each student should be advised, no later than the end of the third semester, whether he or she should proceed towards the PhD, plan to stop with the master's degree, or plan to leave without a degree.
V. Satisfactory progress

A. Graduate School guidelines

The Graduate Council has declared that students in their first two years who are allowed to register for courses are in good academic standing. There is no category of "academic warning" or "serious warning" for graduate students, but the Council has set standards for satisfactory progress. Requirements for the Master's degree should be met within two years (University regulations state that requirements should normally be met within five years, but that rate of progress is not satisfactory for a student whose goal is the PhD.) Prelims should be passed by the end of the fifth semester (although the Council recognizes that, particularly when several foreign languages must be mastered, the sixth semester may be a realistic goal.) The dissertation should be completed by the end of the sixth year; if it is not completed by five years after achieving candidacy, the student must petition the department and Graduate School for an extension of candidacy. If the dissertation is not completed by the end of seven years after prelims, the student must petition the department and the Graduate Council.

Appropriate justification for extensions of candidacy must be provided by the student and supported in writing by the department or program. The Graduate Council resolution on extensions is quoted in Appendix A. A form for requesting extension of candidacy is in Appendix B.

B. Notification of the student

Each student should be notified in writing at least once a year of his or her academic standing. If progress has not been satisfactory, the student should be told what must be done and given deadlines to regain good standing. Written warning should be given a semester in advance of any termination of financial support or dismissal from the program.

VI. Course work

A. Tuition credit versus academic credit

The two kinds of credit are only loosely coupled. Academic credit requires that tuition be paid, i.e., tuition credit is required for academic credit to be earned. The converse is not true; tuition credit stands even if the student fails the course, or even if the student did not register for as many courses as were paid for. Full-time students are billed for four courses (three if they hold work appointments) even if they register for fewer, until the 24-course residency requirement for the PhD has been met.

After a doctoral student has met the residency requirement of 24 tuition units, only the enrollment fee is charged, even though the student might enroll in additional formal course work and earn academic credit.

B. Grading standards

The Graduate School and Graduate Council have set no more specific standards for the grades that graduate students must achieve than that implied by the grading scale itself: a "C" is a passing grade. Many graduate programs, however, have set more demanding standards, most commonly requiring a B average, or grades of B or better in specified courses. Students need to be aware of the standards they must meet; such standards should be explicitly stated in each departmental handbook for students. Grades of A or B should not be given for sub-standard work. If a student’s performance is poor enough that he will we asked to leave the program, his grades should have indicated that fact.

C. Grade options

Some programs restrict graduate courses to the S/NC grade option, while others insist that all graduate courses be taken for a grade of ABC/NC. Since the Registrar does not allow
professors to restrict the grade option to ABC/NC for all students, students must be advised to register for that option when necessary. Similarly, a professor who does not intend to grade more precisely than S/NC should restrict the grade option of the course (Graduate Council approval required) or clearly advise the students to register for S/NC. Change of a grade option after the deadline is not impossible but requires a dean's permission and is to be discouraged.

**D. Graduate credit**

Courses numbered less than 100 do not normally carry graduate credit, but with permission of the instructor, a graduate student may do extra work to earn credit towards a graduate degree. It is essential that the student who makes such an arrangement to register in the course for credit type "E" (for "Extra"). The tuition credit for undergraduate courses automatically counts towards the tuition needed for the graduate degree. Since PhD programs normally do not require 24 academic credits, allowing a doctoral student to take an undergraduate course without earning graduate academic credit does not present a problem. But Master's students who do not want to take or pay for more than then minimum number of courses required should be counseled to make arrangements for graduate credit when a nominally undergraduate course is an appropriate part of their program.

**E. Summer courses**

Graduate students may register for one or two independent study or research courses in the summer, by special arrangement with the instructor, and be charged at the rate of one tuition unit per course. Most students simply study and do research without registering or being charged, but occasionally a student would prefer to complete all the formal course requirements for a degree over the summer and not have to register in the fall.

Since 1997, courses in the Brown Summer Session are open to graduate students. If the graduate student wants graduate credit for a Summer Session course to count towards the residency requirement for a degree, he must obtain the approval of his graduate program and the Dean of the Graduate School; regular tuition will then be charged rather than the undergraduate summer fee. The ordinary restrictions on graduate credit for courses numbered under 100 apply (item D above). The relevant section of the Faculty Rules is quoted in Appendix A.

In recent years the Graduate School has subsidized summer courses designed to prepare graduate students to meet requirements for a reading knowledge of French or German. Students are not charged a fee for these courses, which carry no academic credit. The assessment of language skills is left to the graduate program faculty.

**F. Deadlines**

Graduate students are subject to the Registrar's deadlines for changing course registrations as published each year in the Course Announcement Bulletin. Encourage them to look at the reports that the Registrar sends early each semester and to make any necessary changes. Changes after the deadlines are possible with a Dean's signature, but are to be avoided. Changing a grade option to S/NC in order to avoid a low grade is particularly discouraged and may well not be allowed.

**G. Grades of INC (incompletes)**

Graduate students may (and do) request grades of Incomplete. They should be aware, however, that failure to complete courses on time can lower their standing in the eyes of the faculty and jeopardize their funding. The Graduate School may delay approval of a teaching appointment or other funding until course work has been completed. An instructor may allow a student to complete course work after the normal deadline, but after one year, the permission of a Dean is required for a grade to be given.
VII. Language requirements

Each program determines its own foreign language requirements, if any; changes in those requirements need the approval of the Graduate Council. Each program sets the criteria for passing its requirement, whether by previous course work, passing a course at Brown, or a departmental exam. The Educational Testing Service has discontinued use of the former Graduate Student Foreign Language Tests.

| Send a memo to the Registrar (or use the form in Appendix B) indicating what language has been passed and the date; the dates of satisfying language proficiency requirements are printed on transcripts. |

VIII. Transfer credit

Transfer of academic credit carries with it tuition credit, and thus can spare a student unneeded expense. It also spares the Graduate School's tuition scholarship budgets tuition for RA's, TA's and other students. Students can be reluctant to transfer credit, however, if departmental policy is to support them only as long as they still owe tuition. Departments should develop a policy to support students for a specified number of years, and avoid having so many students that the choice of whom to support is made on financial rather than academic grounds.

A. Limits

Each Brown course is worth 4 semester-hours. Pro-rating other academic systems can be complicated; it is often simplest to think in terms of a full academic year as worth 8 Brown course credits.

Work done while the student was an undergraduate cannot be transferred for graduate credit, no matter how advanced it was. The student may of course be placed into courses at an appropriately advanced level.

Only one post-graduate course may be transferred to an 8-course master's program, and that course may not have been used to fulfill the requirements for any other degree. Two courses may be transferred to a 12-course master's degree.

Up to 8 courses may be transferred to a doctoral program, and those courses may have been used for a master's degree elsewhere, but not for another doctoral degree.

B. Transfer credit for research

Students who have not otherwise reached their limit of transfer credit may be able to get transfer credit for research done away from Brown. When there is no transcript to show that the student was effectively engaged in full-time study or research, other evidence can suffice. Proof of holding a fellowship such as a Fulbright and/or letters from libraries or archives can make the case. A Dean's signature will be required in order for the Registrar to accept transfer of credits for which there is no transcript.

Forms for the transfer of credit come from the Registrar's office and need the signature of the Graduate Representative. They are returned to the Registrar's office. Only when the request is not justified by a transcript or when it is desired to round up semester-hours to the next higher multiple of 4 does the request need the approval of the Graduate School (Dean Diffily).

IX. Registration at other Universities

In addition to the transfer of credit earned at other Universities, there are two ways for students to earn credit for work done elsewhere without formally transferring it: cross-registration (available only at Harvard) and registration in the Exchange Scholar Program.
A. Cross-registration at Harvard

There is a long-standing agreement between Harvard and Brown to allow cross-registration of graduate students in courses without paying tuition to the host institution. The student should get the appropriate forms from either Registrar's office and obtain the signatures of the Graduate Representatives of each graduate program and a dean from each Graduate School (Dean Diffily). If the student wants to take an entire semester's course work at Harvard, he or she should enroll in the Exchange Scholar program (see below).

B. Exchange Scholar Program

The graduate schools of Berkeley, Brown, Chicago, Columbia, Cornell, Harvard, MIT, Penn, Princeton, Stanford and Yale have agreed to admit each others' students for one year of study, where appropriate, without charging tuition; the student must pay the prevailing tuition for full enrollment at his or her home institution and remains an active student at the home institution while studying as a special student at the host institution. The host institution will charge for student health services if that is not included as part of tuition; and the student may purchase either school's student health insurance. Students who find Brown's library inadequate for their specialty or who would like to work with a professor at one of the other institutions may benefit from the Exchange Scholar Program. Those with external fellowships can continue that support away from Brown; quite a few have held TA positions at Brown while studying in Cambridge. The program has also benefited students whose advisors are spending a sabbatical or have taken a new position at one of the other institutions.

Application forms are available in the Graduate School (Dean Diffily) and online at [http://www.upenn.edu/grad/exchange.html](http://www.upenn.edu/grad/exchange.html).

X. Choosing a Dissertation Advisor and/or Committee for Preliminary Examination

Each program should make clear in its Handbook how students go about selecting their dissertation advisors and/or committees, and set a timetable for doing so. Programs should be structured so that each student always has an advisor; leaving a gap between advice from the Graduate Representative and advice from the preliminary examination committee and/or dissertation advisor tends to prolong time to degree and increase attrition.

XI. Admission to Candidacy

Admission to doctoral candidacy is the University's only formal requirement for the PhD before the dissertation. To be admitted, the student must have passed all other departmental requirements, usually including courses, language proficiency, and one or more written or oral examinations (prelims). Each program's Handbook should clearly explain what the requirements are, how they may be met, and set a timetable or deadlines for meeting them. Most programs allow a second attempt at all or part of the preliminary exams. The program’s handbook should state clear standards for allowing the exam to be retaken and a reasonable time frame for a second attempt. It is useful to give students’ access to copies of past exams; knowing what kinds of questions to expect allows better preparation. If the exams are tailored to each student’s specific interests, the scope in each case should be clear to the examiners and the student.

The Graduate Representative must notify the Registrar and the Graduate School (Dean Diffily) when a student is admitted to candidacy, by memo or using the form in Appendix B. The date of admission is printed on the student's transcript, and the fact that he or she has been admitted is usually required on applications for funding for dissertations.
XII. Extension of Candidacy

It is University policy that the dissertation should be completed within five years of achieving candidacy. Nevertheless, students often require more time, and in cases where the faculty believes the student will finish and accepts the reasons for delay, candidacy may be extended. Annually the Graduate School will remind active students whose candidacy is about to expire that they must write to their Graduate Representative, explain why they are taking so long, and request an extension if they intend to finish. Extensions to 7 years may be granted by the Graduate School (Dean Lusk); extensions longer than 7 years require a vote of the Graduate Council. See Graduate Council resolution, Appendix A.

The Graduate Representative must request any extension of candidacy from the Graduate School (Dean Lusk), by memo or using the form in Appendix B. Note that the student must write to justify the extension. Any extension must be to a specific date mentioned in the request.

XIII. Leaves of Absence

Leaves are granted for employment, for educational reasons, for medical or psychological reasons, and for personal reasons. Granting a leave implies that the program will be willing to readmit the student, sometimes only if certain conditions are met; any such conditions should be put in writing and clearly understood by all parties. Students on leave do not have access to the library or other facilities; but if they are alumni (such as Master's degree holders) they may use the library under that status. Borrowing privileges may also be purchased for a nominal fee. (Ask at the circulation desk at the Rockefeller Library.) Leaves are granted for one semester or one year, and may be extended for a second year.

Students who will be doing research away from Brown and who need to maintain active student status should ask to be traveling scholars (see below).

The student may use a standard form to request a leave, or may write a letter to the Graduate Representative. The Graduate Representative should sign the form or letter to indicate approval and forward it to the Graduate School (Dean Diffily). Failure to inform the Graduate School means that the student will still be considered active and will be billed for tuition.

To extend a leave of absence, the student should write to the Graduate Representative and he or she should forward the approved request to the Graduate School (Dean Diffily).

XIV. Readmission

Readmission of a student from a leave of absence does not require a complete formal application, unless the student has been withdrawn so long as to be forgotten and/or the department faculty request a new application.

Readmission from a medical or psychological leave requires that the student's doctor write to the doctor at Health Services or Psychological Services as appropriate, to attest that the student is able to resume studies. The Graduate School will ensure that such communication occurs.

When a student asks to be readmitted after a long absence, it is worthwhile to discuss several issues with him or her. Is there any chance of financial aid or does the student expect to pay his or her own way? Does the student have a clear understanding of the next step to be taken in the graduate program (classes, prelims, dissertation prospectus, finishing the dissertation) and is he or she ready to undertake that step? Has the student stayed in touch with the dissertation advisor? Have the student's five years of PhD candidacy expired? See Extension of Candidacy. If the student has essentially completed the dissertation while on leave, readmission may not be necessary; see Filing Fee.
The student should write to the department requesting readmission and the Graduate Representative should endorse and forward the request to the Graduate School (Dean Diffily).

XV. Traveling Scholar

Traveling scholars are active students in absentia, doing research full-time away from Brown. Full-time research is not compatible with full-time employment but given that TA’s are full-time students there is room for some remunerative work. Similarly, "away from Brown" is not precisely defined. Boston is clearly far enough. The deciding factor for ambiguous cases is that the student must not be using the facilities on campus. There is a two-year limit on traveling scholar status.

Full-time active status as a traveling scholar entitles the student to take out student loans and continue existing loan deferrals. There is a charge of $100 per semester. Traveling scholars are covered by student health insurance, like all other active students, and must file the waiver card with Risk Management if they have alternative insurance. A student without loans who does not need health insurance may be advised to take a leave of absence (see above) rather than become a traveling scholar; but access to some research facilities may be made easier by remaining an active Brown student as a traveling scholar.

After traveling scholar status has expired, the student remains an active student and will be billed for tuition or the enrollment fee, unless he or she takes a leave of absence, completes the degree, or withdraws.

The student may use the standard form (see Appendix B) or write a letter, which the Graduate Representative endorses and sends to the Graduate School (Dean Diffily). On the form or letter the student must describe what he or she plans to be doing and where he or she will be.

XVI. Part-time Status

With the approval of the Graduate Representative it is possible to study for any degree on a part-time basis. Enrollment in fewer than four courses per semester does not in itself make a student part-time, however; the Graduate Representative must also tell the Graduate School (Dean Diffily). Without a formal change to part-time status, the student will be billed for four courses even if he or she is enrolled in fewer.

Three courses per semester is considered full-time enrollment and normally incurs a bill for full four-course tuition. There are two ways to bill for only three courses: the student can be made part-time, or the Graduate Representative may ask that the student retain full-time status but be billed for three courses because that is an academically appropriate course load. (The most common reason for a three-course load is the need for an international student to spend time on English.) Students whose financial aid covers tuition for only three courses are considered full-time, but the Graduate School arranges that they are billed for only three courses, without any request from the Graduate Representative.

A. Financial implications

Half-time (two courses per semester) is usually enough to maintain eligibility for student loan deferrals, but students should be encouraged to check the fine print of their specific loan agreements before relinquishing full-time status.

The student should request part-time status and the Graduate Representative endorse the request and forward it to the Graduate School (Dean Diffily).
XVII. Submission of Dissertations and Theses

Deadlines and Extensions

The deadline for submission of a dissertation or thesis in time to receive a degree at Commencement is May 1. An extension of this deadline to May 15 is possible upon written request from the dissertation advisor to the Graduate School (Barbara Bennett) before April 24.

Registration in semester I allows a student to submit a dissertation or thesis until the start of classes in the Spring. Registration in semester II allows a student to submit a dissertation or thesis until the start of classes in the following Fall. Extensions of these deadlines for one month into the new semester, e.g. September 5 to October 5, are possible upon upon written request from the dissertation advisor to the Graduate School (Barbara Bennett) one week before the start of the new semester. If the student does not submit the dissertation or thesis before the extension expires, he or she must register and pay tuition or request a leave of absence or traveling scholar status.

See Appendix B for a request form for extensions for filing the dissertation.

Filing Fee

A student who has completed a thesis or dissertation while away from Brown, on leave, as a traveling scholar or withdrawn, may be eligible to defend and submit it without re-enrolling or paying tuition. All other academic and tuition requirements must have been met, and the student cannot be receiving financial support from Brown. The filing fee is $150, and can only be invoked once per degree, when the thesis or dissertation is actually submitted.

The filing fee is much less expensive than re-enrolling, but a student who needs access to the library, computer, or other facilities must re-enroll and pay tuition or the enrollment fee. Filing fee status also does not make a student eligible for deferral of student loans.

The student should speak to Barbara Bennett in the Graduate School to be approved for the filing fee in the semester he or she intends to submit the thesis or dissertation.

XIII. Changes to the curriculum

The Graduate Council meets once each month to consider proposed changes and to review existing graduate programs. Anyone intending to bring a proposal before the Council is welcome to discuss it first with Dean Lusk.

A. New or revised graduate programs

All new programs and any significant revisions must be approved by the Graduate Council, which can recommend them to the Faculty as a whole and to the Corporation. When a new program will require new financial resources, the Academic Council also must approve before the program can be brought before the Faculty. The same proposal can be pursued with both the Academic Council and the Graduate Council, from the financial and curricular points of views. New graduate programs that also affect the College or the Medical School must also be gain the approval of the Faculty Committee on Educational Legislation.

Generally, revisions substantial enough to appear in the Course Announcement Bulletin, such as changes in the number of required courses, language requirements, or thesis requirements would need Graduate Council approval. Changes in matters internal to the program, for example in the format of prelims or in the mechanism for forming an advisory committee, would not need to be brought before the Council. A copy of each revised student handbook should be sent to the Graduate School.
B. New graduate courses

| The Graduate Council must approve any new or drastically revised graduate courses. Forms are available from Dean Lusk's office and in Appendix B. |

New topics in a special topics course or in a course entitled “Studies in …..” do not need individual approval from the Graduate Council.

XX. Financial Aid

A. Work appointments

Teaching, research and proctorship appointments are made on the recommendation of the department. They normally cover up to 3/4 of full tuition. Students holding these appointments are considered full-time students. The work they perform should not require an average of more than 20 hours per week for a reasonably well-prepared and efficient person to carry out. Double work appointments are not allowed. In an emergency, a graduate student may take a leave of absence to be appointed a Teaching Associate, or analogous title if research is involved. The Office of the Dean of the Faculty handles Teaching Associates, a rank reserved for people who are not registered students at Brown. Payment is made from the budget of the department or grant or contract. When the work of a research assistant is his or her own research for the dissertation, however, the 20-hour limit does not apply.

The Graduate Council has ruled (December 11, 1984) that holders of fellowships granted by the university will not be permitted to hold any other working appointment within or outside of the university, except that a small amount of extra work can be done with the permission of the Graduate School. Such permission for each individual case should be requested by sending a memo to Dean Lusk and stating the nature of the work and the amount of time involved.

B. Internal fellowships, dissertation fellowships

Fellowships are primarily available for first-year students and dissertation-level students. First-year Fellows normally receive full tuition, covering eight courses in the year, and dissertation fellows receive the enrollment fee. Recently the Graduate School has also funded some exceptional "Research Fellows," who receive three tuition units per semester. Note the limitation in Section XX A above on work appointments for holders of internal fellowships.

Dissertation fellowships are funded primarily from endowment income and awarded on a competitive basis. Programs are invited annually to nominate a few of their strongest students who are ready to write the dissertation. Nominees should have completed the 24 tuition unit residency requirement by the following September, should have passed prelims (been advanced to candidacy) and should have an approved dissertation proposal. Students in their fifth or sixth year of study are the usually the most appropriate for these fellowships, though there may be justifiable cases of faster or slower progress. Selection of the nominees should be a departmental process, so that all students at the dissertation stage are considered.

Appendix B contains a nomination form for dissertation fellowships. A cover letter inviting nominations will be sent each year with specific deadlines. The faculty members of the Graduate Council serve as the selection committee for dissertation fellowships, subject to the availability of funds.

C. External fellowships

Students should be encouraged to apply for external funding whenever possible. The Graduate School links to a web site at the University of Illinois
that lists several hundred opportunities. Information received in hard copy is kept on file at the Graduate School. The Office of Research Administration provides access to a much larger database (SPIN). Any member of Brown University - faculty, staff, and students - can run a SPIN search. The link to the SPIN database is available from the ORA homepage at http://www.brown.edu/Administration/Research_Administration/ under ‘Funding Opportunities and Deadlines.’

For more information or assistance running a search, call Dorinda Williams at x31803.

D. Student loans

Linda Gillette (x3184) in the Graduate School processes federal loans for graduate students. Students may be eligible for up to $8500 in federally subsidized Direct loans each academic year. Unsubsidized loans are also available. The Free Application for Federal Student Aid (FAFSA) determines eligibility for Direct loans and must be completed for processing of loans. All necessary application materials are available upon request from Linda Gillette. A Griffin Memorial Short term loan of up to $200 may be available to help students in an emergency by contacting Ms. Gillette.

E. Graduate student travel fund

Limited funds are available to help defray travel expenses for graduate students presenting papers at recognized professional conferences. The maximum award will be $500 and grants will be provided until the fund is exhausted. Students must submit the Graduate Student Travel Fund Expense Report (see Appendix B or available in the Graduate School) to Dean Diffily's office within two weeks of returning from the conference. The department chair must sign the form and, by so doing, certifies that a) the student will use the travel grant specifically to defray expenses related to the student's presentation of a paper at a recognized professional conference, and b) the department has provided the maximum amount of support it can toward the student's travel expenses. No funds will be disbursed until evidence that the student has presented a paper has been provided to the Graduate School. Students must submit all relevant receipts along with the Expense Report showing actual expenses. While funds are available, the Graduate School will try to arrange for reimbursement within two weeks. During the summer or at busy times the process may take longer.

XXI. Tuition Incentive Plan

Beginning with the 1995-96 academic year, departments have had an incentive to bring tuition income into the university. Each Spring, each graduate program will be given a target for external tuition income to be paid by its students. In addition to cash from the students' own resources, external tuition comes from some external fellowships; from foreign governments and from industries that pay tuition for their citizens or employees; and from research grants for part of RA's tuition. In the following Spring, when it is clear how all the tuition for enrolled students is being paid for the academic year, the amount of external tuition will be compared to the target. If a graduate program has exceeded its target, the faculty may elect one of two options: A) tuition (and health fee) scholarships in the following year for all continuing students in years 2 through 6 of their studies or B) 33% of the tuition income in excess of the target as a cash rebate to be spent on the graduate program or directly on students. There is no penalty for failing to meet the target.

Funds to provide cash rebates will come from external graduate tuition income in excess of 240 tuition units per year for the whole Graduate School. Positive and negative balances will carry forward from year to year. If funds are insufficient to cover all requests, rebates will be pro-rated; no cash rebates will be given if no funds are available.
A. **Tuition scholarships** Each student for whom a graduate program wishes to request a scholarship under the plan must fill out a "Nomination for Tuition/Enrollment Fee Scholarship" (see appendix B) and write a brief summary of his or her plans for academic progress during the next academic year. The Graduate Representative shall collect these forms, sign them to indicate the student's satisfactory progress to date and satisfactory plans for the future, and submit them to Dean Lusk.

B. **Cash rebate** Graduate programs preferring to take a cash rebate of 33% of the tuition income in excess of their targets will have that money put into a departmental "Graduate Reserve Account." Graduate Reserve Accounts will work like Research Reserve Accounts. Unspent money in them can be carried forward, but will be capped at the level of five full academic-year graduate stipends (at the approved rate for the program). To spend the money it must be transferred from the Graduate Reserve into the program's 2-ledger account. Transfers will need approval from the Graduate School. Expenditures will be limited to expenses related to the graduate program (e.g. stipends, travel or research expenses, tuition/enrollment fees, etc.).

[The Graduate School has never met its overall target of 240 tuition units, so no cash rebates have been given. Those few programs that have met their individual targets have used the promised tuition scholarships. ]

XXII. **Commencement**

Only students who are graduating may march in the Graduate School ceremony. The College allows undergraduates who are almost finished with their baccalaureate degrees to march with their class, but the Graduate School insists that degree requirements be complete. At the Graduate School ceremony, diplomas are handed out to master’s and PhD graduates in alphabetical order. Having students in line who are not receiving diplomas would create chaos. The only exception to this rule is that if a diploma is withheld for financial reasons, because the student has not paid all his bills from Brown, that student may march, hear his name read, and receive a blank piece of paper instead of the diploma. Departments are free to include students who are almost finished in their departmental ceremonies. Particularly when families have arranged to attend in expectation that the student will graduate, it is desirable to recognize the student.

After degree requirements are complete but before the next Commencement, a student may request a Certificate of Completion from the Registrar’s office. This document satisfies potential employers that the student has completed all degree requirements.
Appendix A: Official Regulations

A. Faculty Rules and Regulations

1. Charge to the Graduate Council (FRR Part 1 Section 2.IV.C.)

   The Faculty delegates certain of its powers with respect to Graduate Education to the Graduate Council. The duties of the Graduate Council are:
   a. to set policy for the Graduate School subject to the approval of the Faculty and the Board of Fellows, such policy to include the conditions for admission to the Graduate School and the procedures for the award of graduate fellowships and scholarships;
   b. to approve degree requirements;
   c. to approve new courses and other modifications of existing degree programs; and to approve and recommend to the Faculty new degree programs;
   d. to review graduate programs periodically, but at least once every five years, in consultation with the departments; and
   e. to make annual reports to the Faculty of its activities during the preceding year.

2. Summer Program (FRR Part 2 Section 5.x.)

   A. Course Credit

   Graduate students may count no more than two Brown Summer Session courses toward academic requirements for advanced degrees. Each course counted must be approved by the student's graduate program. Such courses must be at the 100-level or above for graduate credit, or the student must have registered for extra work for graduate credit (credit type "E") with the instructor's permission, as for courses given during the academic year.

   B. Tuition Credit

   Graduate students may receive tuition credit towards the residency requirement for advanced degrees upon payment of a tuition unit for each course instead of the course fee charge, subject to the approval of their graduate program and the Dean of the Graduate School.

3. Graduate Student Grievance Procedures (FRR Part 4 Section 10.II.A.)

   1. Mediation:

      a. Every graduate student is entitled to a fair and prompt hearing of grievances in accordance with the procedure described below under the heading "Grievance Procedure." Before invoking this procedure, however, a student who believes himself or herself to be aggrieved must first attempt to resolve the difficulty through discussion with the other person or persons involved.

      b. If no resolution can be effected by direct discussion, and the student wishes to pursue the matter further, he or she must then address the Graduate Representative or the Chair (at the student's choice) of the appropriate department, with the aim of securing clarification and advice. The Graduate Representative or the Chair shall, when thus addressed, discuss the matter informally with the several parties and attempt to resolve it by mediation.

      c. He or she shall also prepare a memorandum outlining the problem, the steps taken, and the proposed resolution. Copies of the memorandum shall be given to all persons involved.
d. If a mutually satisfactory solution is not achieved by mediation, and the student wishes to pursue the matter further, then the Graduate Representative shall make a determination as to whether the question at issue is or is not departmental in nature.

e. If it is determined to be departmental, the student may then file a written request for a review with the Chair of the department (see below); if not, no further action is taken at the departmental level.

f. A student who disagrees with such a determination may appeal it to the Dean of the Graduate School, whose decision shall be final.

g. And a student who has been unable to resolve a nondepartmental question by personal effort, may also make appeal to the Dean of the Graduate School, in this case with a view to securing advice and direction.

2. Grievance Procedure:

a. If an unresolved grievance has been determined to be departmental, and the student wishes to pursue the matter further, he or she must, within a reasonable period of time file a written appeal with the Chair of the appropriate department. This appeal must ask for review of the question and must specify the injury alleged, the reasons for the student’s belief that he or she is aggrieved, and the remedy sought.

b. The Chair, within a reasonable period of time after receiving an appeal, shall refer it, depending on its nature, either to a committee of review or to the departmental Faculty (see the following paragraphs). A student who believes that any procedure outlined in this section has not been carried out within a reasonable period of time may appeal to the Dean of the Graduate School for a determination of this allegation.

c. If the grievance involves any question except that of a change in the degree for which the student is enrolled, it shall be referred to a committee of review, to be named by the Chair, which committee must include the Chair (unless he or she is the object of the appeal), and at least two other Faculty members, and at least one graduate student member; when the exercise of academic judgment is required, the student member or members shall be non-voting.

d. As expeditiously as possible, this committee of review shall hear the student, consider the evidence, confer with other persons concerned, and prepare a comprehensive report of findings and a majority vote of the members. It shall be the Chair’s duty to carry out, so far as may be, the directions of the committee for the resolution of the appeal. A memorandum of what was done shall be prepared for the official record, either by the Chair or by a designated member of the committee, and a copy given to the student.

e. If the grievance involves the question of a change in the degree for which the student is enrolled, it shall be referred to the regular Faculty of the body to present his or her case, and may request the support of such witnesses or advisers as are deemed necessary by the student and the presiding officer. At the invitation of anyone personally involved in the appeal, the Dean of the Graduate School may at his or her discretion appoint members of the Graduate Council to act as observers. If a student’s record is to be discussed in the presence of people other than officers of the University, the student must supply such waivers and take such steps as are necessary to satisfy the provisions of the Family Educational Rights and Privacy Act when the subject-matter requires confidential treatment.

f. Minutes consisting of a summary of the proceedings of the appeal shall be kept, and copies supplied to the student and the Dean of the Graduate School. Decisions
shall be by simple vote of the majority and shall be taken in a closed session; they shall be made known in writing to the student by the Chair of the department as soon as possible after a decision has been reached.

g. Subsequent appeal of the decisions of the committee of review or of the Faculty of the department may be made to the Graduate Council on the ground that the grievance was not given an impartial and proper hearing. The Council shall consider such an allegation within a reasonable period of time after receiving it. If the Council determines that the student's complaint is justified, it shall ask to have the matter reconsidered by the department, itself monitoring, if necessary, the procedure.

Definitions and general provisions:

(a) Whenever the word "department" is employed herein, it shall be understood to include Divisions and Programs where applicable.

(b) Whenever the word "Chair" is employed herein, it shall be understood to include Divisional Deans and Program Directors where applicable.

(c) Whenever a Chair or a Graduate Representative is the object of an appeal, he or she should step aside and request the department to name a locum tenens.

(d) When an appeal is made in a department which by reason of insufficient number of available Faculty finds that it cannot carry on the described procedure, this circumstance shall be made known by the Chair to the Executive Committee of the Graduate Council, which shall devise a special procedure for hearing the appeal, following as closely as practicable the model of the regular procedure. The special procedure may involve the ad hoc enlistment of Faculty members from other departments or from the Graduate Council itself.

4. Policy on and Procedures to be Followed in Cases of Allegations of Dishonesty or Misconduct in Research (FRR Part 5 Sec. 11.A)

1. The community of Brown University condemns any form of scientific dishonesty and accepts responsibility for developing and maintaining the highest standards of intellectual integrity. A climate of intellectual honesty implies that all scholars have an obligation to conduct research in a manner reflecting these principles.

2. If it should appear that an incidence of academic dishonesty may have occurred in this community Brown University will adhere to the following procedure with regard to any instances of alleged fraud or unethical behavior arising out of the performance of scholarly research.

3. This procedure will apply to all scholarly activities involving faculty, students and staff at Brown University. In the case of research performed under the auspices of principal investigators whose primary employment or employment contract is with the University-affiliated hospitals, the Dean of Medicine will fulfill the role of the Dean of the Graduate School and Research, and the Appeal and Grievance Committee of the Medical Faculty Council will replace the Subcommittee on Academic Dishonesty of the University Research Council.

   a. The matter should be reported immediately to the Dean of Research who will be responsible for informing the chair of the department or division concerned.

   b. The Dean will confidentially investigate the matter sufficiently to conclude whether or not there are reasonable grounds to believe the allegations may be true. The alleged offender shall, in all cases, be informed of the nature of the charges. Except under very extenuating circumstances, as judged by the Dean, the alleged
offender shall also be informed of the source of the charges. During this investigation, every reasonable effort will be made to maintain confidentiality and appropriate efforts shall be made to protect the rights and identities of all parties.

c. If the Dean finds that there are no reasonable grounds to believe the allegations may be true, or, if true, the Dean judges there is no need for further action, he or she will terminate the inquiry into the matter. Under both circumstances, it will be left to the Dean's discretion to make public that which is appropriate to conclude the matter.

d. If the Dean finds that there are reasonable grounds to believe the allegations are true and the research is, or was, supported by an external agency, that agency will be immediately and confidentially notified, even if the investigation has not been completed.

e. If the allegations are admitted to be true by the accused, then the Dean shall make recommendations in the case to the President.

f. If the Dean finds that there are reasonable grounds to believe that the allegations may be true, but the accused does not admit to the allegations, then the Dean shall ask the standing Subcommittee on Academic Dishonesty of the University Research Council to prepare a detailed investigative report, and will use this as a basis for making recommendations to the President.

g. None of the procedures described in this document are meant as a substitute for the Grievance Procedures contained in the Faculty Rules and Regulations, or those operated through the Personnel Office, the Dean of the College, the Dean of the Graduate School, the Dean of Student Life, the University Council on Student Affairs, or within the Division of Biology and Medicine. A person in the Brown Community is not barred from pursuing a complaint through any other appropriate grievance procedure while involved in an investigation of research dishonest as prescribed in this document.


1. Preamble:

a. Brown University, with primary concern for the education and training of students and the advancement, preservation and dissemination of knowledge, recognized that the various activities of its faculty, students, and employees may produce patents and inventions which further support these goals. The multiplicity and diversity of fields of endeavor, the complexities of technologies and the speed with which change presently occurs mandate the establishment of a coherent system which manages both the process of discovery and the fruits of those discoveries. Pursuant to the objective, a Patent and Invention Advisory Committee has been established to assist in the discharge of the duties and responsibilities of the University in examining inventions and similar creative processes arising within the University meeting.

b. The considerations of the Patent and Invention Advisory Committee will be governed by these principles and directed to the basic objectives of this patent policy. Subject to strictures imposed by laws and regulations, it will be and is the University's policy to encourage research and scholarship by providing support to the research and scholar by protecting all the appropriate rights and privileges which have always existed in the pursuit of knowledge. At the same time, the University emphasizes the communal aspect of the world of scholarship and the fact that no single project or department, no matter how diverse, exists without relationship to other projects. Thus, this policy intends to foster the sharing of the
fruits of discovery to support and encourage other discoveries both within and without related field.

c. Finally, the University is aware that it has a very real duty to see that the beneficial products of its participation are extended to the society in which it functions. To that end, the University declares that it is its policy to make inventions developed in the course of University research available under those conditions that will most effectively promote their development and utilization.

d. It is with the deepest commitment to the principles enunciated above that the Corporation of Brown University adopts the following policy.

2. **Applicability:**

   The following policy statements apply to regular academic and non-academic employees, postdoctoral associates, outside consultants to the University, and students, hereafter collectively identified as University personnel. These parties, in consideration of their affiliation with the University and the approval of this policy by the Corporation will handle inventions and patents resulting therefrom in accordance with this policy. The term “inventor,” used through this policy, is intended to include one or more inventors. The term “invention” is intended not only to include patentable inventions, but also proprietary information relating to useful articles of commerce, including but not limited to computer programs, secret processes, etc.

3. **Objectives:**

   The basic objectives of this policy are:

   a. To maintain the University's academic policy of encouraging research and scholarship.

   b. To make inventions developed in the course of University research available for use by third persons under conditions that will promote their effective development and utilization.

   c. To provide recognition and incentive to inventors through a share in proceeds from their inventions.

   d. To advance and encourage scholarly pursuits within the University with the funds which may accrue to the University from the equity in inventions.

   e. To make reasonable and equitable provision for the granting of certain patent rights to outside sponsors of research within the University.

4. **Policies Applicable Under Externally Sponsored Research:**

   a. When the University and an outside sponsor enter into an agreement for research to be conducted with funds and/or facilities provided by such sponsor, any individual who utilizes such funds and/or facilities may be required to enter into an agreement as to inventions arising from such utilization.

   b. The University through its designated office (in consultation with the Principle Investigator) shall negotiate the patent clauses of sponsored research agreements, both on behalf of the University and Inventor, in accordance with this patent policy.

   c. University Personnel who are engaged in consulting work or in private business are responsible for determining that patent clauses in agreements resulting from consulting or private business are not in conflict with the patent policy of the University or with University commitments in sponsored projects. The Chair of
the University Research Council and the Office of Research Administration will
be available for advice and consultation upon request.

5. Patent and Invention Advisory Committee:

a. The President shall appoint a Patent and Invention Advisory Committee consisting
of the Director of Research and Administration, three faculty members, two staff
members and two persons who are not members of the Brown University staff or
faculty. The faculty and staff members shall serve staggered terms for three years
each. The non-university members shall serve at the direction of the President.

b. The Director of the Office of Research Administration shall serve as Chair of the
Committee and shall convene the Committee for the purpose of carrying out its
responsibilities under this policy.

c. The Patent and Invention Advisory Committee shall make a report on each
invention or matter referred to it for consideration and shall forward said report
along with any recommendations to the President.

6. Policy for Establishing Equity of University and Inventor:

The University will consider that it will have an equity in any invention/patent in
accordance with the terms of this provision and Section D. The equity of the University
and the equity of the inventor shall be determined by the University in Accordance with
the terms in this provision.

a. The determination of the University's equitable interest in any invention/patent
shall be made by the President upon recommendation from the Patent and
Invention Advisory Committee. Normally, the University will claim an equity in
any discovery or invention:

i. involving the use of funds, space, or facilities administered by the University
except that the payment of salary, scholarships, fellows, or similar stipends by
the University will not of themselves constitute a basis for establishing
University equity, or

ii. which is connected with the regular duties or other assigned work of
University Personnel

b. The University will also claim an equity in University-sponsored research when:

i. the University has explicitly funded a project or otherwise supported a project
in which a prior understanding existed regarding patent rights.

ii. an inventor(s) requests the University assistance in the administration of a
patent and all parties agree in advance to an equity distribution.

c. For any invention for which the University and inventor have an interest, the equity
of the University and inventor shall be determined according to the following
schedule:

i. the first $100,000 of net income shall be distributed equally between the
inventor and the department of the inventor.

   50% to the Inventor(s)

   50% to the Department(s)

ii. net income in excess of $100,000 but less than $1,000,000 shall be distributed
as follows.

   25% to the Inventor(s)
75% to the University

iii. net income in excess of $1,000,000 shall be distributed as follows:
   20% to the Inventor(s)
   80% to the University

iv. net income shall be defined as income after all deductions of expense for processing and development.

d. The Patent and Invention Advisory Committee and/or the President may hear any testimony and review any documentation it considers relevant to the investigation of equity. However, in each instance, the inventor shall be extended an opportunity to be heard.

7 Inventor Obligation:

No assignment or license or agreement to assign or license any invention, patented or otherwise, in which the University has an equity, may be entered into by University personnel without the written consent of the President or designee. The basic objectives cited in this patent policy will serve as the criteria for the University's approval of assignees and licensees. It is expected that the inventor will exercise judgment in good faith in determining whether the University may have an equity.

8. Special Cases and Arbitrations:

If a special case should arise which is not specifically covered by this policy statement, the matter will be submitted to the University Research Council for resolution.

9. Administration of Patents and Inventions:

a. General

The President is responsible for the general oversight and administration of Brown University's Patent and Invention Policy as regards University personnel and outside sponsors. The Patent and Invention Advisory Committee is responsible for the processing and management of inventions and patents under the general oversight of the President.

b. Disclosures

i. When a discovery has been made which might be subject to this agreement, this fact shall be communicated promptly to the Office of Research Administration.

ii. An invention disclosure describing the invention and including other related facts is prepared by the inventor. Copies of this form may be obtained from the Office of Research Administration.

iii. This disclosure will be submitted by the Office of Research Administration to the research sponsor, where provided by research agreement terms, along with an indication of development or patent application filing plans of the University or the inventor.

iv. The Office of Research Administration maintains central records of University invention disclosures.

c. Patent Development Options
The inventor and the University have the following options for development of an invention. Patent terms of a particular sponsored research agreement may require or preclude one or more of these options. To be clear regarding obligations to the sponsor and to the University, the inventor should consult with the Office of Research Administration.

i. Development by the Inventor - Inventors who wish to develop inventions at their own expense may request a waiver of University patent rights from the President through the Patent and Invention Advisory Committee via the Office of Research Administration as evidence of clear patent title. When the invention has been made under a research agreement with certain patent terms which permit the University to pass title to an inventor, it is generally necessary first to petition the sponsoring agency to obtain title. Government and other research sponsors normally require that:

a) The sponsor be advised of all patent actions including application serial number and filing date, granting of patent and patent number.

b) The sponsor be provided a royalty-free license to the invention.

c) An annual progress report on the development of the invention be provided by the sponsor.

ii. Development by the University - The University may decide to file a patent application at its own expense and pursue the licensing and/or assignment of said patent or invention. The University may elect to pursue the development of inventions under this agreement through the Brown University Research Foundation or through a recognized patent management company. The distribution of income shall be in accordance with this policy and shall be determined by the President upon recommendation from the Patent and Invention Advisory Committee.

10. This policy and all of its paragraphs and provisions shall be effective June 30, 1981 and shall apply to all faculty and staff members, and students except that paragraph F.1.(a), (b) shall not be applicable to faculty tenured as of June 30, 1981 unless such research is subject to conditions of F.2.(a) or (b).


1. Goal: The main objective of the copyright policy is to encourage the creation and generation of new knowledge and to secure its widest possible dissemination to the academic community and to society.

2. Applicability: This policy applied to all Brown University employees, faculty, staff, students, visitors and consultants, whether paid by the University or not, who create copyrightable materials under University auspices or using University facilities.

3. Ownership: It is the University's position that, as a general premise, ownership of copyrightable property which results from performance of one's University duties and activities will belong to the author or originator. This applied to books, art works, software, etc. However, under the following conditions ownership will be with the University:

a. The property was produced under an externally-funded grant or contract made to the University that requires the University to own the copyright. To permit dissemination of research results, the University, to the extent permitted by the grant or contract, will assign its copyright covering articles about research to
the author(s) so they, in turn, can comply with the requirements of professional journals or other publishers.

b. The property was the result of an assigned University task or responsibility which was fully supported by the University, and for which a prior understanding exists between the authors and the University with respect to ownership.

c. There is a prior written agreement between the author(s) and the University with respect to property rights. Such agreement will take precedence over other sections of this policy.

4. Other University Rights: When copyrighted material is developed in conjunction with a person's University activities, using University facilities and/or equipment, the University retains the right to use such materials for its own educational and research purposes even though it does not claim ownership of the materials under Section 3.

5. Disclosure: It is the responsibility of the originator(s) to make prompt disclosure of any copyrightable materials that may, under provisions of this policy, be owned by the University. The disclosure should be made to the head of the organizational unit to which the originator belongs, e.g., department chair. The head of the organizational unit will report disclosures to the appropriate Associate Dean of Research who will be responsible for coordinating reviews and recommending action in accordance with these policies. If there is no appropriate organizational unit, the disclosure will be made to the Associate Dean of Research.

6. Distribution of Net Income from University-Owned Copyrights: The University agrees to share with the originator(s) any net income received from commercialization or exploitation of University-owned copyrighted material. All expenses incurred by the University will be deducted from the gross income before any distribution of income will be made. The net proceeds will be shared with the originators according to formulae set out by the President upon the recommendation of the Provost, the Senior Vice President and the Vice President (Biology & Medicine), with respect to units under their jurisdiction in accordance with accepted standards of fairness and equity for each area. Such recommendations will normally be made in such a manner that the income will be divided approximately equal between individuals involved on the one hand and the University (including the units involved) on the other hand. When the originator(s) is not part of a group where such arrangements have been established, sharing arrangements will be recommended by the Provost.

7. Related University Policies: There are two situations that may involve copyrights where other University policies apply:

a. University facilities, equipment, and services are to be used to further the educational, research, and public service goals of the University and are not to be used for the personal, private financial gain of university personnel except under conditions agreed to, in advance, by the University. See University Administrative Procedure for Establishing Agreements with External Users for Use of Brown University Facilities.

b. If outside consulting work is done by faculty or staff that is related to work they do for the University for which the University retains ownership of resulting copyrights, it is the responsibility of the faculty or staff member to see that such outside arrangements do not violate the University's Duality and Conflict of Interest Policies.
Both of these policies require prompt disclosure of the facts to the head of the appropriate organizational unit. The burden is on the originator(s) to provide timely disclosure.

8. **Decision-Making Appeals Procedure:**

Responsibility for implementing this policy rests with the office of the Dean of the Graduate School and Research, including the Associate Dean of Research and the Office of Research Administration. Any disagreements or disputes arising out of the administration of this policy will be referred to the Provost. The Provost will set up an appropriate mechanism for adjudicating these claims and rendering a decision in the case in question. Further appeals may be made through the grievance procedure set up by the FEC.

B. **Graduate Council**

1. **Guidelines for the Operation of Graduate Programs**

Resolutions taken by the Graduate Council at its meeting of March 7, 1978, as amended at its meeting of March 21, 1978.

   A. **Evaluation and warning.**

   1. At least once a year, the status and progress of every graduate student in a Department shall be reviewed and evaluated. This evaluation and the grounds upon which it is based shall be entered in writing in the student's file and a copy provided to the student. The student shall have the opportunity to add to his or her file at any time.

   2. No student shall be withdrawn for academic reasons from a program without at least a semester's forewarning of his or her possible termination.

   3. A student receiving aid shall not have that aid terminated without a semester's forewarning save for sufficient cause. Reasons for termination of financial aid shall be placed in a student's file in writing and a copy given to the student.

   B. Each Program or Department shall supply each student with a booklet or manual which contains, at a minimum, the following information:

   1. Statement of the official requirements for degree(s) offered by the program.

   2. Deadlines for the completion of various degree requirements where deadlines exist; a suggested schedule for completion of requirements which have no firm deadlines.

   3. Description of the nature of special examinations (e.g., qualifying, preliminary, language, etc.) and the methods for arranging and satisfying them.

   4. Statement of the University grievance procedure along with any additions to that procedure made by the Department or Program.

   5. Statement of the evaluation procedures used in determining a student's status in the program. This will normally include:

      a. Times at which evaluations are normally carried out in the program.

      b. The Graduate Council's guidelines for evaluation of graduate students (as stated in A, above).

      c. Criteria by which a student's performance is judged.

   6. Statement of the program's policy on financial aid. This will normally include the following:

      a. Application procedures and deadlines.

      b. Limits on the amount and/or duration of financial aid awards.
c. Criteria for determining which students are recommended for financial aid.
d. Reasons for termination of financial aid awards.
e. The Council's rule on forewarning when termination of aid is contemplated (as stated in A-3 above).

C. Students with work appointments (Teaching Fellows, Teaching Assistants, Research Assistants, Proctors)

1. The assignment of students with instructional duties to particular courses should take into account preferences and expertise of graduate students and the work load associated with each course. Normally, this will mean that:
   a. Graduate students who are on-campus the semester before they are to teach, should be asked about their course preferences for the following semester.
   b. Graduate students should not ordinarily be assigned to assist in courses in which they have little or no background.
   c. No student should be consistently assigned to courses with unusually heavy time demands.

2. At the outset of each semester, students with work appointments should be informed of the time requirements of their assignments and of their responsibilities during the term. The specified time demands should be in keeping with the other responsibilities which they have as students.

3. At the end of each semester, students with work appointments should receive an evaluation of their performance from the Faculty members supervising them during that semester. This evaluation should be accompanied by suggestions for continued development as a teacher, researcher, etc. and should become part of the annual review suggested in section A. In the case of students with instructional duties, take into account undergraduate student evaluations.

D. Graduate Representatives and Faculty Advisors.

1. It is important that Departments have Graduate Representatives who are knowledgeable about graduate student problems and sensitive to the students' concerns. Therefore, Department Chairmen should consult graduate students when making an appointment to the position.

2. If after being consulted on their choice of a Graduate Representative a substantial body of graduate students in a Department feel that their Graduate Representative is not properly sensitive to their concerns, they have the right to petition the Dean of the Graduate School to intercede on their behalf with the Department Chairman and seek resolution of the difficulties.

3. Departments should aid students when necessary in finding an appropriate Faculty advisor and may be called upon again to help if a student's advisor leaves the University before the thesis is completed.

4. It should be possible for a student to change Faculty advisors without jeopardy to his or her standing in the Department. However, for a student holding a Research Assistantship, this does not obligate the Department to provide an equivalent assistantship in the student's new area of research, although it is, of course, desirable if that can be done.

5. Within the latitude specified by the Department's graduate program, the student and his or her advisor or committee should jointly decide on the student's course program and on the fields, composition of the oral examining boards, and time of his or her qualifying and/or preliminary examinations.
6. In addition to the course program the student and his or her advisor should set forth insofar as possible the scope of the student's research and the resulting dissertation. Subsequently there should be no undue escalation by the advisor of the requirements originally set forth.

7. In any publication by the advisor which stems from or in part deals with the results of a graduate student's research, the student should receive proper credit, either as a co-author or by an explicit acknowledgment of his or her contribution, whichever is appropriate.

E. Special Considerations.

It should be possible for students with added responsibilities (e.g., primary responsibility for the care of children), to pursue graduate degrees in a way that allows them to accommodate those responsibilities. In particular, this may mean that the stated times for meeting the requirements of degree programs will be extended to allow for less than full-time study.

2. Guidelines for proposing a PhD program in Special Studies

Any student who, after at least one year of graduate study at Brown University, wishes to undertake toward the Ph.D. further scholarly work which cannot be accommodated within an existing departmental or interdepartmental program, may draw up his or her own plans and on this basis petition the Graduate Council for approval and for permission to enroll as a doctoral student in Special Study. Such a petition must have the support of at least three members of the University Faculty who agree to sponsor the student's program, one of whom shall act as the program supervisor. Individual programs must meet all general requirements of the Graduate School for the Ph.D., and it shall be the responsibility of the Graduate School to make sure that the facilities and resources necessary to implement the program are already at hand or within reach. The title of a degree sought in this manner must be worked out and agreed to by the student and his or her advisors in consultation with the appropriate departments and must have the approval of the Graduate Council.

Each three-member advisory committee shall be responsible for the administration, as well as for the academic direction, of the program which it sponsors. Each advisory committee shall have among its functions: (1) to determine and certify candidacy; (2) to approve the dissertation; (3) to make final certification that all requirements have been satisfactorily completed and to recommend awarding the degree.

Guidelines for Students, Sponsors and Departments

1. For inclusion in student proposals to the Graduate Council:
   a. Description of proposed program.
   b. Justification of proposed program.
   c. Explanation of why it should not or cannot be pursued in an existing program.
   d. Outline of course of study, including: formal courses to be completed, independent study, examinations, special requirements.
   e. Discussion of kind of dissertation to be undertaken.
   f. Transcript of all graduate work.
   g. Estimate of resources, including financial, necessary for conducting program.

2. For inclusion in the endorsements of the faculty sponsors (one copy addressed to the Graduate Council):
   a. Agreement to sponsor program and serve on advisory committee.
   b. Detailed assessment of proposal, to including: intellectual professional value; feasibility; student's competence to undertake it; employment likelihoods.
c. Explanation of how proposed work relates to sponsor's own discipline and his or her academic interest.
d. Explanation of how advisory committee will determine student's doctoral candidacy, date for certifying candidacy.
e. Explanation of procedures to be used in evaluating dissertation.
f. Estimate of resources, including financial, necessary for conducting program.
g. Willingness and ability of sponsor to provide financial support to student.

3. For inclusion in departmental commentaries (one copy addressed to the Graduate Council):
a. Affirmation that proposed program cannot be satisfactorily conducted under regular departmental auspices (or, that while it can be done departmentally, it can be done better as a special program).
b. Department's views about desirability and feasibility of proposed program.
c. Judgment as to student's ability to carry out and complete a doctoral program (to be provided by department in which student entered).
d. Willingness of department to lend necessary academic support to program.
e. Willingness and ability of department to provide financial support to student.

3. Resolution on extensions of PhD Candidacy
1. Departments will be notified once a year about which students (both active and on leave) whose 5-year candidacy will expire during the next academic year. Currently active students in this category will also be notified directly.
2. The Graduate Council will delegate to the Dean of the Graduate School the authority to grant extensions of candidacy of no more than two years with appropriate justification. This authority extends to approving extensions at the time of re-entry for students who have been on leave.
3. Authority for approving exceptions to the 5-year candidacy rule which have the effect of extending the student’s candidacy for more than a total of seven years must be approved by the Graduate Council.
4. Appropriate justification for extensions of candidacy must be provided by the student and supported in writing by the department or program. Such justification should include, but need not be limited to, a realistic timetable for completing degree requirements within the extension period being requested and a statement of the nature of degree-related activities undertaken by the student since advancement to candidacy that ensure the student’s continued knowledgeability and viability as a scholar in the field.

Implementation. The policy adopted by the Graduate Council (the above or some amended version) will be communicated for informational purposes to the Faculty Executive Committee and the Department Chairpersons. The action will be included in the yearly report of the Graduate Council. The Graduate School administration will notify departments of students whose candidacy has already expired.

4. The Academic Code
The fundamental premise of the University is that all its members conduct themselves honestly and with due regard for the rights of others. The academic community trusts that its members will carry out and present their intellectual work without deceit. Graduate students are obligated to behave honorably as students, as researchers, and as teachers.

The provisions of the pamphlet Tenets of Community Behavior and Academic Code apply to graduate students in their capacity as students. In addition to endorsing the
Code as it affects all students, the Graduate Council has affirmed that graduate students must conduct themselves honestly as researchers and as teachers.

Briefly, the Academic Code mandates that students turn in their own work without falsifications, and with due credit given to all sources used, whether quoted directly, paraphrased, or merely used as background information. All work done collaboratively must be marked as such and must have been authorized by the instructor or department. Unless the student has obtained permission in advance from the instructors of both courses involved, he or she may not submit the same work in more than one course.

All cases of suspected academic dishonesty on the part of graduate students shall be referred to the Dean of the Graduate School and, where appropriate, to the Dean of the College.

**Graduate Students In the Role of Researcher.** The integrity of data is supremely important in research. Obviously, no graduate student should fabricate, change, or selectively delete data that fail to satisfy expectations. Each researcher should keep a record so that the completed dissertation or other publication can be defended by recourse to the original data.

Research is often collaborative, but degrees are awarded to individuals. A thesis or dissertation must specifically acknowledge any contributions by persons other than the author.

Graduate students are subject to Brown's patent policy. Anyone who suspects that the results of his or her research may be patentable should discuss the matter with the Associate Dean of Research.

Brown's *Policy on and Procedures to be Followed in Cases of Allegations of Dishonesty or Misconduct in Research* (Appendix A) was implemented in 1983 and revised in 1989. Any allegations of misconduct in research shall be brought before the Dean of the Graduate School and Research.

**Graduate Students In the Role of Teacher.** Teaching Assistants should hold their students to the provisions of the Academic Code. As graders, their evaluations of students should foster independent work. They must avoid exposing confidential course materials such as examinations, and are expected to inform the faculty member in charge of the course of any infractions.

5. **Policy on Advisors who have left Brown**

Faculty who leave Brown may, subject to the approval of the Chair of the department, continue to serve as dissertation or thesis advisors for students whom they were advising at the time of their departure.

**C. Corporation Actions**

1. **Filing fee**

On December 11, 1987 the Corporation voted the following:

That, effective January 1, 1988, students who register solely for the purpose of defending and filing the dissertation or thesis and who meet the conditions established by the Graduate School shall, with permission of the Graduate School, be excused from paying the enrollment fee for the semester in which the dissertation or thesis is submitted and shall instead be charged a filing fee of $150.00. This amount shall not include the dissertation handling fee, currently set at $50.00.

Permission for Filing Fee registration shall be granted if the following conditions are met:
a. If the student has satisfied all course and residence requirements for the specific degree
b. If the student at the time of filing is receiving not University-administered financial aid. This includes fellowships, scholarships and all types of University appointments (teaching and research assistantships, proctorships, graderships).
c. If the student has no need of any University facilities (library, computer, health services, etc.).

2. Second Master's Degree

On September 14, 1984 the Advisory and executive Committee of the Corporation voted the following amendment to Graduate School tuition regulations:

Subject to conditions established by the Graduate School, candidates for the PhD degree may earn up to two Master's degrees without further payment of tuition beyond the minimum of twenty-four units required for a doctorate. One of the Master's degrees must be in the field of the PhD and the other in a related or complementary field. The second Master's degree must be approved both by the department of the PhD and the department of the second Master's.

The following conditions will apply:

a. Each Master's degree must be completed independently of the other. Neither courses nor theses will be allowed to count for both degrees.

b. Two Master's degrees normally cannot be obtained in the same field, e.g. by transferring one from graduate work done elsewhere and completing one at Brown.

c. Two Master's degrees cannot be obtained at Brown if one is also transferred from graduate work done elsewhere, i.e. three or more Master's degrees are not permitted.

D. Council of Graduate Schools (CGS) Resolution on Admissions

Brown has joined over 450 universities in supporting the following resolution, reprinted with permission from the Council of Graduate Schools, Washington, DC:

Acceptance of an offer of financial support (such as a graduate scholarship, fellowship, traineeship, or assistantship) for the next academic year by a prospective or enrolled graduate student completes an agreement that both student and graduate school expect to honor. In that context, the conditions affecting such offers and their acceptance must be defined carefully and understood by all parties.

Students are under no obligation to respond to offers of financial support prior to April 15; earlier deadlines for acceptance of such offers violate the intent of this Resolution. In those instances in which a student accepts an offer before April 15, and subsequently desires to withdraw that acceptance, the student may submit in writing a resignation of the appointment at any time through April 15. However, an acceptance given or left in force after April 15 commits the student not to accept another offer without first obtaining a written release from the institution to which a commitment has been made. Similarly, an offer by an institution after April 15 is conditional on presentation by the student of the written release from any previously accepted offer. It is further agreed by the institutions and organization subscribing to the above Resolution that a copy of this Resolution should accompany every scholarship, fellowship, traineeship, and assistantship offer.
Appendix B: Selected forms
The forms on the following pages may be photocopied for use as needed.
1. Proposal for a New or Revised 200-Level Course
2. **Request for Degree Candidacy Extension**
3. Nomination for Dissertation Fellowship
4. **Extension of Deadline for Dissertation or Thesis Submission**
5. Application for Filing Fee Approval
8. Leave of Absence or Withdrawal Form
9. Report of Preliminary Examination for the Degree of Doctor of Philosophy
10. Research Assistantship Recommendation Form
11. Application for a Second Master's Degree
12. Instruction Related (TA) Appointment Form
13. **Travel Expense Reimbursement form**
14. Application for Traveling Scholar Status
15. **Nomination for Graduate Tuition/Enrollment Fee Scholarship**
Appendix C: Resources for advising students

A. Minority students

The Graduate School provides additional counseling and support for minority students who may find themselves marginalized at Brown, or who may just need to discuss issues of graduate study with a counselor sensitive to minority concerns. Students should contact Dean Michael Plater in Room 405 of the Graduate School (x32289). Dean Plater may also be contacted for information about minority recruiting at Brown, and about the Graduate Minority Student Association, which also serves the special needs of minority students.

The following people outside of the Graduate School have been designated to receive information, answer questions regarding University procedures and provide assistance to students who believe they have been subjected to racial harassment by faculty, staff or other students. They are prepared to advise all students about appropriate responses, including the filing of formal complaints.

Racial Harassment - by faculty or staff

- Dorothy Denniston, English x33739
- John Eng-Wong, Foreign Studies x32427
- Dean Michael Plater, Graduate School x32289

Racial Harassment - by students

- Deans, Office of Student Life x33800
- Dean on Call (24 hours) x34111
- Jean M. Joyce-Brady, Student Life x33145
- Robert Samuels, Student Life x33800
- Karen McLaurin-Chesson, Third World Ctr x32120
- Police and Security (reporting) x34111
- TDD x31740

B. English as a Second Language (ESL)

Students whose first language is not English may need additional work to gain proficiency in this language, particularly when they begin work as Teaching Assistants. Departments should encourage these students to contact Barbara Gourlay, Coordinator of English for International Teaching Assistants, Marston Hall, 20 Manning Walk (x32546/x33043), or Kathryn Good, Director of Intensive English Language Programs, (x37906/x37901) at the Office of Summer Studies for the summer English program. More information on these programs also may be found at http://www.brown.edu/Departments/CLS/programs/English.html and at http://www.brown.edu/Administration/Summer_Studies/iep respectively.

C. The Writing Center

Students may wish to schedule a conference at the Writing Center, Room 206 in the Rockefeller Library, for assistance with their writing concerns. Staff members are experienced writers and/or teachers who participate in ongoing training in writing-related issues. The Staff Associates are prepared to discuss all stages of the writing process, from finding a topic up through revision and editing strategies. Associates can help writers deal with writer's block, the conventions of academic writing, audience awareness, argumentation, organization, research skills, English as a foreign language, grammar, and issues of clarity and style. More information can be obtained at http://www.brown.edu/Student_Services/Writing_Center.

Hours are Sunday through Thursday from 3 - 5 and 6 - 9. Students may drop in, but it's best to call for an appointment (x33524).

D. The Harriet W. Sheridan Center for Teaching and Learning

The Harriet W. Sheridan Center for Teaching and Learning was founded in 1987 to assist faculty and graduate teaching assistants to improve the quality of undergraduate instruction.
within the University. Today, the Center serves as a resource to support the entire Brown teaching community build their own reflective teaching practices which will ensure that a diverse student body has the best possible environment for learning. The Brown curriculum promotes the mutually productive relationship between teaching and research among faculty, graduate and undergraduate students. The Center plays a crucial role in facilitating the ongoing development of that relationship. The Sheridan Center further seeks to help prepare graduate teaching assistants for productive professional teaching careers after they leave Brown.

To those ends, the Sheridan Center offers a variety of programs, services and publications. Programs include: Orientations for new faculty and teaching assistants; broad-scale Teaching Forums for the entire community; the Sheridan Teaching Seminar (I) on the elements of a reflective teaching practice; the Classroom Tools Seminar (II); and the Professional Development Seminar for Advanced Graduate Students (III). The Center awards Sheridan Teaching Certificates at three levels to those who have completed the seminars above (I, II, III). Departmental seminars on discipline-specific teaching and learning are offered in conjunction with the Faculty and Graduate Student Teaching Liaisons. Teaching Consultations, on classroom and presentation performance, course revision, and pedagogical grant requirements, are available for the entire teaching community. The Center also maintains a Resource Library of books, journals and videotapes on teaching and learning issues for members of the University teaching community.

The Sheridan Center publications include The Teaching Exchange, Teaching Handbooks and a Web site. The Teaching Exchange is a bi-annual forum for the exchange of ideas about teaching within the Brown community. Handbooks include Teaching at Brown, The Syllabus Handbook, The Teaching Portfolio Handbook, Teaching and Persuasive Communication, and Teaching to Cognitive Diversity. The Sheridan Center web site includes information about services, electronic versions of all Center publications, and two unique interactive pedagogical workshops: "Syllabus Construction" and "Teaching to Variation in Learning." These provide a mechanism for exchange of ideas and concerns about teaching and learning both within and across the disciplines. The videotape Effective Teaching for Dyslexic/All College Students is available nationally to facilitate understanding of learning diversity in the classroom.

The Sheridan Center facilitates exchange between faculty and other individuals and agencies on campus who are concerned with aspects of teaching and learning. The Brown Teaching Collaborative (BTC), includes faculty and the University Library, Computing and Information Services (CIS), the Brown Medical School, the Center for Language Studies, the Office of the Chaplain, the MAT program, the Writing Fellows Program, and the Swearer Center for Public Service the Office of Summer Studies.

For information about the Sheridan Center, please contact:

Director: Rebecca S. More, Ph.D.
Associate Directors: Janet Rankin, Ph.D. and Laura E. Hess, Ph. D.
Office Coordinator: Kathleen A. McCann
Box 1912; (401) 863-1219; Sheridan_Center@Brown.edu

http://www.brown.edu/sheridan_center/

E. Sexual Harassment

The following people outside of the Graduate School have been designated to receive information, answer questions regarding University procedures and provide assistance to students who believe they have been subjected to sexual harassment by faculty, staff or
other students. They are prepared to advise all students about appropriate responses, including the filing of formal complaints.

Sexual Harassment - by faculty or staff
Carol Cohen, Dean of the College x33488
Michael E. Diffily, Graduate School x32843
Carla Hansen, Student Life/Graduate School x33145

Sexual Harassment – by students
Consultation/Counseling:
Police and Security (reporting) x34111
Gail Cohee, Director Women’s Center x32189
Deans, Office of Student Life x33145
Dean on Call (24 hours) x34111

F. Brown University Mediation Project
BUMP Line (for inquiries about mediation) x31819
J. Philip O’Hara, Student Activities x31912
John Eng-Wong, Foreign Students Office x32427

BUMP is a campus resource for dispute resolution. BUMP provides mediation services to the Brown University community. BUMP mediators are trained student and staff volunteers who meet with the disputing parties to help them discuss and define the issues at hand. Mediation is a voluntary, confidential approach to conflict resolution. It brings people together with a trained mediator in an informal, neutral setting to discuss their situation and find a lasting solution to it. In mediation, the neutral third party assists the disputants to reach a voluntary, negotiated settlement of their differences. The mediators neither judge guilt nor innocence, nor do they decide how a dispute should be settled. They act as people "in the middle", assisting the parties in reaching a resolution. Collateral activities include training in conflict resolution for groups such as Resident Counselors, and Community Directors. In the last year BUMP has begun establishing co-operative training arrangements with off-campus organizations through the Providence Community Mediation Center. Student organizations wishing to have members trained in this method of conflict resolution may call the BUMP Line.

G. Office of Foreign Student, Faculty, and Staff Services

The Office of Foreign Student, Faculty, and Staff Services (863-2427) occupies a pivotal point between the campus international community and university administrative offices. Students who have problems with their visas or with the Immigration and Naturalization Service should see the Director of OFSFSS, Dean John Eng-Wong. OFSFSS orients all newcomers, and offers a number of ongoing social activities, often in conjunction with the International House of Rhode Island. OFSFSS communicates information via the office website [http://www.brown.edu/Administration/Foreign_Student_Office/index.html]. OFSFSS is an advocate for internationals, a voice encouraging the development of university policies and programs that recognize the cross-cultural dimensions of international exchange, and a support to those organizations that serve the needs of international students and staff. In this regard OFSFSS maintains active relationships with the Graduate School, Health Services, Psychological Services, Career Services, Student Life, the Committee on Academic Standing, the ESL staff, and the International Programs Office. OFSFSS coordinates all university related immigration work. It also plays a central role in payroll procedures for internationals. In these connections OFSFSS is the resident "expert" office on matters related to visa and tax questions.

H. Disabilities Support Services

The Dean of Student Life is the University officer with responsibility to oversee the reasonable accommodation of students with disabilities. Dean Robin Rose also serves as chair of the Committee for Disability Support Services, an advocacy and policy making body which reviews the general needs of students and makes recommendations regarding issues of accommodation.
Brown University provides reasonable accommodations for individuals with disabilities along with counseling, encouragement and guidance in the development of self-advocacy skills. If accommodations are requested, you will be asked to register with either of the two coordinators listed below and to provide appropriate documentation of your disability from a qualified professional source.

If you have a physical disability and are seeking an accommodation, please call:
The Manager of Resources and Services, Student Life Office at 863-3145 or 863-1343(TDD). Accommodations will be coordinated and facilitated by this office.

If you have a learning disability and are seeking an accommodation, please call:
Robert Shaw, Associate Dean of the College, University Hall at 863-2315. Also, academic advice and counseling can be provided by Dean Shaw for students with either a physical or learning disability.

Others who may be contacted for specific information when direct contact is desirable:
Registrar
Ms. JoAnn Dowoit 863-1702
Residential Life
Dean Donald Desrochers 863-3500
Health Services:
Dr. Ted Wheeler 863-3953
Library Services:
Ms. Florence Doksansky 863-2405
Parking:
Parking Office 863-3157
Police & Security/Transportation:
Lt. Richard Ziccardi 863-1268
Shuttle, Escort, Safewalk:
Student Security (Voice/TDD) 863-1778
Financial Aid:
Ms. Paula Abernethy 863-1734
Graduate School:
Dean Carla Hansen 863-2749
Psychological Services:
Dr. Belinda Johnson 863-3476

Brown University also has three active student groups on the campus dealing with disability issues.

ABLE (Association for a Better Learning Environment)
SALS (Students with Alternate Learning Styles)
(BContact with these groups can be made by calling UCS, 863-3230)
BAND (Brown Alumni Network for Disabilities)
(Contact with this group can be made through Career Services, 863-3326)

I. Chaplains' Office
Janet Cooper Nelson, University Chaplain 2nd Floor Faunce House 863-2344
Alan C. Flam, Sr. Associate Chaplain 2nd Floor Faunce House 863-2344
Fr. Henry Bodah, Associate University Chaplain 2nd Floor Faunce House 863-2344
Rev. Jennifer Rankin, Assistant Director 2nd Floor Faunce House 863-2344
Carolyn J. Jones, Office Coordinator 2nd Floor Faunce House 863-2344
Eileen Botelho, Sr Administrative Secretary 2nd Floor Faunce House 863-2344
Fr. Henry Bodah, Catholic Chaplain 2nd Floor Faunce House 863-2344
Mary Beth Reynolds, Catholic Campus Minister 2nd Floor Faunce House 863-2344
David A. Ames, Episcopal Chaplain 2nd Floor Faunce House 863-2344
Rev. Sakena Young-Scaggs, Assoc. Protestant Chaplain 2nd Floor Faunce House 863-2344
Sheila Remis Alexander, Acting Hillel Director Hillel House, 80 Brown St. 863-2805
Megan Nesbitt, Hillel Assoc. Program Director Hillel House, 80 Brown St. 863-2805
Madeline Lundgren, Administrative Asst Hillel House, 80 Brown St. 863-2805

The mission of the Chaplaincy at Brown University is to promote the religious, spiritual and ethical life of the university community and represent the Biblical and religious faith
traditions in the quest for knowledge, justice and truth. The chaplains advocate religious faith as a way to a viable world view and as a basis for personal and community well being. This mission includes enabling the formation of mature and healthy individual and institutional consciences for supporting those social forces which further the prophetic vision of a better society, and challenging those social forces which conflict with this vision.

At the core of the chaplaincy program is worship; a full range of worship opportunities is available. In addition, a number of programs are offered during the year which provide opportunity for dialogue on questions of value and meaning as well as on the moral implications of personal, national and international decision making.

The chaplains are available for personal counseling about religious and racial concerns, women's issues, parental and peer difficulties, vocations or career choices, interpersonal and marital relationships, sexuality, pregnancy and drugs. Appointments can be made through the office.

In addition to working together as a staff, the chaplains are involved individually in many different places: on the faculty, in the Third World Center, the Medical School, RISD, Health Care programs, and state, local as well as denominational issues and concerns.

**J. Brown University Career Services - Pembroke Hall x33326**

The programs, services, and resources of Career Services office are available to all Brown Graduate Students and Graduate School alumni. Located in Pembroke Hall, Career Services welcomes students considering either academic or non-academic career options. Faculty participate in many Career Services programs, particularly those related to the academic job search. We offer the following services and resources for Brown Graduate Students:

**Career Counseling for Graduate Students**

Career Services offers a variety of counseling services to support graduate students in all phases of the academic and non-academic job search, including self-assessment, career exploration, resume and cover letter critiques, mock interviews, and more. Graduate students may make a half-hour appointment with a staff counselor by calling (401) 863-3326.

We also have graduate student 'drop-in' hours twice a week, at Career Services, for students to ask a counselor quick questions (10-15 minutes), including queries about an already critiqued resume or cover letter, etc.

**Career Services Programs for Graduate Students**

Throughout the academic year, Career Services sponsors various panels, discussions, and workshops for Brown Graduate Students interested in learning more about academic careers, non-academic careers, and professional development for graduate students. Past programs on the academic job search have included: "The Nuts and Bolts of the Non-Academic Job Search," "The Two-Body Issue," CV workshops, and "Career Options in Academia." Non-academic programs have included resume and cover letter workshops, panel discussions and "Career Conversations' with Brown Graduate Alumni, interview workshops, and the Graduate Student Virtual Career Fair. We also provide a series of programs on professional development for graduate students, such as "Getting the Most Out of Graduate School," a panel discussion with advanced Brown Graduate Students.

**Dossier Service**

Career Services maintains a dossier service for Brown Graduate Students. The dossier service allows Brown Graduate Students and alumni to collect letters and credentials they may need to support applications for fellowships, grants, or employment. The dossier may
include letters of recommendation, current CV or resume, dissertation abstract, syllabi, a list of Brown University courses taken, etc. Dossier guidelines and information about charges are on the Career Services webpage, or at Career Services.

**Departmental Programs and Workshops**

In consultation with faculty, Career Services staff will design special programs for individual departments, including CV development workshops. For more information on these special programs, please email Beverly_Ehrich@brown.edu.

**Career Services Library**

The library collection contains career-related resources to help Brown students and alumni explore career fields, identify employment opportunities, research institutions and companies, and build skills for a successful job search. The Graduate Student section includes books on succeeding in graduate school, the academic job search, and non-academic career advice. We also have a series of binders containing sample resumes and CVs from Brown Graduate Students and alumni.

**The Career Services Graduate Student Website**

Our newly designed website contains guides to academic and non-academic careers, professional development for graduate students, and the services and resources we offer Brown Graduate Students. For more information, visit our website: [http://www.careerservices.brown.edu/index.htm](http://www.careerservices.brown.edu/index.htm)

**e-Newsletter**

Our e-newsletter contains up-to-date information on career resources, Career Services programs for Graduate Students, and more. Graduate students are automatically placed on the list. All graduate representatives should be on the list to receive the e-newsletter as well. Any other interested members of the Brown community are welcome to email Career_Services2@brown.edu to join the list.

**ACCess: The Alumni Career Connection**

ACCess is a database of more than 8,000 Brown alumni (including graduate school alumni) who have volunteered to help students and alumni learn about specific career options through informational interviews. The database may be searched by occupation, Brown degree, company name, and geographic area. To register, visit the Alumni Relations website: [http://alumni.brown.edu/](http://alumni.brown.edu/)

To contact Career Services, call 863-3326, or contact:

Beverly Ehrich
Director of Graduate Student Career Services
863-9318

For more information and to use the online career resources, visit the Career Services Graduate website at [http://careerservices.brown.edu/grads/grad-index.htm](http://careerservices.brown.edu/grads/grad-index.htm)
Appendix D: Selected phone numbers

The Graduate School.................................................................863-2600
Dean of the Graduate School.....................................................863-2831
Peder Estrup (before Oct. 1, 2002)
Michael Diffily, Associate Dean...............................................863-2843
(Administration, Admissions, Status Changes, External Fellowships)
Linda Gillette (Financial Aid/Loans)...........................................863-3184
Carla Hansen, Associate Dean ...............................................863-2749
(Student Life Issues, Counseling, Referral)
Barbara Bennett, Administrative Assistant...............................863-2843
(Submission of Theses and Dissertations; Filing Fee; Extensions)
Joan Lusk, Associate Dean ....................................................863-2840
(Financial Aid, Graduate Council, Academic Affairs)
Michael Plater, Associate Dean ..............................................863-2289
(Minority Concerns)
Cynthia Taylor (Coordinator/Graduate Student Payroll).............863-2882
Erma Wallace (Coordinator/Administrative Affairs)..................863-2836
(Commencement)
Thomas Wunderlich (Associate Dean of Research)...................863-2831
(Salomon Grants, Indirect Costs)
Career Services, Sheila Curran, Director..................................863-3326
Beverly Ehrich, Dir. of Graduate Student Services.......................863-9318
Chaplain's Office, Janet Cooper Nelson, University Chaplain........863-2344
Center for the Advancement of College Teaching......................863-1219
Emergency Medical Services dispatch.....................................863-3322
English for International TA's, Barbara Gourlay, Coordinator ....863-2546
Foreign Students and Staff, Office of
John Eng-Wong, Director.......................................................863-2427
John O’Malley, Administrative Assistant..................................863-2427
Health Services........................................................................863-3953
Marlene T. Eckerle, Co-Director..............................................863-1304
Edward A. Wheeler MD, Co-Director .....................................863-1304
Hillel Foundation, Megan Nesbitt............................................863-2805
Police, Fire & Medical Emergencies........................................863-3322
Administrative Offices.............................................................863-3103
Psychological Services, Belinda Johnson, Ph.D., Director...........863-3476
Registrar..................................................................................863-2500
Residential Life.......................................................................863-3500
Sexual Assault and Sexual Harassment by Faculty or Staff
Brown Police and Security............................................................863-4111
William Crossgrove, Associate Dean of the Faculty..................863-7416
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