GUIDE FOR GRADUATE STUDENTS
DEPARTMENT OF ASTRONOMY

This guide is meant as a relatively informal supplement to the Graduate School Bulletin. Please read both carefully and contact the Director of Graduate studies (Eileen Friel) or the Graduate Secretary (Tiffany Freeman) if you have questions. The document contains materials in the Appendices regarding thesis and dissertation preparation, academic integrity, various forms you will encounter, office procedures, and information technology resources.

I. STRUCTURE OF GRADUATE DEGREE PROGRAMS

A. Degrees Offered

The Department of Astronomy offers M.A. and Ph.D. degrees in Astronomy and, jointly with the Department of Physics, a Ph.D. in Astrophysics.

B. Ph.D. in Astronomy

Course Work: Normally, Ph.D. students are required to take the first six of the eight astronomy core courses (see Section II) that are offered. Many students elect to take the other 2 courses as they are offered as well. The remainder of the required 90 credit hours consists of courses for their minor, astronomy seminars, and research credits. Completing the six required courses can usually be accomplished during the first two years. We encourage all students to enroll for some credit hours of research or independent study as early as possible. The third year is usually divided between research and elective courses and seminars. The fourth and any subsequent years are devoted almost entirely to dissertation work. Degree candidates are encouraged to participate in seminars throughout their residence.

Grades: As required by the Graduate School, a student must maintain a grade point average (G.P.A.) of 3.0 or better. Students who fall below a G.P.A. of 3.0 are put on academic probation for one semester, and they must raise their G.P.A.'s above 3.0 by the end of that semester or they may be dismissed from the graduate program. In addition, approval of the graduate faculty of the department is required for individual grades below a B (3.0) in required courses to be counted toward fulfilling degree requirements.

Advising: See Section IV.

Minor: Most astronomy students choose to minor in physics or scientific computing. Students
minoring in physics normally take three physics courses during their first year, at the 500-level or higher. The graduate minor program in scientific computing requires students to take four graduate courses from an interdisciplinary selection. Two astronomy courses may count for both the major and minor requirements in this case (current courses that satisfy the scientific computing minor include A570 Galactic Dynamics and A575 Structure and Evolution of Galaxies). Some students choose informatics, mathematics, geology, or chemistry as their minors, in consultation with advisors in these departments.

**Qualifying Examination:** The qualifying examination for the Ph.D. in astronomy is a 5 hour written examination; calculators are permitted. It is offered once a year in early summer (late May or June), with the exact date determined after consultation with both students and faculty. During the exam, students are required answer two general astronomy questions and choose 6 of 8 additional questions to answer.

The exam covers the core course material plus general astronomy at the A450-2 level. It is considered fair to include questions which involve a synthesis of material from different subfields. Questions need not come directly from the core courses but may involve recent developments or general astronomical lore. A good preparation would include not only intensive review of core course notes, texts, problems, and exams but also a review of general astronomy at an advanced undergraduate level. Helpful texts for the general review would be an elementary level refresher like Abell, Morrison, and Wolff's *Exploration of the Universe* or Shu's *The Physical Universe* followed by more technically comprehensive texts like Bowers and Deeming's *Astrophysics I* and *II* or Carroll and Ostlie’s *Modern Astrophysics*.

The examination is composed of questions submitted by all of the graduate faculty in the department. Each question is graded by two faculty members who meet to negotiate a single grade. While students do not pass or fail individual questions, especially poor performances on individual questions are certainly detrimental to the final score. The grades are compiled for all questions into a single total grade. The final decision of whether each student passes or fails is made by the graduate faculty of the department. Factors other than performance on the exam (such as academic standing, demonstration of promise as a researcher, and overall motivation) are considered for students whose scores are marginal. In some cases, it may be judged that the exam was passed at a master's level but not a doctoral level. In such cases, the written Ph.D. qualifying exam will be construed as satisfying the general astronomy part of the master's oral exam (see Section I.D). Students are told what their numerical performance was on each problem, and they are free to go over problems after the exam with any faculty member or members they wish. Copies of earlier exams are available on the department’s website, but students should be aware that the format of the examination was modified in 2010.

**Ph.D. Candidacy:** A student will be admitted to Ph.D. candidacy after he or she has passed all required qualifying exams and completed all course requirements. The doctoral candidacy dates from the passage of the Qualifying exam. The requisite forms should be submitted promptly.

**Research Committee:** Students should form and convene a Research Committee within a year of passing the written Qualifying Examination. The Research Committee must consist of at least four graduate faculty members, three from the major department (including the student's
dissertation advisor who normally chairs the Committee) and one from the outside minor. This Committee will conduct the oral dissertation defense and is responsible for final acceptance and approval of the dissertation. Once the Committee is formed, the candidate is responsible for convening at least one meeting of the Research Committee in every subsequent academic year until his or her dissertation is successfully defended.

Candidacy Seminar: The candidacy seminar is an oral presentation to the Research Committee, usually consisting of a dissertation proposal and/or a summary of past research activity. It must be completed within a year of passing the written Qualifying Examination (typically by the end of the third year of residence). Completion of the candidacy seminar is usually considered by the faculty as sufficient evidence of research proficiency to warrant the granting of an M.A. thesis waiver (see section I.D). Failure to hold the candidacy seminar within the specified time may result in the student being placed on Academic Probation.

Final Oral Defense of the Dissertation: This consists of a prepared presentation by the candidate interspersed with and followed by questions from the Research Committee members. The formal presentation is usually planned as a 40-50 minute talk (the actual defense will take much longer than this, of course) and is expected to cover the highlights of the dissertation research. Other members of the graduate faculty may also be present and ask questions. In our department, it is typical for students to give a colloquium on their topic in addition to the formal defense.

C. Ph.D. in Astrophysics

General: The Astrophysics Program is administered by a committee of graduate faculty from the Department of Astronomy and the Department of Physics. The current committee consists of astronomers Cohn, Deliyannis, Vesperini, and Mufson (chairman) and of physicists Horowitz, Kostelecky, and Musser. Students in the program may reside in either department. Students must be admitted to the astronomy or physics doctoral program before applying for admission to the Astrophysics Program. Any time during their first or second year in the physics or astronomy doctoral program, they may apply for admission to the Astrophysics Program by a written memo addressed to the Chairman of the Astrophysics Committee, currently Dr. Stuart Mufson. Students in astrophysics usually gear their course schedule toward the astrophysics requirements prior to formal admission so that this indirect admission process does not delay student progress.

Course Work: Students are required to take a selection of four astronomy core courses, four physics courses, and an elective graduate course from physics, astrophysics, or astronomy for a total of nine. The particular courses are described in Section II.D. Astrophysics students are encouraged to take the entire astronomy core sequence, if possible. Astrophysics students often take a somewhat heavier course load than astronomy students and sometimes rely on transfer graduate credits to meet some of the physics requirements.
Grades: The G.P.A. requirements in astrophysics are the same as in astronomy, except that the Astrophysics Committee, not the astronomy faculty, decides whether and under what conditions substandard grades may be accepted.

Advising: Astrophysics students are subject to the advising procedures of their resident departments prior to admission to the program; subsequently, faculty from the Astrophysics Committee will advise students until they have passed their qualifying examinations and have been admitted to candidacy. After admission to candidacy, the practical burden of advising lies with the student's faculty dissertation director and the Research Committee.

Minor: Students in astrophysics from the Department of Astronomy automatically fulfill the requirements for a minor in physics; and those from the Department of Physics automatically fulfill the requirements for a minor in astronomy.

Qualifying Examinations: To advance to candidacy, an astrophysics student must pass half of each of the written qualifying exams in physics and astronomy. In physics, the designated half is the part given on the first day of the two day exam. This covers primarily classical mechanics, electromagnetism, and statistical physics but may contain one or two questions from other areas of physics at the undergraduate level. The courses P506, P521, and P556 should prepare a student for most of this material. The rest is usually, but not always, covered in an undergraduate physics curriculum. Students are advised to discuss the physics qualifier with the physicists on the Astrophysics Committee. The physics qualifier is offered once a year in the week preceding the Fall semester. Students must sign up beforehand in the Department of Physics Office (SW 132) and should identify themselves as astrophysics students.

In astronomy, the designated portion of the qualifying examination for astrophysics students consists of the two general astronomy questions and 4 out of 8 additional questions. Astrophysics students will have 3.5 hours to complete their portion of the examination.

Astrophysics students are required, by the Astrophysics Committee, to have passed both qualifiers and completed their course requirements by the end of their sixth semester. The department of residence may impose more stringent deadlines for the course work and the exam it administers. The Astrophysics Committee is the ultimate arbiter of passage and will routinely consider other aspects of a student's performance in marginal cases, just as for the Ph.D. in Astronomy (see Section I.B).

Research Committee: The same rules described in Section I.B apply to doctoral candidates in the Astrophysics Program.

Candidacy Seminar: The same rules described in Section I.B apply to students in the Astrophysics Program from the Astronomy Department.
D. M.A. in Astronomy

Most, but not all, students enter our department with the intention of attaining a Ph.D. degree. For the typical successful Ph.D. student, attainment of a Master's degree is an optional step in the process. Students who leave after completing their Master's degree often do well in technical employment or education.

Course Work: A minimum of 30 credit hours are required for an M.A. The required courses for masters students are any three astronomy graduate core courses. The remaining credit hours may consist of A450, A451, A452, or A453, other core courses, physics courses, and thesis research credits.

Examinations: For the M.A., students must pass a two-part oral examination demonstrating mastery of both general astronomy and their research project. Specifically, one half of the examination is on general astronomy at the 400-level and topics from the three graduate core courses; the other half of the examination is on the M.A. thesis project. Students may satisfy the first half of this examination by demonstrating an equivalent proficiency on designated sections of the Ph.D. written qualifier; currently, M.A. students must complete 1 of the 2 general astronomy questions and 3 of the 8 remaining questions during a 2.5 hour testing period. Students who are taking the Qualifier only at the Master’s Level should announce this intention beforehand. For doctoral students who wish to earn an M.A. enroute to the Ph.D., the M.A. examination requirements may be met by demonstrating an equivalent mastery of the subject matter on the Ph.D. written qualifier and by demonstrating equivalent research proficiency during the Candidacy Seminar.

Thesis: A thesis is required for a Master's degree unless an explicit waiver is granted by the graduate faculty. Even with a thesis waiver, M.A. students must still demonstrate research proficiency by working on a significant research project; thus, students with a thesis waiver may not submit the Master’s degree form until approved by their research advisor. Students with a thesis waiver typically demonstrate their research proficiency to the graduate faculty by creating an oral or written presentation that describes their work.

An M.A. thesis waiver is often granted to doctoral students making good progress in course work and research. After passing the Ph.D. Qualifying Examination, doctoral students should inform their research advisor and Research Committee if they would like to be considered for an M.A. thesis waiver. If requested, a thesis waiver will be considered by the astronomy faculty members of the student’s Research Committee following the student’s Candidacy Seminar. If the waiver is denied, the faculty may strongly urge that the student complete a formal Master’s thesis to demonstrate research proficiency; however, Ph.D. students are not compelled to complete a Master’s degree if they do not want to. If the M.A. thesis waiver is approved, doctoral students should file the appropriate paper work for their M.A. in a timely manner.

Students who plan to end their studies with an M.A. may also be granted a thesis waiver in
In certain circumstances. With a thesis waiver, the format of the final document or presentation can be adapted to a form most appropriate for the project (including, for example, web pages, a project report, or a journal paper). The M.A. thesis waiver must be approved by the astronomy graduate faculty and should be requested by the student after consultation with their research advisor. Since granting an M.A. thesis waiver depends strongly on the concordance of the student’s research advisor, this possibility should be discussed early in the process of identifying an appropriate M.A. research project. Masters students with a thesis waiver may not submit the Master’s degree form until approved by the research advisor.

II. GRADUATE CURRICULUM

A. Core Course Requirements

The first two years of astronomy graduate instruction are built around the astronomy core courses. These courses are meant to provide a solid foundation in principles and major results, both traditional and contemporary, of astronomical research outside the solar system, with an emphasis on fields in which our faculty specializes. This foundation is intended to be strong and deep enough to start a productive career as a researcher in astronomy. In addition, all students are expected to gain a basic understanding of space research through independent reading and 100- or 200-level teaching assignments. While space science and solar system studies are deemphasized in our curriculum, developing further expertise in this area may be desirable if you participate in any of the solar system research efforts on campus or within the department (e.g., astrobiology, meteoritics, Mars exploration, planet formation, and exoplanet detection).

The current core astronomy courses are listed in Table 1; the number in parentheses is the number of credit hours for the course. Typically, three core courses are offered each year. With eight courses, this means that each course is given roughly every other year. A student incurs no disadvantage by taking the cores in any particular order. Usually only one core course is offered in the Fall because most physics courses taken by astronomy and astrophysics students are also offered in the Fall. Having only one astronomy core course in the Fall enables students to take physics courses in a timely manner. Astronomy doctoral students are required to take the first six core courses which are offered. Astrophysics and master’s only students may select any four or three, respectively, to meet their minimum degree requirements. All students are encouraged to take all eight core courses as they are offered.

<table>
<thead>
<tr>
<th>Astronomy Department</th>
<th>Core Courses</th>
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<tbody>
<tr>
<td>A505 (3)</td>
<td>Observational Techniques</td>
</tr>
<tr>
<td>A520 (3)</td>
<td>Interstellar Medium</td>
</tr>
<tr>
<td>A530 (3)</td>
<td>Galactic Astronomy</td>
</tr>
<tr>
<td>A540 (3)</td>
<td>Stellar Atmospheres</td>
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<tr>
<td>A550 (3)</td>
<td>Stellar Interiors</td>
</tr>
<tr>
<td>A570 (3)</td>
<td>Galactic Dynamics</td>
</tr>
<tr>
<td>A575 (3)</td>
<td>Structure and Evolution of Galaxies</td>
</tr>
</tbody>
</table>
B. Research and Seminar Courses

Training in research techniques occurs primarily through projects undertaken in collaboration with one or more faculty mentor(s). Students should approach members of the faculty individually to discuss research opportunities. Furthermore, in-depth exposure to current frontier research or techniques is also provided by graduate seminars of usually two credit hours (see Table 2) and by attendance at the departmental colloquium series. Recently, we have also had informal presentations on a variety of topics by students and faculty at Friday lunch seminars, and at weekly ‘astro coffee’ meetings. These activities are considered essential to good graduate training.

There are two courses in the department (A890 and A899) that are used to provide credit hours for student research, and there are two sections of each course. A890 must be used by doctoral students who are not yet doctoral candidates and by M.A. students. A899 must be used by students who are doctoral candidates whether or not they have yet filed the candidacy forms. As explained in Section III.B, there is a third graduate student research course, G901, available for doctoral students with more than 90 graduate credit hours. To register for a research course, students must have the consent of their faculty research advisor. Furthermore, you must consult with your research advisor about which section of the research course you should take: in one section of each course, only an S (satisfactory) or F (fail) is assigned; in the other, letter grades must be assigned by the research advisor. The number of credits hours that you register for must also be approved by your research advisor. As with all graduate courses, each credit hour of A890 or A899 should correspond to at least 3-4 hours per week of research activity.

<table>
<thead>
<tr>
<th>Semester</th>
<th>Year</th>
<th>Topic</th>
<th>Faculty Organizers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spring</td>
<td>2004</td>
<td>Chemical Enrichment of the Universe from Stars to Galaxies</td>
<td>L. van Zee</td>
</tr>
<tr>
<td>Spring</td>
<td>2005</td>
<td>Design and Development of 30m Optical/IR Telescopes</td>
<td>L. van Zee</td>
</tr>
<tr>
<td>Spring</td>
<td>2007</td>
<td>Protostars and Protoplanets</td>
<td>R. H. Durisen</td>
</tr>
<tr>
<td>Fall</td>
<td>2007</td>
<td>Stellar Populations</td>
<td>K. Rhode</td>
</tr>
<tr>
<td>Fall</td>
<td>2008</td>
<td>Active Galactic Nuclei</td>
<td>J. Salzer</td>
</tr>
<tr>
<td>Fall</td>
<td>2009</td>
<td>Planning Science Commissioning Observations with ODI</td>
<td>L. van Zee, K. Rhode</td>
</tr>
<tr>
<td>Fall</td>
<td>2010</td>
<td>The Astronomy and Astrophysics Decadal Survey</td>
<td>S. Salim</td>
</tr>
<tr>
<td>Fall</td>
<td>2011</td>
<td>Astronomy with Archival Data Sets</td>
<td>E. Friel</td>
</tr>
</tbody>
</table>
C. Electives

Graduate electives in physics, mathematics, and other areas are encouraged throughout a student's career as long as they do not conflict with research or core course commitments. Students with special interests occasionally enroll in advanced physics courses. The program of graduate courses in scientific computing is a source of useful elective courses. This program offers an attractive outside minor for students whose astronomical or astrophysical research is computationally intensive.

D. The Astrophysics Program

The Astrophysics Program is intended for potential researchers and university teachers in areas of astronomy or astrophysics that demand a more intensive background in physics. Students are required to select four of the eight astronomy courses (A505, A520, A530, A540, A550, A570, A575, and A580). In physics, the required courses are:

- P506 Electricity and Magnetism (offered in the Fall)
- P511 Quantum Mechanics (offered in the Fall)
- P521 Classical Mechanics (offered in the Fall)
- P556 Statistical Physics (offered in the Spring)

Students must also take at least one elective course, which can be a fifth astronomy core course or one of P507, P512, P630, P637, G630, or G650. The three courses P506, P521, and P556 are preparation for the astrophysics part of the physics qualifying exam given in late August.

III. GRADUATE STUDENT OPPORTUNITIES

A. Financial Support

Student support within the department comes almost entirely in the form of associate instructorships (A.I.'s), graduate fellowships, and research assistantships (R.A.'s). The A.I. positions are funded by the College of Arts and Sciences; R.A.'s are funded by external grants. In recent years, our students have done well in competitions for external fellowships and dissertation-year fellowships awarded by the College of Arts and Sciences. The rest of our students have other means of support, e.g., foreign students with government scholarships,
nonresident doctoral candidates with jobs, A.I.'s or R.A.'s in other departments, or student loans and other private support. Routinely, all students admitted with financial support receive continuing support as long as they remain in good academic standing. Continuing support is usually offered as an A.I. or R.A. However, students who are not making adequate progress toward their degree (as evidenced by course work or research productivity) may not be re-appointed in subsequent semesters and priority for support is given to students in years 1-6 of their graduate studies.

Campus policies for student academic appointees are summarized in the Handbook for Student Academic Appointees issued each year by the Office of the Vice Provost for Faculty and Academic Affairs. Each student should receive a copy of the Handbook; it is also available on the VPFAA website. The Handbook addresses the duties and responsibilities of student academic appointees as well as the terms of appointments, terminations, and grievance procedures.

Students employed as R.A.'s or A.I.'s in the Astronomy Department are usually entitled to 12 credit hours of fee remission per semester (see Section III.B for more details) and must enroll for at least 6 credit hours per semester. In addition, any student supported as an A.I. during the entire academic year is also entitled to 6 credit hours of fee remission in the summer. Even with fee remission, students should be aware that they are responsible for any unremittable fees and mandatory fees associated with their enrollment at Indiana University.

Yearly stipends for graduate students in the astronomy department are usually at least $18k; graduate students employed as R.A.'s and students with external fellowships usually earn more than students supported as A.I.'s. The 10-month academic year stipend for an A.I. position in the astronomy department is $15,750 in 2014-15. During Summer 2014, graduate students teaching small sections of 100-level astronomy courses earned $3,467.

B. Fee Remissions and Fee Scholarships

Fee waivers of various types form an important component of graduate student support, which can range in value up to many thousands of dollars per year. Because of changes in the federal tax laws, Indiana University's policies and procedures for allocation of fee waivers can change on short notice. This section attempts to summarize the current policy and address only how fee policies are implemented at the departmental level. Questions at this level can be referred to the department’s Graduate Secretary, the department’s Financial Manager, the Chairperson, or the Director of Graduate Studies. Technical questions regarding your tax liabilities should be posed directly to the Graduate School.

Fee Remission: According to current policy, this form of fee waiver exists for A.I.'s and R.A.'s who are greater than 0.375 FTE (full-time equivalent). Most A.I.'s and R.A.'s are considered 0.5 FTE. Faculty members must include such fees in grant proposals containing R.A.'s, and the fees are charged to the grant at in-state rates. Fee waivers for external fellowships are not automatic and must be requested on a case by case basis. Fee waivers do tend to be part of fellowship packages generated with IU funds. At present, there is no minimum G.P.A. required to be eligible for fee waivers. Our current understanding is that fee remissions are not taxable. Even
with a fee remission waiver, however, students are required to pay all the unremittable and mandatory fees associated with their course enrollments.

**Credit Hour Entitlements:** Being appointed as an A.I. or R.A. for > 0.375 FTE during the academic year entitles a student to 12 credit hours per semester of fee remission and an academic year A.I. appointment carries a 6 credit hour entitlement for summer courses. Students are urged to utilize all these credit hours in order to reach a total of 90 credit hours as quickly as possible. This will make them much more attractive for R.A. appointments. Specifically, for a student under 90 credit hours to be appointed as an R.A., the research grant must pay the waived fees at in-state rates in addition to the student’s stipend; however, if a student is eligible and enrolls in G901 (see below), the grant is not charged these fees. This is a difference of many thousands of dollars in research funds.

**Students over 90 Hours:** Regardless of their residency or employment status, students over 90 credit hours can enroll in the 6 credit hour course G901, Advanced Research, for a flat fee (currently $150/semester). While this flat fee is charged directly to the student (i.e., it is not covered by an academic appointment as an R.A. or A.I.), it is significantly lower than the unremittable fees associated with enrollment in other courses. However, dissertation students can enroll in G901 for no more than six semesters. After six semesters of G901, a student must enroll in at least 1 credit hour of A899 each semester until completing his or her degree. Students who exceed the six semester limit for G901 should also note that they must enroll in at least 6 credit hours per semester to be appointed as an A.I. or R.A., and will be required to pay the associated mandatory and unremittable fees for these credit hours.

C. Student Jobs

It is expected that all students funded through the department, whether by a fellowship, an A.I., or an R.A. will participate in departmental public outreach activities. This is considered a necessary part of graduate training in a field with such great popular appeal, and it is an explicit component of all departmental A.I. contracts. These duties include, among others, conducting Wednesday public nights at Kirkwood Observatory, conducting group tours of Kirkwood Observatory (currently scheduled on Thursdays), and assisting with Science Olympiad and the Physics-Astronomy Open House. Sign-up lists are posted or e-mailed well in advance. Students who do not volunteer may be assigned to specific jobs without consultation.

During the 10-month academic year, the A.I. functions assigned to astronomy department graduate students usually include a combination of grading, office hours, and observing events (e.g., using the solar telescope, Kirkwood Observatory, or small telescopes on the roof of Swain West). A.I.’s are usually assigned to assist with a single undergraduate class during the semester and are expected to work closely with the instructor. A.I.’s are expected to attend all lectures and be prepared to assist in classroom activities. While most academic year assignments are associated with classes taught by members of the astronomy department faculty, one or two evening sections of A100 or A105 may be taught by an A.I.

During the summer sessions, graduate students have the opportunity to teach small sections
(10 – 50 students) of A100 or A105 on their own. Students wishing to teach A100 or A105 in the summer must participate in the A.I. training program described in Section VII. Our summer A.I. budget is usually adequate to support all students who wish to teach. There are usually also grant-supported summer R.A.'s available.

D. Research Opportunities

An effort is made to ensure that all our Ph.D. students become involved in research by their second semester. Although there is a strong tendency for students to work with faculty members on research related to an external grant, some students are strongly self-motivated and create their own opportunities. Some grant proposals have had student co-principal investigators, and our students sometimes obtain summer or even full year research positions at other institutions. Many faculty members have federally funded grants, so there is good opportunity for students to participate in funded research projects.

The department itself has some funds for direct support of graduate student research for travel to research facilities, especially the WIYN Observatory. Small amounts of money are also available through the Graduate School and the College of Arts and Sciences to subsidize special dissertation-related expenses or travel. The meager Graduate School funds are available on a competitive basis and require documentation and letters of faculty support. Otherwise, students must rely on external faculty grants or external fellowship awards for support of their own research (such as page charges, equipment, and travel).

E. Department Awards and Honors

The astronomy department recognizes exceptional performance by its students during the annual department awards ceremony. Graduate students are considered for departmental awards recognizing outstanding research (Hollis and Grete Johnson Research Prize), teaching (Frank and Margaret Edmondson Prize for Classroom Teaching), and outreach (Goethe Link Prize for Outreach and Public Education in Astronomy). In any given year, one, more than one, or no awards at all may be given. In addition, in alternate years, the astronomy department may award the Swain Fellowship for Graduate Students to an outstanding advanced Ph.D. student. Outstanding graduate students are also nominated by the department for College and University awards, such as the McCormick Science Grant and Dissertation Year Fellowships.

IV. STUDENT ADVISING AND TRACKING

A. Advising

Each entering student has an Advisory Committee consisting of two astronomy faculty members. For uniformity in administration of technical matters, the Director of Graduate Studies is a member of all Advisory Committees. The committee usually meets with the student before registration each semester but otherwise only under circumstances of an extraordinary nature. Routine problems are usually handled by the student in consultation with the Graduate Secretary or the Director of Graduate Studies. Once a student achieves candidacy (defined as
completion of all course and Ph.D. qualifying exam requirements) and begins to explore a
dissertation topic with a particular faculty member, that faculty member will usually take on the
responsibility of personal and research-related counseling, while the Director of Graduate
Studies and the Graduate Secretary continue to handle more routine, administrative matters. In
addition to the dissertation advisor, a doctoral candidate receives guidance and counseling from
the Research Committee (see Section I.B), which the candidate is required to convene at least
once a year throughout the dissertation research.

B. Typical Progress of a Student

This section first outlines the approximate course of a "typical" student's progress and then
notes common variants on the pattern.

Typical Student: First Year—an entering doctoral student usually has the physics and
mathematics background of an undergraduate physics major plus some astronomy courses or
some demonstrable astronomy background obtained through personal interest and initiative.
These students begin our core course sequence and take physics or computational science
courses toward a minor or physics courses toward an astrophysics degree. They often also sign
up for seminar courses and begin doing some research. During the summer after their first year,
students continue to work on their research projects and enroll in research credits. In addition,
most students have the opportunity to teach their own 100-level astronomy course during one of
the summer sessions. If a student is interested in the Astrophysics Program, application will
usually be made to the Astrophysics Committee during the second or third semester. An
astrophysics student who has taken P506, P521, and P556 during the first year will usually take
the astrophysics part of the physics qualifying exam in August before the second year.

Second Year—Assuming reasonable performance in the first year courses, a typical student
continues the core course sequence in the second year, takes research credits, participates in
seminar, and takes one or two physics courses or other electives. Having completed the core
course sequence, the student should be prepared to take the written Ph.D. qualifying exam on
core course material and general astronomy in the summer after the second year. If the first
attempt is not passed, a second attempt is permitted in the following year. Astrophysics students
also take the requisite half of the astronomy qualifying exam at this time. The second summer is
commonly spent on research leading to the student's dissertation topic.

Third Year—By now a student is usually spending most of his or her time on thesis-
related research and on participation in seminars and colloquia. Some students
continue, however, to take some elective courses. The typical student advances to candidacy
during the third year, forms his/her Research Committee, and gives a Candidacy Seminar by the
end of the year. After passing the qualifier, a doctoral student may consider requesting an M.A.
thesis waiver. A good student who has demonstrated solid research ability is usually granted an
M.A. thesis waiver upon completion of the candidacy seminar.

Fourth and Subsequent Years—The time from here to completion of a Ph.D. degree varies
greatly but is typically three years, giving an total graduate career of six years. During this time,
students must meet with their Research Committee each year to discuss their project and overall
progress toward completion of their dissertation. Students are also expected to continue to
participate in departmental seminars and colloquia throughout their residency in the department.

**Common Variants:** Occasionally, students enter with little or no astronomy background. They may be advised to take 400-level courses and perhaps only one or two core courses in their first year. Our current tendency, when in doubt, is to recommend an aggressive approach to avoid delay. Students entering with Master's degrees in physics and/or astronomy are not exempted from core courses and follow a fairly typical pattern and time scale, except that they may satisfy some physics requirements by transferring credit. Foreign students sometimes encounter difficulties due to language problems or deficiencies in their scientific backgrounds. We try to be flexible and allow up to a year for adjustments if necessary. A student who completes an M.A. thesis will usually take longer to finish a Ph.D. than a student with an M.A. thesis waiver because the M.A. research can take an additional six to eighteen months.

**Support:** The typical student will begin with an A.I. and/or Fellowship and thereafter be supported both in the summer and the 10-month academic term by A.I.'s with perhaps one to three years or summers as an R.A. A good student will have a fee waiver during both semesters each year and for summer sessions. A limited number of dissertation-year fellowships are available from the College of Arts and Sciences on an extremely competitive basis. Students have recently been quite successful with competitions for external awards, including NSF, NASA GRSP, NASA ESS, and Indiana Space Grant Consortium Graduate Fellowships.

<table>
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<th>Checklist for Progress toward Astronomy Ph.D. Degree</th>
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<tr>
<td>Submit Advisory Committee form to the College and verify all paperwork is up-to-date (1st semester)</td>
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<tr>
<td>Complete courses for minor and file any associated paperwork (often by end of 1st year)</td>
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<tr>
<td>Complete all core astronomy courses (typically by end of 2nd year)</td>
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<tr>
<td>Pass Ph.D. Qualifying exam and file Nomination of Candidacy Form (summer after 2nd year)</td>
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<tr>
<td>Form Research Committee and complete Candidacy Seminar (often by end of fifth semester)</td>
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<tr>
<td>Request M.A. Thesis Waiver and file to obtain M.A. degree, if appropriate</td>
</tr>
<tr>
<td>Write 1-2 page prospectus and file Nomination of Research Committee Form (typically by end of 4th year)</td>
</tr>
<tr>
<td>Convene meeting with Research Committee at least once a year until dissertation is successfully defended.</td>
</tr>
<tr>
<td>Complete research and write draft of dissertation in consultation with research advisor</td>
</tr>
<tr>
<td>Schedule defense date and file paperwork at least 30 days in advance</td>
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</table>
Successfully defend your dissertation, complete suggested revisions, and submit dissertation to graduate school with associated paperwork.

Print and bind copies of dissertation for the department (1) and for any committee members who request a copy. If appropriate, notify national facilities that you have completed a dissertation based on data obtained with their telescopes, etc.

V. GRADUATE STUDENT RIGHTS AND RESPONSIBILITIES

A. General Rights

Graduate students in the department are provided with a desk and computer in a graduate student office and some bookcase and file drawer space in that office. They receive a graduate student key which opens all graduate student offices, the Teaching Resource Room, the Conference Room, the Departmental Computer Rooms, the Remote Observing Center (ROC), the Copy Room, outside doors to the building, the Kirkwood Observatory front door, and the doors to the 12" Refractor and Solar Lab Rooms in Kirkwood Observatory. A $20.00 refundable deposit is required for the key (checks only, no cash). Keys must be returned upon leaving the department.

Several rules of thumb are usually helpful when deciding "rights": a) Generally, graduate students are entitled to facility access and support for responsibilities associated with their astronomical research and with any job (A.I., R.A., outreach, etc.) they have in the department. b) Generally, graduate students must supply their own support (books, stationary, etc.) for responsibilities associated with their role as a student. c) Although they have the right to access departmental facilities, graduate students must do so in a manner which recognizes the shared nature of the facility. In particular, they should be sure they are checked out on any complex facility by a faculty member directly or by a knowledgeable student or staff member acting explicitly on behalf of the responsible faculty member.

B. General Responsibilities

Facilities must be used in a thoughtful, considerate, and responsible manner. In many respects, for routine needs, the department functions on the margin, with little budgetary leeway for replacement or repair of essential equipment and with limited budget lines for supplies. When using facilities like the Teaching Resource Room, Computer Rooms, Xerox Room, Kirkwood Observatory, and small telescopes, users must ensure that equipment is returned to its proper storage area and that these areas are closed and locked after use, especially when no one is around. The Celestron 8" telescopes are for teaching use only and should not leave the department. The Computer Rooms and Teaching Resource Room should always remain closed and locked. When in doubt, if you find any door unlocked or propped open when no one is around, shut it and lock it. Anyone who needs to get in should have a key. The department has suffered serious equipment thefts, and there have been occasional, though rare, outbreaks of computer thefts, vandalism, and arson elsewhere on campus. No one from outside the department should use the departmental computing facilities without explicit faculty permission.
C. Office Supplies, Copying, and Mail

Graduate students are entitled to office facilities and supplies in support of their teaching assignments. A graduate student with full responsibility for teaching a course has the same privileges as a faculty member as far as their teaching assignment is concerned. Except for extreme emergencies, large duplication jobs should not be done on the department's copier but should be submitted to MAXI, which requires a one day lead time.

Students doing astronomical research, even if it is not directed by a faculty member, may use departmental services and supplies. The only explicit exception to research access rights concerns Master's thesis and Ph.D. dissertation preparation. Technically, the Graduate School requires students to bear stationary and duplication costs for these documents. All research is supported by the department, including preparation of manuscripts for publication, posters for meetings, and correspondence concerning research. One exception regarding mail is that students should personally bear costs associated with job searches (e.g., resume preparation costs and postage for job applications). Another exception regarding research is that the department has no specially designated funds of its own to support publication charges for journal articles. These charges are typically high (e.g., ~$100/page in The Astrophysical Journal). Both faculty and students must rely on external grants to meet these costs or publish in journals that do not have page charges (e.g., Icarus or M.N.R.A.S.).

D. Facilities

Students should be checked out by Dr. Mufson or other faculty members before using any Observatory facilities on their own. However, once checked out, graduate students are entitled to access these facilities, even for personal projects and certainly for their A.I. jobs. Kirkwood facilities must be reserved ahead of time to avoid conflicts. Departmental Google calendars are used to reserve observatory and other shared facilities, such as the conference room and Remote Observing Center (ROC). Nights on the WIYN facilities are allocated through an internal proposal process; proposals are typically due in October for the Spring Semester and in April for the Fall Semester. Students may be co-Is on projects using either the WIYN 3.5m or WIYN 0.9m telescopes. Students may apply for time on the WIYN 0.9m telescope as PI.

Mr. Eric Ost is in charge of assigning accounts on the Departmental Computing System and should be consulted by students wishing to use the system. It is a student's responsibility to remain current on policies, especially with regard to use of disk storage space and appropriate use of computing resources. Accounts on University computers are available by request from the University Information Technology Services (UITS). Departmental computing facilities may be used for astronomical research, teaching, and course assignments.

E. Teaching Equipment

Graduate students are entitled to use the departmental media collection for professional purposes (teaching, colloquia, seminars, public talks). Videotapes and DVDs are available in the Teaching Resource Room (SW 328) along with projectors, TV monitor, and VCR. A digital projector and laptop computer are kept in the storage area in the Copy Room. All equipment
should be returned promptly to its correct location after use. Computer equipment and software are available for in-class demonstrations, and there are meteorites in the Chairperson's Office. When teaching classes, graduate students may consult with the person (currently Mr. Bing Zheng) in charge of demonstrations in the Department of Physics. There is an informal agreement between the departments that he may be asked to assist with demonstrations in astronomy classes.

F. Teaching Materials

There are many resources available for students preparing to teach their own courses. Lecture notes, homework and examination problems, projects, and class activities that are appropriate for 100-level astronomy courses have been developed by many individuals in the department. Most instructors are willing to share their materials, but it is normal practice and professional courtesy to request permission prior to use when adopting teaching materials developed by someone else. Some would say it is legally required. This policy applies to faculty, as well as students.

G. Open Houses and Outreach

The department hosts the public in an array of open house and outreach activities: 1) the Kirkwood Open House occurs on most Wednesday evenings during regular semesters & summer sessions; 2) daytime public tours of Kirkwood Observatory are currently scheduled on Thursdays during the year; 3) the Physics & Astronomy Open House is held once a year on a Saturday in the Fall; and, 4) Science Olympiad is held during one weekend in the Spring. Involvement in these events is part of your professional training. All students supported through the department, whether on a Fellowship, A.I., or R.A., are required to participate. Students are welcome to take additional initiatives for public outreach and may sign up to use department facilities for this purpose through the Main Office.

H. Graduate Student Governance

Graduate students participate in a variety of departmental activities, including acting as student representatives on the Information Technology (IT) and the A.I. assignment committees. Each spring, the current graduate students elect a Graduate Student Liaison (GSL) who serves as the astronomy department representative on the University-wide Graduate and Professional Student Organization (GPSO), attends the open session of departmental faculty meetings, helps arrange visits of prospective graduate students, and organizes the semi-annual department picnic. A graduate student is also elected to organize the Friday Lunch Talk series. In addition, one of the departmental A.I. assignments is to be the Astronomy Department Outreach Coordinator, who is responsible for organizing student participation in outreach and open house events.
VI. ADMINISTRATIVE RESPONSIBILITIES

Below are the duties for the Astronomy Department Administrative Staff. Please feel free to contact either of us with questions you may have regarding policies and procedures.

- **Paige Koehler Bowles**, Manager, Fiscal and Administrative Services
  - Budget
  - Payroll
  - Travel
  - Appointments (e-docs)
  - IEF’s
  - A21’s
  - Scheduling Officer Assistant
  - Classroom Scheduling
  - Foundation Accounts
  - Purchasing
  - Book Orders
  - Proposal Awards and C&G Contact
  - Building Rep contact with Physical Plant and Custodian Service

- **Tiffany Freeman**, Graduate Secretary
  - Web, printing support, restock paper, transparencies etc..
  - Graduate Records and Applications
  - Qualifier
  - Undergraduate Records (Advising)
  - Proposal Submission
  - Point of contact for outreach, Kirwood Open Houses, etc..
  - Class work, MAXI
  - Newsletter, Flyers, Posters, Colloquium Sign—up Sheets, departmental address list, donor letters, etc…
  - Colloquium Tea
  - Travel
  - Mail

VII. MANDATORY A.I. TRAINING

Indiana University requires that A.I.’s receive some formal training. All new A.I.’s are required by the University to attend a workshop on diversity offered before the start of the Fall Semester. Students assisting in courses taught by faculty members during the semester are presumed to be instructed in their activities on a one-to-one basis by the faculty members they assist. There is also a handbook for Associate Instructors at I.U. prepared by the Center for Innovative Teaching and Learning (CITL). All beginning A.I.’s should read it thoughtfully, especially those who did not attend a large state university as undergraduates.

Astronomy department graduate students have the opportunity to teach small classes on their
own, including A100 and A105 in summer sessions and an evening 100-level section during both
semesters. To be eligible for these teaching opportunities, students must participate in the
department's formal A.I. training program. This program has two components:

1) attendance at seminars offered by the Astronomy Department or, with the approval of the
departmental A.I. Coordinator, lectures sponsored by the Center for Innovative
Teaching and Learning, and

2) participation in a formal mentoring program with a department faculty member during
each summer teaching assignment.

The Department will offer seminars on teaching during the academic year. To satisfy component
#1, new graduate students are expected to attend and participate in at least three such seminars
during their first year. Students continuing as A.I.’s are required to attend at least one teaching
seminar per year in subsequent years. Several CITL lectures are offered each semester, and most
(but not all) are relevant preparation for teaching small sections of 100-level astronomy courses.
With permission of the A.I. Coordinator, students may attend CITL lectures that are relevant to
teaching astronomy as an alternative to departmental seminars.

To be eligible for summer teaching assignments, students must first comply with these
requirements. It is expected that all first year students will wish to attend these lectures in order
to qualify for summer A.I.'s. The A.I. Coordinator, or his/her designee, will maintain records of
student participation to assure that students who teach summer and evening courses are qualified
to do so.

Students with summer and evening teaching assignments will be assigned a faculty mentor to
provide guidance and feedback. Students are responsible for contacting the mentor prior to the
start of the course to discuss teaching approaches and during the course to discuss course
progress and issues that arise. Faculty mentors are responsible for attending at least one class to
provide advice and feedback to the student instructor. It is important to emphasize that these
activities are intended to help the student become a better teacher and play no direct role in the
evaluation of student performance affecting future assignments. Students are encouraged to seek
additional teacher training from the CITL or department faculty, if they feel it would be useful.

Students are required to use the Department's standard student evaluation forms at the end of
their course. These must be turned in to the A.I. Coordinator in a timely manner and will be
returned to the students for their teaching portfolio.

VIII. CAMPUS RESOURCES FOR STUDENTS AND INSTRUCTORS

Graduate students, particularly associate instructors, should also be aware of campus
resources that can help with issues of student life and with concerns that may arise as part of an
instructor’s teaching duties. Each of these campus offices can be found on the IU Big List.

- **Center for Innovative Teaching and Learning** provides assistance in and out of the
classroom with the development, implementation, and evaluation of teaching, technology,
and course innovation. (See their “all about teaching” website at
[www.indiana.edu/~teaching/allabout/](http://www.indiana.edu/~teaching/allabout/))
- **Counseling & Psychological Services (CAPS)** provides counseling for students concerned about relationships, stresses of all kinds, mood problems, anger, cultural adjustments and substance use that might be interfering with goal attainment – to name a few. Refer troubled students to CAPS.

- **Student Advocates Office** helps students solve university related problems – both academic and administrative. The Advocates are administrators and retired faculty who have a wealth of knowledge about the university and serve on the student’s behalf. Refer students to the Student Advocate Office if they appear to have administrative or academic problems beyond the scope of your class.

- The **Sexual Assault Crisis Service (SACS)** provides crisis intervention, individual and group counseling and educational programming for victims of sexual assault and their family and friends. SACS also offers after-hours crisis phone consultations at 855-8900. The US Department of Justice estimates that one in six women college students is sexually assaulted. Women students who have been sexually assaulted often suffer from anxiety and depression, and many drop out of school. If a student reports a sexual assault, please encourage the student to contact SACS.

- The **Health Center** provides comprehensive health services to meet the medical and psychological needs of students, spouses and dependents (12 years and older). Included are full service appointment or walk-in medical clinic, pharmacy, lab tests, x-rays, physical examinations, eye clinic, gyn services, allergy shots, physical therapy and health and wellness education.

- **Disability Services for Students (DSS)** ensures the accessibility of University programs and services to eligible students. Accommodations are individually determined based on disability-specific need and may include modified testing environments, sign language interpreters, and assistance obtaining books in audio format. Students who need accommodations should present you with written documentation from DSS. Students who request accommodations without documentation from DSS should be referred to the DSS office.

- **The Adaptive Technology and Accessibility Centers (ATAC)** provides access to specialized assistive technologies that help with reading, writing, studying, and information access.

All Associate Instructors should also be aware of University Policies regarding academic performance and misconduct and be prepared for what to do in case of an emergency. All A.I.’s should also particularly attend to the section of the Handbook for Student Academic Appointees
on Relations with Students: “If faculty members (including graduate students with teaching responsibilities) engage in amorous or sexual relations with students for whom they have professional responsibility, even when both have consented to the relationship, it will be viewed as a violation of the ‘Code of Academic Ethics.’” In other words, associate instructors may not date students in the classes they assist with or teach.

- **Academic Policies** – The academic policies of the College of Arts and Sciences are summarized on the web at [www.indiana.edu/~college/ado/policies.shtml](http://www.indiana.edu/~college/ado/policies.shtml). These policies include grading, absences, academic misconduct, incompletes, withdrawals, students’ right to privacy (FERPA), and other topics you, as an instructor, should know about.

- **Academic Misconduct** – If you find academic misconduct by students in your class, and you apply a sanction for that misconduct, you MUST file an academic misconduct report. The report can be filed on line at the URL above.

- **Plagiarism** – Another College website provides information on recognizing and avoiding plagiarism. (See [http://college.indiana.edu/plagiarism/](http://college.indiana.edu/plagiarism/))

- **Call 911** – If you have a dangerous or disruptive situation in the classroom, call 911. If you have a medical emergency in the classroom, call 911.
Appendix A

POLICIES AND PROCEDURES FOR GRADUATE DEGREE PROGRAMS AND FINANCIAL SUPPORT
APPENDIX A:  
Polices and Procedures 
for Graduate Degree Programs 
and Financial Support

The College of Arts and Sciences requires that we distribute information to graduate students about policies, procedures, and criteria:  a) for advancement of students from masters to doctoral degree programs and b) for awards of various types of financial support.  The following are departmental policies and procedures for these and related issues.

Transitions between Degree Programs

Masters to Doctoral.  The vast majority of graduate applicants to the Department of Astronomy request direct admission to the astronomy doctoral program.  If admitted, these applicants usually do enter our doctoral program directly.  These admissions decisions are made by the department's Graduate Admissions Committee using standard criteria (academic records, letters of recommendation, personal statements, and standardized tests).  Only a small minority of applicants are admitted to the masters program, either because of some special circumstances or because they only requested admission to the masters program.  As long as such students remain in good standing in our masters program, these students may, at any time, submit a written request to the Director of Graduate Studies for advancement from the masters to the doctoral program.  The request is then considered at a meeting of the department's graduate faculty.  Student performance in course work and in research, including research conducted for the student's masters thesis, are the primary evidence considered in granting such a request.  The student's qualifications are also judged relative to current doctoral students and to other doctoral program applicants.

Special Student to Degree Program.  Procedures similar to those described above are used to decide whether a graduate student admitted originally as a special non-degree student should be admitted to one of our degree programs.  Because special non-degree students can only be admitted for one year, such students must submit their written request for admission to a degree program in their second semester.  Their request is then reviewed at a meeting of the department's graduate faculty.  The criteria are essentially the same as for masters students requesting admission to a doctoral program.

Doctoral Program in Astronomy to Doctoral Program in Astrophysics.  Graduate students may only apply for admission to the doctoral program in astrophysics after they have first established residence in the doctoral programs in either physics or astronomy.  No students are ever admitted directly to the Astrophysics Program from outside the I.U.  Department of Astronomy or Department of Physics.  During a student's first or second year in the physics or astronomy doctoral program, the student may submit a written request to the Chairperson of the Astrophysics Committee for admission into the doctoral program in astrophysics.  The request will be considered at a meeting of the Astrophysics Committee.  The admission decision is based on the student's performance in physics and astronomy coursework and indications of potential as a researcher.
Financial Awards

**Research Assistantship.** Graduate Research Assistantships (R.A.'s) are funded by either external or internal grants to individual research projects. Awarding of these positions is entirely at the discretion of the faculty member(s) in charge of the research project. Students are free to approach faculty members about the possibility of such support, but these opportunities may or may not be generally advertised, at the discretion of the faculty member(s) in charge of the grant. Students are also occasionally supported as Research Assistants in research projects outside the Department of Astronomy.

**Associate Instructorship.** The allocation of Associate Instructorships (A.I.'s) within the Department of Astronomy, including the specific assignment of jobs, is the responsibility of the department's graduate faculty. This responsibility is delegated to the A.I. committee. For the regular academic year and/or semester appointments, it is assumed that all graduate students without other means of support (Fellowships, R.A.'s, Resident Assistantships, external awards, employment, etc.) are interested in competing for A.I. positions. As needed, the faculty determine the distribution of A.I. needs (grading positions, lab assistantships, teaching assignments) and review the full list of students requiring support. Assignments are made using a variety of criteria, including academic and research performance, rate of progress toward a degree, and demonstrated grading or teaching ability for the level of the assignment. Priority for support is given to students making normal or superior progress toward completion of doctoral degrees during years 1-6. A.I. positions involving responsibility for teaching a course are usually given to students considered to have the best skills as a teacher. Such students must participate or must have participated in our A.I. Training Program. For the academic year and/or semester assignments, positions are not usually advertised, and students do not need to apply explicitly. All students needing support are automatically considered. In the Spring Semester, some of the department's A.I. grading positions for the next academic year are usually entrusted to the Graduate Admissions Committee to be awarded to degree program applicants. For Summer Session A.I. assignments, a list of A.I. jobs is either posted or distributed in the Spring. Students then request particular Summer A.I. positions. Consideration for these Summer positions is not automatic; students must express their interest by the posted or distributed deadline. Criteria for Summer A.I. selection are similar to those used for academic year and semester appointments. An effort is made to award students one of their top job choices. The Summer Session assignments are usually made by the Department Chairperson consulting with the department's graduate faculty or the A.I. Committee as needed. A.I. assignments for the regular semesters are made by the Department’s A.I. Committee.

**Departmental Graduate Fellowships.** The Fellowship money provided annually for graduate recruitment is used to attract and support first-year graduate students. After the first year, such students are subject to the same consideration for R.A. and A.I. assignments as other graduate students. Fellowship awards are made by the department's Graduate Admissions Committee, usually after consultation with the department's graduate faculty.

**Special Awards.** Nominations of students for awards from outside the Department of Astronomy are done on an *ad hoc* basis as the opportunities come to our attention. Announcements and deadlines for various award programs are usually posted or distributed. If students or faculty
members express interest in nominations which require action by the Chairperson, the Chairperson and student or faculty involved will usually take the necessary action. The full departmental graduate faculty is consulted in particular cases as needed.

Miscellaneous. Students are, of course, encouraged to consider the full variety of graduate student support offered outside the Department of Astronomy. For most outside programs, efforts are left to the initiative of the students themselves or a faculty advisor. Students wishing to be nominated for a particular opportunity should consult with their faculty advisor, the Director of Graduate Studies, and/or the Departmental Chairperson.
Appendix B

A GUIDE TO THE PREPARATION OF THESES AND DISSERTATIONS
## APPENDIX B:
A Guide to the Preparation of Theses and Dissertations

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Congratulations! By the time you read this manual, you will probably be almost finished with the writing of your master's thesis or doctoral dissertation. The end is in sight, and this manual will help you get through the last steps with as few complications as possible.

Actually, in terms of the requirements of the University Graduate School, the process is relatively straightforward and simple. Individual departments or committees, however, may have additional requirements to which you must conform. This manual is just a basic guide to the general standards of the University Graduate School; for additional information, please see also the relevant sections of the University Graduate School Bulletin. Be sure to check with both your department and your committee on any additional standards before you submit your final version. You will thus avoid confusion and frustration later.

This manual includes a discussion of the chronology in which the last few steps must proceed, as well as information about format and distribution regulations. It also contains several appendixes, some of which show how various standardized pages should look. In case of special problems not covered here, call the Recorder of the University Graduate School (812-855-1117-doctoral; 812-855-9345 masters) or check with your departmental secretary.
Master's Thesis
A master’s thesis must be approved by at least three members of the faculty, usually the professors who have directed your research and writing. Once three professors have read your final draft and approved it, have them sign the acceptance page that appears right after the title page. After they have signed the acceptance page and your work is in final form, have at least two copies (both copies must be on 100 per-cent cotton rag bond paper) bound in a regular, sewn library binding. Direct the bindery to print the thesis title and your name on the front and spine of each copy. (One bound copy must include the original signed acceptable page; photocopies of the signed acceptance page may be used in additional bound volumes.) File two bound copies with the University Graduate School. These volumes are later placed in the University Library (see pp.5-6 and appendix I) for specific format requirements. You must also file at least one additional copy with your major department (see appendix I). Be sure that the Registrar's Office has your correct name and diploma-mailing address. The diploma, which certifies that you have completed the degree, should be issued within approximately three months of the submission of the bound copies to the University Graduate School. Usually your degree is dated the last day of the month following the month in which you submitted the bound copies.

Doctoral Dissertation
When your research committee has read a final draft of your dissertation and agreed that it is ready to be defended, provide each of the members of your committee with a full, unbound copy and arrange a mutually agreeable time and place for your defense. Make sure to allow at least four weeks before the defense so that they will have sufficient time to read and criticize your work; the four-week waiting period will also allow other faculty members who might be interested in your work to plan to attend your defense as well. Once the defense time and date are set, go to the Office of the University Graduate School in Kirkwood Hall and submit a one page dissertation defense announcement (see appendix A). The announcement must include the time and place of the defense, as well as your educational career data, (i.e., B.S., I.U., 1986, etc. -- the major area is not needed). The chairperson of your research committee must approve and sign the announcement. The University Graduate School distributes the announcement throughout the University on its website so the announcement should be phrased in non-technical language. The announced time and place cannot be changed without the approval of the Dean of the University Graduate School. At the same time that you submit the announcement form, you should make sure to pick up information and forms for both microfilming and copyrighting.

At your oral examination, your full committee should be present to sign acceptance page (see appendix D) that confirms their approval and acceptance of your dissertation. If you know in advance that any member of your committee will be absent, you should, with the approval of the Dean, arrange to have another faculty member sit on the committee. Occasionally an absent committee member can participate by telephone. At this time, you should also make sure that all the committee members sign a copy of the abstract of your dissertation. You need one signed abstract and at least one unsigned abstract. The University Graduate School retains the signed copy and sends the unsigned copy to University Microfilms International. If desired, you may also include another copy in your text. In case your committee should insist on
extensive revisions before giving their full approval, your dissertation chairperson will probably retain the acceptance page until you fulfill the committee's recommendations. You will probably not have to go through a second oral examination in any case.

After your successful defense, you should bring several items to the University Graduate School. These include: the unbound dissertation, complete with any typewritten corrections, in a box preferably 9 inches by 11-1/2 inches in size; the Microfilm Contract (with an attached copy of the title page - see appendix C) and Survey Form with your signature; an acceptance page, signed by all members of your committee and placed immediately after the title page of the unbound dissertation. (The original signed acceptance page must be in the unbound volume; photocopies may be used in the bound volumes); two loose abstracts of the dissertation (see appendix F), not to exceed 350 words in length (one unsigned and one signed by all members of your committee); a copyright page (see appendix E) if you have decided to copyright your work should be inserted in the text; a fee receipt from the Bursar's Office to prove that you have paid for microfilming, and if desired, for copyrighting your work; a vita page, placed at the end of each copy of the dissertation; and two bound copies of your dissertation (see appendix J for any exceptions). The University Graduate School must receive the bound copies before the degree can be certified or awarded.

Before you have the copies bound, check with your department about whether or not it prefers to bind the abstract with the rest of the text. The University Graduate School accepts only the library binding which uses the oversewn method. Velo binding available from some photocopying businesses is not acceptable. Ask the bindery to put the dissertation title and your full name on the front covers and the title and your last name on the spines of the bound copies. You may arrange for the bindery to send them directly to the University Graduate School.

At this time, you should verify that the Office of the Registrar has on file the correct spelling of your name and the correct diploma-mailing address. Bear in mind, however, that the University Graduate School will recommend a candidate to the Board of Trustees for the degree only after the bound copies of the final approved version of the dissertation have been turned in. Ordinarily, you will receive the diploma for your degree within three months after you turn in the bound copies, although it may take a bit longer in the summer.
The University Graduate School has relatively few rules about the visual format of theses and
dissertations. Both kinds of work must be typewritten or word-processed with a letter-quality
printer. Generally laser and ink-jet printers produce such copy. Dot-matrix printers are not
acceptable. We advise students to check with the University Graduate School to see that their
print meets University Graduate School standards.

The material should be double-spaced, on watermarked, 100-per cent cotton rag bond paper,
8-1/2 inches by 11 inches. The unbound version and at least one of the bound copies must be
on paper of this quality. I.U. Bond is not 100% cotton and not acceptable. The second bound
copy of a Ph.D. dissertation must meet departmental requirements. The University Graduate
School does not accept script or italic fonts, although italics may be used to emphasize certain
words. Be sure to correct errors on the typewriter or word-processor, not by hand. You may use
either photocopying or the multilith process if the copies are of good quality. Mimeographed
theses and dissertations are unacceptable. If photographs are part of the work, all copies must
contain the best possible positive prints, not photocopies (though scanned color photocopies
are acceptable). If you have any questions about the acceptability of your format, do consult
the Recorder. A cautionary phone call could save you time and money.

Margins should be at least 1-1/2 inches on the left and 1 inch on the other three sides.
Although this requirement may seem somewhat arbitrary, it is nonetheless necessary for
successful binding and copying. Most copying processes tend to expand the material by two or
three per cent, leaving less white space around the text. Binderies sew along the left-hand
margin and then trim the other sides. Inadequate margins can result in part of your material
being lost after the combination of copying and binding; even if all the material remains,
insufficient margins can certainly affect the readability and the appearance of your work.
Ordinarily, the text and any other materials will appear on the right-hand page only. If,
however, you and your committee agree that it is absolutely necessary to include facing
material on the left-hand page as well, be sure to leave 1-1/2 inches on the right-hand side of
the facing page. These margin requirements apply to all materials included in the thesis or
dissertation, including figures, tables, maps, plates, the abstract (if you decide to have it bound
with the rest of your work), and any preliminary material you choose to include. You must print
page numbers on each page.

Most of the preliminary materials or front matter will depend on the nature of your thesis or
dissertation and on your personal preference, but a few items are mandatory. The front matter
must include the title page, the original signed acceptance page, and the copyright page (if you
decide to copyright your work). Your department may also require that the abstract be bound
with the dissertation. Normally a master’s thesis does not include an abstract. In addition, the
University Graduate School strongly recommends that you provide a table of contents. Beyond
that, other kinds of material are optional. Depending on the nature of your work, you may also
wish to include lists of tables, figures, appendixes, or abbreviations (include page numbers on
these). Depending on your personal inclination, you may wish to include a dedication, a
preface, or a set of acknowledgments. The latter are designed to recognize people or agencies
to whom you feel grateful for any academic, technical, financial, or personal aid in the
preparation of your thesis or dissertation; as a matter of courtesy, you would ordinarily mention the members of your committee here, as well as institutions that provided funding, your typist, or anyone else who helped. With the exception of the title page, Roman numerals must be used for the front matter. The front matter should appear in the following order:

Title page (mandatory)
Acceptance page with original signatures (mandatory)
Copyright page (mandatory if you choose to copyright)
Dedication (optional)
Acknowledgments (recommended)
Preface (optional)
Abstract (mandatory for Ph.D.; optional by department for Master's Thesis)
Table of Contents (strongly recommended)
Lists of tables, figures, appendixes, or abbreviations
(recommended if appropriate)

In addition to this front matter, you must also include a vita page at the end of the thesis or dissertation. You may write it in paragraph form, but the standard vita format is preferred.

Page numbers must be clear and consecutive throughout and printed on every page, including appendixes, tables, figures, maps, charts, photographs, etc. The title page and vita page are the only exceptions to printed pagination.

Arabic numerals should be used in the body of the work, the bibliography, and any appendices, while small Roman numerals are used for the front matter; the vita page at the end is not paginated. The title page counts as page i, but does not bear a number. Begin numbering with the acceptance page as page ii, and continue with small Roman numerals until the start of the actual text. That page, whether part of your full introduction or of your first chapter, will be numbered page 1 and every page will be numbered consecutively until you reach the vita page. Ordinarily, page numbers should be centered at the top or bottom of the page, entered midway between the edge of paper and the text to prevent their loss during the binding process, although some other method may be accepted if you clear it first with your committee and use that method consistently. Before you turn in your copies for binding, make sure that all of the pages are in correct numerical order and that they are right-side up.

Just as the format of the front matter may vary, so the format for your text and references will depend largely on your particular field or topic. In terms of the text, for example, most theses and dissertations should be written in English and should present your findings on original
research. Other works, however, are more appropriately written in other languages or may present original works of art. Likewise, different disciplines have different methods and standards for citing reference materials. You must check with your department and your committee to determine which forms they prefer.

A few basic standards cut across departments, however. Although all texts should be either double-spaced or on occasion produced at space-and-a-half intervals, long quotations within the text should be typed single-spaced and with wider margins. Footnotes must appear either on the page where the annotation occurs or at the end of each chapter, or at the end of the dissertation. The University Graduate School imposes no single form for footnotes or bibliographic citations, but it does recommend one of several style manuals as a good starting point. These include: The Chicago Manual of Style; Kate L. Turabian, A Manual for Writers; the Modern Language Association (MLA) style sheet; and the American Psychological Association (APA) style sheet (especially for works in the social sciences). Similarly, the University Graduate School recommends either Webster's Third International Dictionary or Webster's Ninth New Collegiate Dictionary as authorities on spelling and usage. Neither of these sets of recommendations is exhaustive. Your department may already have a style sheet of its own or another manual that it consistently recommends. Your safest strategy is to check with your department.

PUBLICATION AND COPYRIGHT

In terms of theses and dissertations, publication means making your work available to the broader scholarly community. Although both kinds of work represent original scholarly activity, the University Graduate School requires publication through the agency of University Microfilms International (A Division of Bell & Howell Information and Learning) only for dissertations. You may, of course, choose to publish your master's thesis by this or other means, especially if your committee has recommended this course. If doing so, you would work directly with University Microfilms International. In addition, the University Graduate School encourages, but does not require, that you copyright the Ph.D. dissertation in your own name; in that way, choices about the future use of your materials will be up to you. Copyrighting is most easily done through University Microfilms, since they take care of the necessary procedures. Still, the question of copyright is a complicated one and should be discussed with your committee. Whether or not you decide to copyright your Ph.D. dissertation, the University Graduate School insists that, except under extraordinary circumstances, University Microfilms shall produce microfilm and photocopies of the work for sale by them. University Microfilms has put out a pamphlet explaining their methods, and it is very helpful. Copies are available at the University Graduate School office.

The process of publication is fairly simple. Obtain the microfilm and copyright contract and survey form from the University Graduate School office when you go there to turn in your Ph.D. defense announcement. Pay the fees at the Bursar's Office in Franklin Hall; the fees currently are $60.00 for microfilming (mandatory), and $45.00 for copyrighting (optional). Finally, bring the fee receipt, the signed microfilm contract and survey form, an extra title page, two loose abstracts, and the unbound dissertation (this may be a photocopy made on the 100% cotton paper) to the University Graduate School office after your defense. The University Graduate
School and University Microfilms will handle the rest.

Before you reach that point, however, you should consider that the way most people will learn about your work is through Dissertation Abstracts International, published by University Microfilms. You should therefore spend a good bit of effort in the composition of both the abstract and the title of your work. Try to convey the flavor of your work, not just the bare bones of your findings, but make sure that the abstract does not exceed 350 words for publication in DAI; in an average abstract there will be about 70 characters per line with a maximum of 35 lines. You should also work to phrase your title so that it truly describes the contents and will be easily found in the index of Dissertation Abstracts. The index is based on key words, so be as specific as you can be about your subject. At the same time, remember that the title will have to fit along the spine of the bound thesis or dissertation, so keep the title as short as possible without loss of clarity.

A final point is that, as a published author, you must conform to the copyright laws in terms of the works that you have cited yourself; in other words, make sure you have permission, written if possible, to quote your sources. The best way to know how the copyright laws apply to your particular situation is to contact the Copyright Office of the Library of Congress, Washington, D.C.
Appendix A

SAMPLE ANNOUNCEMENT PAGE
Create a separate page and center on page
(Limited to One page)
Announcing the
Final Examination of
(Student's Name)
for the
Degree of Doctor of Philosophy in (department)
(Day, Date, Time)
(Room, Building)

Dissertation: (Title)
(The summary of the dissertation should be limited to one page and not more than 300 words. It should contain a statement of the problem, a description of the methods or procedures used, and a formulation of the results and conclusions. Unlike the abstract, which is for specialists in the field, an attempt should be made in the summary, whenever possible, to communicate the findings in language and style that can be understood by the University community at large.)

Outline of Studies

Educational Career

Major: (Field)
Minor(s): (Field and Department)

(Degree, Institution, year graduated -- major area not needed)

Committee in Charge

Professorial Rank (Name), Chairman (Phone Number), Department
(Alphabetically list other committee members)

Approved: (Signature)

(Chairman's Name Typed)

(Any member of the Graduate Faculty may attend. As a courtesy, please notify the Committee Chairman in advance.)
Appendix B

MASTER'S SAMPLE TITLE PAGE

Create a separate page and center on page

TITLE CENTERED, ALL IN CAPITAL LETTERS:
THE IMPORTANCE OF KEY WORDS IN THE SUCCESSFUL INDEX

Author's Name

Submitted to the faculty of the University Graduate School
in partial fulfillment of the requirements
for the degree
Master of (Arts or Sciences)
in the Department (or School) of ,
Indiana University
Month Year

The date should reflect the actual date of the degree.
TITLE CENTERED, ALL IN CAPITAL LETTERS:
THE IMPORTANCE OF KEY WORDS IN THE SUCCESSFUL INDEX

Author's Name

Submitted to the faculty of the University Graduate School
in partial fulfillment of the requirements
for the degree
Doctor of Philosophy
in the Department (or School) of ,
Indiana University
Month Year

The date should reflect the actual date of the degree.
Accepted by the Graduate Faculty, Indiana University, in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

(Chairperson's signature)
Chairperson's name typed, Ph.D.

(Second reader's signature)
name typed

Doctoral Committee

(Third reader's signature)
name typed

Date of Oral Examination

(Fourth reader's signature)
name typed
Appendix F

SAMPLE ABSTRACT

Create a separate page and center on page

Student's Name

Dissertation Title
(may be underlined or in caps)

The abstract is double-spaced and limited to 350 words as University Microfilms will not publish a longer abstract. The University Graduate School requires two abstracts—one unsigned and one signed by each member of the research committee. The University Graduate School forwards the unsigned version for publication in Dissertation Abstracts and retains the signed version in our records. (The student may wish to provide signature lines for the signed version to ensure neatness.) If the student wishes to include the abstract in the dissertation, he or she should do so using a third copy (unsigned and including proper pagination).

_____________________________________________

_____________________________________________

_____________________________________________

_____________________________________________
Appendix G

ABSENTEE ARRANGEMENTS

If you cannot be in residence at Indiana University during the final stages of your dissertation, you can still get through the process without too much trouble. Whether absent or not, you must be registered until the dissertation is complete. Indeed, you must register each semester after passing the qualifying examination until the degree is granted. Only those graduating during the summer must register for a summer session. For the rest, you need to do the same things that any other student has to do: arrange a mutually agreeable time with your committee, set up the oral exam at least thirty days prior to when you wish to defend (leave a little extra time to allow for problems with the mails), submit your defense announcement, come back and defend. Ordinarily, the defense is conducted here at Indiana University, but under extraordinary circumstances, other arrangements can sometimes be made; individuals have had their oral examinations at conventions, for example. Check with your committee or with the University Graduate School to see if this would work for you.
MASTER'S DEGREE FINAL CHECKLIST

1. Submit an Application for Advanced Degree form (available from your department or the University Graduate School) to the University Graduate School, at least sixty days prior to the desired degree date.

2. Verify that the Office of the Registrar has the correct spelling of your name and your correct diploma-mailing address. The Registrar mails the diploma to your permanent address. Also verify that your name does not appear on the University Checklist as the Registrar will not release your diploma or transcripts until all entries are cleared.

3. If you have prepared a thesis as one of your degree requirements, you should submit to the University Graduate School the following:
   a. Two bound copies. You may make arrangements for the bindery to send them; however, the University Graduate School must receive the bound copies before the degree can be certified and/or awarded. Direct the bindery to print the thesis title and your name on the front and spine of each. The University Graduate School accepts only regular library binding, which uses the oversewn method. Both copies must be on 20 or 24 pound, 100-percent cotton rag, watermarked bond paper which measures 8-1/2 inches by 11 inches. You must also submit at least one additional bound copy of the thesis to your department.
   b. A signed acceptance page with original signatures should be included in one of the bound copies after the title page. Photocopies of the signed acceptance may be used in additional bound volumes.
   c. The vita page placed at the end of the thesis.
Appendix I

PH.D. DEGREE FINAL CHECKLIST

1. Arrange a time for your defense with your committee.
2. Submit a **(one page)** defense announcement to the University Graduate School, at least thirty days before the defense. Make sure all members of your committee have copies of your work at that time.
3. Pass the dissertation defense!
4. Remind your major professor to remove all "R" grades recorded for dissertation credit. To do so, he/she must complete a Removal of "I" or "R" Grades form and forward it to the proper school for processing.
5. Bring the following to the University Graduate School after your successful defense:
   a. The unbound dissertation (on twenty-pound, **100-per cent cotton rag**, watermarked bond paper) in a box 9 x 11-1/2 inches.
   b. The signed acceptance page with **original** signatures should be included in the unbound dissertation after the title page. (Photocopies of the signed acceptance may be used in the bound volumes.)
   c. Two abstracts, one unsigned copy and one copy signed by your full committee. These should be separate from the dissertation. The signed copy remains on file at the University Graduate School Office. The unsigned copy is published in **Dissertation Abstracts**. (see e. below)
   d. Copyright page, if you are copyrighting (placed in dissertation).
   e. Microfilm contract and survey form. You should sign both. Make sure to attach an extra title page and the unsigned abstract (see c. above) to the microfilm contract, include your chair's name on this abstract.
   f. Fee receipts from the Bursar's Office for microfilming (required) and for copyrighting (optional).
   g. The vita page (placed at the end of the dissertation).
   h. Two bound copies. Copies may be submitted later than the items above, or be sent by the bindery, by arrangement; however, **the University Graduate School must receive the required bound copies before the degree can be certified and awarded.** One of the copies must be on twenty pound, **100-per cent cotton rag**, watermarked bond, and the second must meet departmental requirements. The University Graduate School accepts only regular library binding, which uses the oversewn method. **NOTE:** Two bound copies are required from all areas except the School of Business, School of Education, School of Journalism, and Department of Chemistry which require only one bound copy. **REMINDER:** The title page and vita page are the only exceptions to printed pagination.

**NOTE:** You must enroll each semester after passing the qualifying examination, with the exception of summers; however, if you are graduating during the summer, you must enroll for at least one session during that summer.
Appendix C

INDIANA UNIVERSITY
CODE OF STUDENT RIGHTS,
RESPONSIBILITIES AND CONDUCT
By action of the University Faculty Council (April 12, 2005) and the
Trustees of Indiana University (June 24, 2005)

Each student is given a copy of this booklet when he or she enrolls in the university. Additional
copies may be purchased in the campus bookstore.
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Indiana University Code of Student Rights, Responsibilities, and Conduct

Preamble

The purposes of Indiana University include the advancement of knowledge, the pursuit of truth, the development of students, and the promotion of the general well-being of society. As a community, we share a dedication to maintaining an environment that supports trust, respect, honesty, civility, free inquiry, creativity, and an open exchange of ideas.

Individual rights are best protected by a collective commitment to mutual respect. A student who accepts admission to Indiana University agrees to:

- be ethical in his or her participation in the academic community,
- take responsibility for what he or she says and does,
- behave in a manner that is respectful of the dignity of others, treating others with civility and understanding, and
- use university resources and facilities in appropriate ways consistent with their purpose and in accordance with applicable polices.

Every Indiana University student is responsible for reading and understanding this Statement, as well as other expectations identified by individual schools or organizations relevant to an academic major, professional field, or on-campus residence. This Code of Student Rights, Responsibilities, and Conduct is intended to identify the basic rights, responsibilities, and expectations of all students and student groups to serve as a guide for the overall student experience at Indiana University.

Part I: Student Rights

Indiana University recognizes its responsibility to support and uphold the basic freedoms and citizenship rights of all students. Within that context, students have the following rights.

A. Rights in the Pursuit of Education

The classrooms, laboratories, libraries, and studios are the essential learning environments of the university, and the freedom to learn in these environments should be promoted and encouraged by instructors. The following statements have been developed in support of a student’s right in the classroom or other learning environment. Students shall have the right to:

- Have access to faculty, academic technology, classrooms, libraries, presentations, and other resources necessary for the learning process.
- Have access to academic advising and clear expectations for degree and graduation requirements.
- Have decisions related to the pursuit of their education made in a clear manner.
- Learn in an environment that supports the freedom of self-expression and association.
- Participate in an exchange of ideas, pursuant with his or her constitutional rights and the Preamble of this Code, free of conduct that impedes either an instructor’s ability to teach or the student’s ability to learn. (See Guidelines for Dealing with Disruptive Students in Academic Settings, University Faculty Council, April 12, 2005)
- Receive either a paper or an electronic class syllabus in a timely manner.
• Expect to interact with faculty who act professionally; provide clearly stated class goals; provide clear expectations for class performance and evaluation; meet classes as scheduled; are accessible for office hours, appointments or consultation; and maintain a clear connection between course content and the most recently approved course description.

• Expect a faculty member will be sensitive to the student’s religious beliefs and observances, including an expectation that instructors will make reasonable arrangements upon notice that the student must miss an exam or other academic exercise resulting from the observance of a religious holiday. (See Policy on Accommodations for Religious Observances, University Faculty Council, March 28, 2000)

• Have the freedom to raise relevant issues pertaining to classroom discussion (including personal and political beliefs), offer reasonable doubts about data presented, and express alternative opinions without concern for any academic penalty. Students have the right to expect that their work will be evaluated by academic standards alone.

• Study, work, and interact in an environment of professionalism and of mutual trust and respect that is free of amorous or sexual advances by a faculty member. All amorous or sexual relationships between faculty members and students are unacceptable when the faculty member has any professional responsibility for the student, even when both parties have consented or appear to have consented to the relationship. Such professional responsibility encompasses both instructional and noninstructional contexts. A faculty member shall not have an amorous or sexual relationship, consensual or otherwise, with a student who is enrolled in a course being taught by the faculty member or whose performance is being supervised or evaluated by the faculty member. A faculty member should be careful to distance himself or herself from any decisions that may reward or penalize a student with whom he or she has or has had an amorous or sexual relationship, even outside the instructional context, especially when the faculty member and student are in the same academic unit or in units that are allied academically. (From the University Code of Academic Ethics, Part A.1, Relations with students). See definition of “faculty member” in Part IV of the Code.

B. Right to Freedom from Discrimination

Students have the right to study, work, and interact in an environment that is free from discrimination in violation of law or university policy by any member of the university community. Students at Indiana University are expected to respect the rights and dignity of other students, faculty, and staff.

The university will not exclude any person from participation in its programs or activities on the basis of arbitrary considerations of such characteristics as age, color, disability, ethnicity, sex or gender, marital status, national origin, race, religion, sexual orientation, or veteran status.

A student has the right to be free from such discrimination by other students that has the effect of interfering with the student’s ability to participate in programs or activities of the university.

Students wishing more information regarding these statements should consult the following Board of Trustees documents: Resolution on the Elimination of Discrimination (July 3, 1967, November 21, 1969), Student Affirmative Action Policy Statement (June 29, 1974), Statement concerning Disabled Veterans, Veterans of the Vietnam Era, and Handicapped Individuals (March 3, 1979), and Equal Opportunity/Affirmative Action Policy of Indiana University (December 4, 1992).
Indiana University administrators are responsible for publicizing and implementing the university's affirmative action policy in their respective areas of jurisdiction. Students who believe that they are victims of discrimination may obtain information concerning the university's affirmative action policy and complaint procedures from the campus affirmative action officer or the dean of students office.

C. Right to Freedom from Harassment

A student has the right to be free from sexual or discriminatory harassment a) in any building or at any location on any university property, or b) that occurs in a building or on property that is not university property if the harassment arises from university activities that are being conducted off the university campus or if the harassment compromises the security of the university community or the integrity of the educational process.

Sexual harassment is defined as unwelcome sexual advances, including requests for sexual favors and other unwelcome conduct of a sexual nature, when submission to such conduct is made, either explicitly or implicitly, a term or condition of a student’s education, or submission to or rejection of such conduct by a student is used as the basis for academic conditions affecting the student; or the conduct has the effect of unreasonably interfering with an individual’s academic performance or creating an intimidating, hostile, or offensive learning environment.

Discriminatory harassment is defined as conduct that targets an individual based upon age, color, religion, disability, race, ethnicity, national origin, sex or gender, sexual orientation, marital status, or veteran’s status and that adversely affects a term or condition of an individual’s education, housing, or participation in a university activity; or has the purpose or effect of unreasonably creating an intimidating, hostile, or offensive environment for academic pursuits, housing, or participation in university activities.

The Indiana University Policy against Sexual Harassment, as adopted by the Board of Trustees June 15, 1998, provides procedures for handling complaints concerning sexual harassment. Violations of discriminatory harassment policy are handled under existing procedures for handling complaints of discrimination.

Indiana University administrators are responsible for publicizing and implementing the university’s affirmative action and harassment policies in their respective areas of jurisdiction. Students who believe that they are victims of discriminatory harassment may obtain information concerning the university’s affirmative action policy and complaint procedures from the campus affirmative action officer or the dean of students office.

D. Right to Access Records and Facilities

Students can expect to have access to policies and procedures that affect them and access to university offices that may be able to assist them, such as the Office of Affirmative Action or the dean of students office.

Students can expect that their academic records will be maintained and they will have access to their records in a manner consistent with the Indiana University policies and applicable state and federal laws.

Students can expect to have reasonable access to university facilities and resources.
E. Right to Freedom of Association, Expression, Advocacy, and Publication

Students are free to form, join, and participate in groups or organizations that promote student interests, including but not limited to groups or organizations that are organized for intellectual, religious, social, economic, political, recreational, or cultural purposes.

In accordance with the state and federal Constitution and university policy, the university recognizes the rights of all students to engage in discussion, to express thoughts and opinions, and to assemble, speak, write, publish or invite speakers on any subject without university interference or fear of university disciplinary action.

Students may engage in peaceful and orderly protests, demonstrations, and picketing that do not disrupt functions of the university, subject to appropriate regulation concerning time, place, and manner. If a student feels that this right has been violated, the student may file a request with the dean of students for an investigation and appropriate action.

Students who publish student publications under university auspices have the right to be free of university censorship. Student editors and managers may be suspended or removed from their positions only for proper cause and by appropriate proceedings conducted by the agency responsible for the appointment of such editors and managers.

Indiana University does not require a student group or organization to register and be approved by the university. Student groups and organizations must comply with all federal, state and local laws, as well as university policies.

A student group or organization may be authorized to use university facilities for extracurricular activities, subject to the procedures established by the dean of students on each campus.

F. Right to Contribute to University Governance

Students have the right to contribute to the making of institutional policy generally affecting their social or academic affairs.

Students have the right to participate in the formation of standards of student conduct and the student disciplinary procedures by serving as members of appropriate committees such as the Student Affairs Committee of the faculty council.

Students have the right to be represented by a student government.

G. Right to Accommodation for Individuals with Disabilities

Indiana University is committed to creating a learning environment and academic community that promotes educational opportunities for all individuals, including those with disabilities. Course directors are asked to make reasonable accommodations, upon request by the student or the university, for such disabilities. It is the responsibility of students with documented physical or learning disabilities seeking accommodation to notify their course directors and the relevant campus office that deals with such cases in a timely manner concerning the need for such accommodation. Indiana University will make reasonable accommodations for access to programs, services, and facilities as outlined by applicable state and federal laws.

Campus support offices:
H. Rights of Student in the Judicial Process

Students who believe that any of their rights, as defined in this Code, have been violated by a member of the university community have the right to file a complaint, as outlined in Part III.

A student making a complaint under the provisions of this Code should expect that the university will make a good faith attempt to determine the validity of the complaint.

An alleged offender, complainant or victim is not entitled to be present while the individuals who are responsible for determining the merits of the complaint are deliberating the merits of the complaint.

Rights of a victim include:
1. The student has the option of being present in all aspects of a proceeding in which witnesses provide evidence.
2. The university will disclose the final results of any disciplinary proceeding to complainants as permitted by the provisions of state and federal laws.

Rights of the student charged (alleged offender):
1. A student charged with violating this Code has the right to a fair and reasonable process for handling the charges.
2. The student has the right to be informed of the procedures that will be used in adjudicating the charges against him/her, including but not limited to notice of the charges, deadlines associated with stages of the process, the kinds of evidence that may be submitted at each stage, and the availability of appeals processes, if any.
3. The student has the right to be present during those portions of any hearing or proceeding in which witnesses provide evidence relating to the charge.
4. The student who is participating in a hearing or proceeding at which evidence may be submitted is entitled to request the university make a good faith attempt to compel the attendance of witnesses, compel the production of documents, and provide a reasonable time period within which requests for witnesses and documents can be submitted and acted upon.
I. Rights of Students as University Employees

A student’s rights and responsibilities as an employee of the university are governed by the policies of the unit and by the applicable personnel policies of Indiana University. Students should contact their immediate supervisor, the Office of Student Employment, the Dean of Faculties, or University Human Resources for information. All personnel policies, including the policies for student hourly employees, are also available on the Indiana University Web site.
Part II: Student Responsibilities

Just as students have rights, they also have responsibilities. Indiana University recognizes its responsibility to support and uphold the basic freedoms and citizenship rights of all students, and it expects students to be responsible for the following.

A. Uphold and follow all codes of conduct, including this Code, relevant codes and bulletins of respective schools, professional programs or professional societies, and all rules applicable to conduct in class environments or university-sponsored activities, including off-campus clinical, field, internships, or in-service experiences.

B. Obey all applicable university policies and procedures and all local, state, and federal laws.

C. Facilitate the learning environment and the process of learning, including attending class regularly, completing class assignments, and coming to class prepared.

D. Plan a program of study appropriate to the student’s educational goals. This may include selecting a major field of study, choosing an appropriate degree program within the discipline, planning class schedules, and meeting the requirements for the degree.

E. Use university property and facilities in support of their education while being mindful of the rights of others to use university property and facilities.

F. Maintain and regularly monitor their university accounts including e-mail and bursar accounts.

G. Uphold and maintain academic and professional honesty and integrity.

**Academic misconduct** is defined as any activity that tends to undermine the academic integrity of the institution. The university may discipline a student for academic misconduct. Academic misconduct may involve human, hard-copy, or electronic resources. Policies of academic misconduct apply to all course-, department-, school-, and university-related activities, including field trips, conferences, performances, and sports activities off-campus, exams outside of a specific course structure (such as take-home exams, entrance exams, or auditions, theses and master’s exams, and doctoral qualifying exams and dissertations), and research work outside of a specific course structure (such as lab experiments, data collection, service learning, and collaborative research projects). The faculty member may take into account the seriousness of the violation in assessing a penalty for acts of academic misconduct. The faculty member must report all cases of academic misconduct to the dean of students, or appropriate official. Academic misconduct includes, but is not limited to, the following:

1. **Cheating**
   Cheating is considered to be an attempt to use or provide unauthorized assistance, materials, information, or study aids in any form and in any academic exercise or environment.
   a. A student must not use external assistance on any “in-class” or “take-home” examination, unless the instructor specifically has authorized external assistance. This prohibition includes, but is not limited to, the use of tutors, books, notes, calculators, computers, and wireless communication devices.
   b. A student must not use another person as a substitute in the taking of an examination or quiz, nor allow other persons to conduct research or to prepare work, without advance authorization from the instructor to whom the work is being submitted.
c. A student must not use materials from a commercial term paper company, files of papers prepared by other persons, or submit documents found on the Internet.

d. A student must not collaborate with other persons on a particular project and submit a copy of a written report that is represented explicitly or implicitly as the student’s individual work.

d. A student must not use any unauthorized assistance in a laboratory, at a computer terminal, or on fieldwork.

e. A student must not steal examinations or other course materials, including but not limited to, physical copies and photographic or electronic images.

f. A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the instructor or program to whom the work is being submitted.

g. A student must not, without authorization, alter a grade or score in any way, nor alter answers on a returned exam or assignment for credit.

2. Fabrication
A student must not falsify or invent any information or data in an academic exercise including, but not limited to, records or reports, laboratory results, and citations to the sources of information.

3. Plagiarism
Plagiarism is defined as presenting someone else’s work, including the work of other students, as one’s own. Any ideas or materials taken from another source for either written or oral use must be fully acknowledged, unless the information is common knowledge. What is considered “common knowledge” may differ from course to course.

a. A student must not adopt or reproduce ideas, opinions, theories, formulas, graphics, or pictures of another person without acknowledgment.

b. A student must give credit to the originality of others and acknowledge indebtedness whenever:
   (1) directly quoting another person’s actual words, whether oral or written;
   (2) using another person’s ideas, opinions, or theories;
   (3) paraphrasing the words, ideas, opinions, or theories of others, whether oral or written;
   (4) borrowing facts, statistics, or illustrative material; or
   (5) offering materials assembled or collected by others in the form of projects or collections without acknowledgment.

4. Interference
A student must not steal, change, destroy, or impede another student’s work, nor should the student unjustly attempt, through a bribe, a promise of favors or threats, to affect any student’s grade or the evaluation of academic performance. Impeding another student’s work includes, but is not limited to, the theft, defacement, or mutilation of resources so as to deprive others of the information they contain.

5. Violation of Course Rules
A student must not violate course rules established by a department, the course syllabus, verbal or written instructions, or the course materials that are rationally related to the content of the course or to the enhancement of the learning process in the course.
6. **Facilitating Academic Dishonesty**
   A student must not intentionally or knowingly help or attempt to help another student to commit an act of academic misconduct, nor allow another student to use his or her work or resources to commit an act of misconduct.

H. **Be responsible for their behavior, and respect the rights and dignity of others both within and outside of the university community.**

The university may discipline a student for the following *acts of personal misconduct that occur on university property*, including but not limited to academic and administration buildings, residence halls, athletic and recreational facilities, and other university-serviced property, such as sororities and fraternities:

1. Dishonest conduct including, but not limited to, false accusation of misconduct, forgery, alteration, or misuse of any university document, record, or identification; and giving to a university official information known to be false.

2. Assuming another person’s identity or role through deception or without proper authorization. Communicating or acting under the guise, name, identification, e-mail address, signature, or other indications of another person or group without proper authorization or authority.

3. Knowingly initiating, transmitting, filing, or circulating a false report or warning concerning an impending bombing, fire, or other emergency or catastrophe; or transmitting such a report to an official or an official agency.

4. Unauthorized release or use of any university access codes for computer systems, duplicating systems, and other university equipment.

5. Conduct that is lewd, indecent, or obscene.

6. Disorderly conduct, including obstructive and disruptive behavior that interferes with teaching, research, administration, or other university or university-authorized activity. (See Guidelines for Dealing with Disruptive Students in Academic Settings, University Faculty Council, April 12, 2005)

7. Actions that endanger one’s self, others in the university community, or the academic process.

8. Failure to comply with the directions of authorized university officials in the performance of their duties, including failure to identify oneself when requested to do so; failure to comply with the terms of a disciplinary sanction; or refusal to vacate a university facility when directed to do so.

9. Unauthorized entry, use, or occupancy of university facilities.

10. Unauthorized taking, possession or use of university property or services or the property or services of others.

11. Damage to or destruction of university property or the property belonging to others.

12. Unauthorized setting of fires on university property; unauthorized use of or interference with fire equipment and emergency personnel.
13. Unauthorized possession, use, manufacture, distribution, or sale of illegal fireworks, incendiary devices, or other dangerous explosives.

14. Possession of any weapon or potential weapon on any university property contrary to law or university policy; possession or display of any firearm on university property, except in the course of an authorized activity.

15. Sale of any firearms from university property or using university facilities, including through computer and telephone accounts; intentional possession of a dangerous article or substance as a potential weapon.

16. Acting with violence.

17. Aiding, encouraging, or participating in a riot.

18. Harassment, defined in Part I (c) of the Code.

19. Stalking or hazing of any kind whether the behavior is carried out verbally, physically, electronically, or in written form.
   a. Stalking is defined as repeated, unwanted contact in the forms of, including but not limited to, phone calls, e-mail, physical presence, and regular mail.
   b. Hazing is defined as any conduct that subjects another person, whether physically, mentally, emotionally, or psychologically, or anything that may endanger, abuse, degrade, or intimidate the person as a condition of association with a group or organization, regardless of the person’s consent or lack of consent.

20. Physical abuse of any person, including the following:
   a. The use of physical force or violence to restrict the freedom of action or movement of another person or to endanger the health or safety of another person;
   b. Physical behavior that involves an express or implied threat to interfere with an individual’s personal safety, academic efforts, employment, or participation in university-sponsored extracurricular activities or causes the person to have a reasonable apprehension that such harm is about to occur; or
   c. Physical behavior that has the purpose or reasonably foreseeable effect of interfering with an individual’s personal safety, academic efforts, employment, or participation in university-sponsored extracurricular activities or causes the person to have a reasonable apprehension that such harm is about to occur;
   d. Sexual assault, including while any party involved is in an impaired state;
   e. Sexual contact with another person without consent, including while any party involved is in an impaired state.

21. Verbal abuse of another person, including the following:
   a. An express or implied threat to:
      (1) Interfere with an individual’s personal safety, academic efforts, employment, or participation in university-sponsored activities and that under the circumstances causes the person to have a reasonable apprehension that such harm is about to occur; or
      (2) Injure that person, or damage his or her property; or
   b. “Fighting words” that are spoken face-to-face as a personal insult to the listener or listeners in personally abusive language inherently likely to provoke a violent reaction by the listener or listeners to the speaker.
22. Unauthorized possession, use, or supplying alcoholic beverages to others contrary to law or university policy.
   a. Indiana University prohibits:
      (1) Public intoxication, use, or possession of alcoholic beverages on university property (including any undergraduate residence supervised by the university, including fraternity and sorority houses) except as otherwise noted in Part II, Section H (22) b and Part II, Section H(22) c.
      (2) Providing alcohol contrary to law.
   b. The dean of students of each campus has discretion to allow exceptions to Part II, Section H (22) a, allowing use or possession of alcohol by persons, including students, who meet the minimum drinking age standards of the State of Indiana, under the following circumstances.
      (1) Use or possession of alcoholic beverages by persons who are of lawful drinking age may be generally permitted in residences supervised by the university, including fraternity and sorority houses, when specifically approved by the campus dean of students. Such use or possession may be allowed in residence rooms, apartments, and certain common areas as specifically approved by the dean of students. However, use or possession under this section shall be permitted only in residences supervised by a live-in employee specifically charged with policy enforcement.
      (2) Use or possession of alcoholic beverages may be permitted on an event-by-event basis in designated undergraduate residences (including fraternity and sorority houses) supervised by a live-in employee specifically charged with policy enforcement, when temporary permission is granted by the dean of students for events at which persons of lawful drinking age may lawfully possess and use alcoholic beverages.
   c. The chancellor of each campus has discretion to allow exceptions to Part II, Section H (22) a, allowing use or possession of alcohol by persons, including students, who meet the minimum drinking age standards of the State of Indiana, under the following circumstances.
      (1) Use or possession of alcoholic beverages may be permitted in facilities such as student unions or on-campus hotels, including guest rooms and other areas, specifically approved by the campus chancellor.
      (2) Use or possession of alcoholic beverages may be permitted in other areas, such as private offices and faculty lounges, not accessible to the public.
      (3) Use or possession of alcoholic beverages may be permitted in areas accessible to the public, if specifically approved by the campus chancellor.
   d. Indiana University also permits the nonconspicuous possession of alcoholic beverages on university property when in transit to areas where they may be possessed or used under the provisions above.
   e. Student organizations that serve or permit possession of alcoholic beverages at student organization functions, on or off campus, may be disciplined if violations of alcoholic beverage laws or of university regulations occur. Individual students who plan, sponsor, or direct such functions also may be subject to discipline.
   f. The chancellor or dean of students may make rules covering these uses. Those rules shall be enforceable as provisions of this Code.

23. Unauthorized possession, manufacture, sale, distribution, or use of illegal drugs, any controlled substance, or drug paraphernalia. Being under the influence of illegal drugs or unauthorized controlled substances.
24. Intentionally obstructing or blocking access to university facilities, property, or programs.

25. Violation of other disseminated university regulations, policies, or rules. Examples of such regulations include but are not limited to university computing policies, residence hall policies, and recreational sports facility policies.

26. A violation of any Indiana or federal criminal law.

27. Engaging in or encouraging any behavior or activity that threatens or intimidates any potential participant in a judicial process.

I. Personal Misconduct Not on University Property.

The university may discipline a student for acts of personal misconduct or criminal acts that are not committed on university property if the acts arise from university activities that are being conducted off the university campus, or if the misconduct undermines the security of the university community or the integrity of the educational process or poses a serious threat to self or others.

1. Indiana University is committed to the promotion of a civil community both on campus and off campus.

2. Indiana University regards off-campus activity, including but not limited to university-sponsored events, as an integral part of a student’s academic, personal, and professional growth. Thus, the university recognizes the right of all students to expect that the university will subject individuals to the same responsibilities and disciplinary procedures when conduct:
   a. Adversely impacts the university’s mission, or the tenets of this Code, such as altering academic transcripts, harassment of any kind, trafficking in term papers, use of a computer or other electronic device to obtain unauthorized access to information;
   b. Presents a clear danger to the personal safety of any person or the protection of any person’s property, such as alcohol and drug offenses, arson, battery, fraud, hazing, participation in group violence, rape, sexual assault, stalking, or theft;
   c. Violates policies of an academic program and related facilities, including but not limited to an off-campus clinical, field, internship, or in-service experience, or an overseas study program.
Part III: Procedures for Implementation of the Code

This Code governs activities on all campuses of Indiana University. Specific procedures are to be developed by each campus and made available to students, faculty, and staff on the campus. These procedures will provide for:

*Student Grievances*—Students are to have clear procedures to follow when they believe that any of their rights, as defined in earlier sections of this Code, have been violated by a member of the university community. The local campus offices of the dean of students, affirmative action, and faculty affairs, as appropriate, will assist students in addressing their complaints.

*Academic and Personal Misconduct*—Clear procedures with specific information about the persons who are involved, timelines, and disciplinary sanctions are to be created and maintained at the campus level. These procedures are to be designed to provide students with procedural fairness and to ensure equal protection for all students and appropriate sanctions.

*Advisors*—A person charged, a victim or anyone providing testimony is entitled, at his or her expense, to be accompanied by an advisor or support person of his or her choice. An advisor or support person is limited to the role of advising. The advisor or support person may not participate in the proceeding, may not question witnesses, and may not make any statements during the proceeding. Campuses may, however, create procedures to allow a student to have an advisor or support person to speak on the student’s behalf at the final appeal hearing.

A student with a disability affecting communication or a student who cannot effectively communicate in the English language may seek a reasonable accommodation from the office of the dean of students to allow an advisor or interpreter to present or translate the proceedings.

*Notification of a Victim*—A person who is a victim of any specific misconduct for which disciplinary proceedings are conducted under this Code is entitled to participate in proceedings relating to evidence, but not the deliberative process in which the hearing officer or panel weigh the evidence presented and arrive at a decision. If the subject matter of the disciplinary proceeding involves crimes of violence or a sex offense and the accused is determined to have committed the act, the dean of students is required to notify the victim of the outcome of disciplinary proceedings in a timely manner.

Campus procedures are to be reviewed and approved periodically through the local campus faculty council. Any revision should also be reviewed by University Counsel. It is recommended that campus procedures remain fairly similar across all campuses in an effort to assist students transferring among IU campuses.
Part IV: General Provisions, Definitions, Adoption Provisions, and Appendices

A. Definitions

**Student.** For purposes of this Code, the term “student” includes the following:
1. A person who is admitted or enrolled in any credit-bearing course or program in any school or division of Indiana University.
2. A person who is admitted to Indiana University and is present on a campus for the purpose of being enrolled in any credit-bearing course or program in any school or division of Indiana University.
3. A person who has been admitted and enrolled in any credit-bearing course or program in any school or division of Indiana University and continues to be associated with Indiana University because of failure to complete the course or the program in which the person was enrolled.
4. A person who is not admitted to the university, but who is taking classes to transfer to another university, for personal enrichment, or in preparation to apply to a graduate program.
5. For the purposes of this Code, “student” includes all students enrolled on the campuses of Indiana University–Purdue University Indianapolis (IUPUI) or Columbus.

**Faculty or Faculty Member.** In this Code, the terms “faculty” or “faculty members” include all who teach and/or do research at the university, including (but not limited to) tenure-track faculty, librarians, holders of research or clinical ranks, lecturers, graduate students with teaching responsibilities, visiting and part-time faculty, and other instructional personnel including coaches, advisors, and counselors.

B. Persons Authorized to Exercise Specified Responsibilities

1. Under this Code, the authority that is given to a specified Indiana University official or employee may be exercised by any person who occupies the specified position or has a comparable position on a campus that does not have the specified position. This Code refers to the following specified positions but each position includes any equivalent position on a campus that does not use these specific titles:
   a. Dean of Students/Vice Chancellor for Student Affairs
   b. Dean of Faculties/Vice Chancellor for Academic Affairs
   c. Affirmative Action Officer
   d. Assistant Vice President for Human Resources
   e. Faculty Council President
   f. Chancellor

2. Under this Code, the authority that is given to a particular Indiana University official or employee may be exercised by that particular person or by that person’s designee.
C. Adoption Provisions
   1. Resolution of Adoption.


   b. This code, as hereby adopted, supersedes the Statement of Student Rights and Responsibilities which was effective on August 15, 1975, the Code of Student Ethics previously adopted by the Board of Trustees and effective on August 15, 1990, the Code of Student Rights, Responsibilities and Conduct previously adopted by the Board of Trustees and effective on August 15, 1997, and the Code of Student Rights, Responsibilities and Conduct previously adopted by the Board of Trustees on June 11, 2004 and effective on August 15, 2004.

   c. This code, as hereby adopted, shall be effective on August 15, 2005.

   2. Effect of Adoption.

   a. The adoption of this code shall not affect any rights or liabilities that were accrued, any sanctions that were incurred, or any proceedings that were begun before August 15, 2005. Any rights, liabilities, and sanctions that accrued or were incurred before August 15, 2005 shall continue to be enforced as if the new Code had not been adopted. Any proceedings that were begun before August 15, 2005 shall likewise continue as if the new Code had not been adopted.

   b. Acts of misconduct that were committed before August 15, 2005 shall governed by the rules and procedures in effect at the time of such acts.

   c. Acts of misconduct that are committed after August 15, 2005 shall be governed by the rules and procedures included in this new Code.

   d. The provisions of this code do not alter existing faculty grievance policies and procedures.

   3. Amendments to the Code by Academic Units.

   a. The Code of Student Ethics was adopted by the University Faculty Council on April 16, 1990, by the following resolution:

   “The Code of Student Ethics shall apply to all students at Indiana University. Any unit of the university may adopt additional or alternative substantive or procedural standards to this code, provided the alternative or additional standards:

   (1) Are necessary to meet academic concerns or to comply with the professional or accreditation standards; and

   (2) Guarantee students in the unit a fair opportunity to be heard consistent with the standards of evidence and due process found in this code.”
b. In establishing additional or alternative processes, a unit must use the following procedure:

(1) Proposed revisions to the Code must be submitted to the Agenda Committee of the appropriate faculty council (Campus or University) for review, and to the full faculty council for approval, to ensure the revisions are comprehensive and consistent, and that they meet the criteria outlined above.

(2) Upon approval by a campus faculty council, the revisions must be reported to the campus Dean of Students and the University Faculty Council Agenda Committee. The University Faculty Council will review and consider final approval of the revisions.

(3) Upon final approval of an alternative process, the fact that this code does not apply to the unit, with regard to academic matters, must be publicized in a fashion calculated to inform all students taking courses in the unit, that they will be judged by the alternative process. The notice must also explain where copies of the alternate process are available.

(4) Upon a student being found responsible for violation of a provision set forth in an alternative process, the Dean of Students must be informed in writing of the student’s name and identification number, a description of the offense, the date and location of the offense, and a description of any sanction or action taken by the university official, or hearing commission, who considered the reported violation.
D. Appendices

The following referenced documents are available online through the Indiana University web site at http://www.indiana.edu.


Student Affirmative Action Policy Statement (adopted by the Board of Trustees, June 29, 1974)

Statement Concerning Disabled Veterans, Veterans of the Vietnam Era, and Handicapped Individuals (adopted by the Board of Trustees, March 3, 1979)

Equal Opportunity/Affirmative Action Policy of Indiana University (adopted by the Board of Trustees, December 4, 1992)

Policy against Sexual Harassment (adopted by Board of Trustees, June 15, 1998)

Accommodations for Religious Observances (adopted by the University Faculty Council, March 28, 2000)

Resolution concerning Nonregistration of Student Groups and the Use of University Facilities (adopted by the Board of Trustees, July 3, 1967)

Indiana University Policy on Student Records (adopted by the University Faculty Council, March 29, 1977; amended, October 2, 2001)

Guidelines for Dealing with Disruptive Students in Academic Settings (adopted by the University Faculty Council, April 12, 2005)
Appendix D

SAMPLE FORMS
Master’s Requirements:

- The *Application for Advanced Degree Form* should be submitted by the student at least SIX WEEKS before the date of graduation.

- A *Recommendation for Advanced Degree Form* should be returned to the University Graduate School NO LATER THAN THE LAST DAY OF THE MONTH PRECEIVING THE DESIRED DATE OF GRADUATION.

- Master’s degrees must be completed within FIVE YEARS OF THE LAST MONTH OF THE FIRST SEMESTER.

- Dual Master’s degrees must be completed within SIX YEARS OF THE LAST MONTH OF THE FIRST SEMESTER.

- Degrees are granted monthly. If a Master’s thesis is required, two bound copies must be received by the University Graduate School by the 10TH OF THE MONTH IN WHICH THE STUDENT WISHES TO GRADUATE. Should the Master’s Recorder discover any problems, degree conferral may be postponed.

Ph. D. Requirements:

The Department should initiate the *Request for Transfer Credit form* before any of the following steps are initiated.
• The Qualifying Examination must be passed at least **EIGHT MONTHS** before the degree can be awarded.

• The Department should initiate the *Nomination for Candidacy Form* **IMMEDIATELY AFTER THE STUDENT PASSES THE QUALIFYING EXAMINATION** as it should be approved by the University Graduate School as quickly as possible.

• The *Nomination to Research Committee Form* must be approved by the University Graduate School at least **SIX MONTHS** before the defense of the dissertation.

• **At least THIRTY DAYS PRIOR TO THE SCHEDULE DEFENSE** of the dissertation, the candidate must submit to the University Graduate School a one-page announcement of the final examination. (See the format for the announcement in the *Dissertation Guide.*)

**NOTE:** By this point, students must have completed a total of ninety (90) applicable credit hours (excluding G901) before the degree can be awarded.

• The student must defend his/her dissertation and submit the unbound and bound copies to the University Graduate School **WITHIN SEVEN YEARS AFTER PASSING THE QUALIFYING EXAMINATION.**

• Degrees are granted monthly. If the unbound and bound copies of the dissertation are turned in to the University Graduate School by the **15TH OF THE MONTH**, the degree may be awarded the same month; otherwise, it is granted the following month. The University Graduate School’s submission deadline for the month of May is **EARLIER** due to a different deadline established by the Register’s Office.

• Students who have passed the qualifying examination must enroll each semester thereafter (excluding summer sessions unless the student is to graduate in June, July, or August). Candidates graduating during these months must enroll in one **(1)**
hour of credit in the current or immediately preceding summer session.

- Should the Ph. D. Recorder discover any problems, degree conferral may be postponed.

Additional Requirements:

- Diplomas are mailed to the student’s permanent address by the Office of the Registrar. It is the student's responsibility to verify that the Office of the Registrar has the proper address on file. Diplomas are mailed by the Office of the Registrar two to three months after the degree is conferred.

- Students enrolling in G901 must be:
  
  o doctoral students who have completed NINETY HOURS OR MORE of graduate course work, or Master of Fine Arts students who have completed SIXTY HOURS OR MORE of graduate course work.

  o doctoral students or master of fine arts students who have completed ALL REQUIREMENTS for their degree except the dissertation or final project or performance, if applicable.

  o doctoral students or masters of fine arts students WHO HAVE NOT PREVIOUSLY ENROLLED IN MORE THAN FIVE SEMESTERS of G901.
APPLICATION FOR ADVANCED DEGREE
UNIVERSITY GRADUATE SCHOOL

Month in which you wish degree to be conferred 
Please note that if this date changes you must notify the Recorder for your name to appear in the 
Commencement program ______ (please initial here).

Diplomas are mailed by the Office of the Registrar approximately three months after the degree is conferred

UNIV. ID: ________________________ DATE OF BIRTH: __________

NAME: __________________________________________________________

Current address ______________________ Permanent Address
Street ________________________________ Street ________________________________
(City-State) __________ (Zip) _______ (City-State) __________ (Zip) _______

Local telephone number (____) ______ Email Address __________________________

Did you ever attend a regional campus for graduate credit? ______ Yes _____ No _____
If yes, where and when 

Will you be transferring credit from another institution for this degree? ______ Yes _____ No _____
If yes, from where and how many credit hours 

Have you ever been a Continuing Nondegree Student? ______ Yes _____ No _____
Will you be continuing work for the Ph.D. at I.U.? ______ Yes _____ No _____

Check appropriate boxes

Master of Arts 
Department/Program __________ Major _________
( ) with thesis 
( ) with research skill (specify courses) ______________________________
( ) with language (specify language and how fulfilled) ______________________________
( ) with essay, internship, or project ______________________________
( ) with exam (date completed) ______________________________

Master of Science 
Department/Program __________ Major _________
( ) with thesis 
( ) with research skill (specify courses) ______________________________
( ) with language (specify language and how fulfilled) ______________________________
( ) with exam (date completed) ______________________________

Master of Fine Arts 
Department/Program __________ Major _________
( ) date of thesis show ______________________________
( ) with thesis ______________________________

Master of Arts for Teachers* 
Department/Program __________ Major _________

* Copy of Public Instruction Teacher's License must be submitted to the Master's Recorder, Kirkwood Hall 111. Please return this form to the University Graduate School, Kirkwood Hall 111.

Diplomas will be sent to address of official University records
Please check your address at the Office of the Registrar, Franklin Hall 100.

02/07
UNIVERSITY GRADUATE SCHOOL

Recommendation for Advanced Degree

SAMPLE

Name of Candidate:

(Last) (First) (Middle)

Degree to be granted:

Earliest expected date of graduation: (Month) (Year)

Please indicate requirements for this degree that student has fulfilled:

_____ Thesis

_____ Essay, Internship, or Project

_____ Comprehensive Exam

_____ MFA Show

_____ Teacher Certification

_____ Language: (Method of demonstrating proficiency)

_____ Research Skills: (Courses)

_____ Required Courses*: (Courses)

*PLEASE LIST ALL COURSES (totaling 30-36 hours) THAT APPLY TOWARD DEGREE

**Please send any Removal or Incomplete forms for outstanding course work, thesis, or research hours to the appropriate school.

I certify that the above named student has met all departmental requirements for this degree.

Chairman of Department or Departmental Graduate Advisor

Date

PLEASE RETURN PROMPTLY. Recommendation form must be returned to the Graduate School Office to the last day of the month preceding the desired month of graduation.
NOMINATION TO CANDIDACY FOR THE PH.D. DEGREE

Name of Student ___________________________________________ Campus I. D. ___________________________________________

Current Mailing Address ____________________________________________________________

Department ______________________ Date of Enrollment/Univ. Graduate School _______ Birth Date __________

Date of Qualifying Exam _______________ (Mo/Da/Yr) Date Candidacy Expires ___________________________

Total Graduate Credits Earned (Including Transferred Credits) __________________________

REQUIREMENT COMPLETION DATES

Major _______________________________ Date __________ / __________ / __________

Minor _______________________________ Date __________ / __________ / __________

Minor _______________________________ Date __________ / __________ / __________

Language Proficiency (If student is using research skill, please list courses)

______________________________ Date __________ / __________ / __________

______________________________ Date __________ / __________ / __________

This certifies that the above named student has passed the Qualifying Examination and is hereby nominated to candidacy for the Ph.D. degree.

Advisory Committee

______________________________ __________________________

Signatures

______________________________ __________________________

Outside Minor ____________________________ (Outside Minor Examination Passed)

Or ____________________________ (Outside Minor Examination Waived)

Chair or Graduate Advisor/Major Dept. ____________________________ Date __________

Information Verified/Ph.D. Recorder ____________________________ Date __________

University Graduate School ____________________________ Date __________

Approved/Dean ____________________________ Date __________

University Graduate School

*Do not submit this form to the University Graduate School until the transfer of all credits from other institutions has been approved.*
## NOMINATION OF RESEARCH COMMITTEE FOR THE PH.D.

<table>
<thead>
<tr>
<th>Name of Student</th>
<th>Campus I.D.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
<td>Birth Date</td>
</tr>
<tr>
<td>Major</td>
<td>Minor(s)</td>
</tr>
<tr>
<td>Date of Qualifying Examination</td>
<td></td>
</tr>
<tr>
<td>Date of Enrollment in University Graduate School</td>
<td></td>
</tr>
<tr>
<td>Proposed Dissertation Title</td>
<td></td>
</tr>
</tbody>
</table>

**Dissertation Prospectus:** Please attach a one-to-two page summary of the proposed research. If the research involves human subjects, animals, biohazards, biosafety, or radiation, please also attach an approval from the appropriate committee.

**Note:** Your signature below indicates that you have read the attached prospectus and agree to serve, if appointed, on a committee to supervise this research.

<table>
<thead>
<tr>
<th>NAME (Please type)</th>
<th>SIGNATURE</th>
<th>DEPARTMENT</th>
<th>CAMPUS EMAIL</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Chair of Committee)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Minor Representative)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**ALL COMMITTEE MEMBERS MUST BE MEMBERS OF THE UNIVERSITY GRADUATE SCHOOL FACULTY AND AT LEAST HALF MUST BE FULL MEMBERS.**

I certify that I have examined the attached prospectus and that this committee is appropriate to supervise research in this area.

<table>
<thead>
<tr>
<th>Signature/Departmental Chairperson</th>
<th>Date</th>
</tr>
</thead>
</table>

**Approval/Dean**

<table>
<thead>
<tr>
<th>University Graduate School</th>
<th>Date</th>
</tr>
</thead>
</table>

*To be used only by students who have passed the qualifying examinations and who have previously been admitted to candidacy.*

08/01
Sample

APPOINTMENT OF ADVISORY COMMITTEE

College of Arts and Sciences, Graduate Division

Date ______________________

Name of Student __________________________________________________________

University ID Number ___________________________ Department __________________

Date of Admission to graduate program ________________________________________

Major ______________________________ Minor ________________________________

ADVISORY COMMITTEE

Name ___________ Discipline ___________ Signature __________________________

1st Inside Member ____________________________

2nd Inside Member ____________________________

1st Outside Member ____________________________

Approved ____________________________

Chairperson of Major Department or
director of Graduate Studies

Approved ____________________________

Dean, College of Arts and Sciences

NOTE: The student's major department shall assign every Ph.D. student admitted to a degree program to an
advisory committee not later than one year after admission to the Ph.D. program. The names of faculty on the
advisory committee shall be forwarded, also not later than one year after admission, to the College of Arts and
Sciences, Graduate Division for approval.
Sample

Application and Agreement for Student Academic Appointee
Indiana University, Bloomington Campus

(Name) ___________________________ (Univ. ID) ___________________________ requests appointment as

(Tile) ___________________________ (Department/School) ___________________________

of Indiana University, Bloomington Campus. Upon acceptance by Indiana University of this application and notification of acceptance delivered, the requester agrees to serve the appointment upon the terms of the employment agreement set forth below.

Period of Appointment

- Academic Year, 20 ___-20 ___
- Fall Semester, 20 ___
- Spring Semester, 20 ___
- Other (Specify exact dates) ___________________________

Graduate Work-Study Program

- This appointment is partially funded by the Federal Graduate Work- Study Program.
- No Work-Study funds are involved.

Remuneration: The stipend (if applicable) for the above period will be __________, it will be paid in __________ equal installments. The appointee will be expected to work __________ hours per week. (____% FTE) Appointments above 50% FTE (full-time equivalent) must have prior approval of the Dean of the Faculties.

Enrollment

- Appointment is at or above 37.5% FTE and requires enrollment in 6 credit hours/semester, or GSB 891 if eligible/required.
- Appointment is below 37.5% FTE and requires enrollment in at least 1 credit hour/semester.
- Appointment is for summer - no enrollment requirement.

Department/School enrollment requirements: ___________________________

Fee Remission: Associate Instructors, Research Assistants, Graduate Assistants and Faculty Assistants performing teaching or research activities, if on appointment at 90% or greater FTE (20 hours of duties/week) must receive a full fee remission. Fee remission awards do not cover GSB 891, mandatory, course-related or miscellaneous fees and therefore, will never cover 100% of the total fees. The stated fee remission award will cover a minimum of 90% of the credit hour fees for a resident and a minimum of 85% for a non-resident.

- A fee remission has been awarded for: Sem I ______ or hrs. Sem II ______ or hrs. Summer ______ or hrs. Fee remissions may be awarded for a maximum of 30 hours per 12-month period beginning with the start of the fall semester with at most 12 hours in any semester or combined summer session.

Discretionary Fee Remission: Associate Instructors, Research Assistants, Graduate Assistants and Faculty Assistants performing teaching or research activities may be awarded fee remissions at departmental discretion for appointments less than 90% FTE.

- A fee remission has been awarded for: Sem I ______ or hrs. Sem II ______ or hrs. Summer ______ or hrs. Fee remissions may be awarded for a maximum of 30 hours per 12-month period beginning with the start of the fall semester with at most 12 hours in any semester or combined summer session. Fee remission awards do not cover GSB 891, mandatory, course-related or miscellaneous fees.

Insurance

- Appointees will be enrolled in the mandatory Student Academic Appointee Health Insurance Plan if appointed at 37.5% FTE or more for a semester or longer. NOTE: Open enrollment periods for the insurance are August and January. Students who are appointed mid-semester or during the summer are not eligible for enrollment until the next open enrollment period.

Employees Withholding Exemptions Certificate: If this is an initial appointment, a certificate must be signed and sent to Payroll. (If none is sent, "0" exemptions will be assumed.)

Direct Deposit: All new university employees (including staff, faculty, graduate students and hourly) will be required to utilize direct deposit for payroll.

Eligibility for Reappointment: Eligibility for reappointment will be limited to ______ additional years. Eligibility in itself, however, does not constitute a commitment of the University to offer reappointment.

Duties Assigned:

Policies and Procedures: The University and the appointee will follow the policies and procedures contained in the current Bloomington Academic Guide. It is the responsibility of appointees to request and familiarize themselves with such materials. In particular, policies on instructional matters, employment procedures and termination procedures should be noted by the appointee. Copies of the Handbook for Student Academic Appointees containing most of the relevant policies are to be provided by the department or school to each appointee. The Bloomington Academic Guide can be viewed at the following web address: www.indiana.edu/~deanls/academic/

This application shall constitute the employment agreement upon the signing by both the appointee and the Department Chairperson or Dean of a professional school and the return of one fully signed copy to the appointee. (Note: third copy must be submitted to the Dean of the Faculties Office.) Appointment under this agreement is subject to the final approval of the Dean of the Faculties and, if a new appointee, to the appointee furnishing the federally required documentation evidencing U.S. citizenship, permanent resident status or authorized alien status (entitled to work in the United States for the period of the above appointment).

Copies to:

Appointee
Chair/Dean
Dean of the Faculties

Appointee
Date

Unit/Head/Unit
Date

These forms are available from the Office of Academic Personnel Policies and Services, 855-2226.

Revised 8/05