



**DIRECTOR OF  
UNDERGRADUATE  
STUDIES**

*Advising Handbook*

*Academic Year* **2021~2022**

# DIRECTOR OF UNDERGRADUATE STUDIES

## *Advising Handbook*

Academic Year

# 2021~2022

A PUBLICATION OF THE OFFICE OF  
THE DEAN OF THE COLLEGE

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# Overview

This handbook aims to provide a quick guide to the most common situations that you may encounter as director of undergraduate studies (DUS). This booklet is organized by task; in the appendices, you'll find sample calendars and commonly-used forms. For full policy information—and in-depth discussions of DUS responsibilities—please see the Academic Advising Handbook, <https://aah.princeton.edu/>.

As DUS, you are the primary point of contact for all matters related to the undergraduate curriculum, and are charged with overall responsibility for the academic standing and progress of undergraduates in your department. Directors of undergraduate studies oversee policy and program matters; they also act as vital liaisons to other department faculty, the Office of the Dean of the College, the Office of the Registrar, the residential colleges, and other University administrative units.

While directors of undergraduate studies are responsible for advising junior and senior students about all aspects of department requirements, the residential college deans serve as the primary non-departmental advisers for juniors and seniors. If you have any concerns about your students, contact the appropriate residential college dean or director of studies.

Responsibilities of the DUS fall into three main areas, and include:

## STUDENT ADVISING & SUPPORT

- Advise department concentrators on course of study and requests for exceptions; field questions from potential concentrators.
- Meet with concentrators about course selection; approve departmental academic planning forms (DAPFs).
- Work with the undergraduate administrator on all matters related to concentrators' degree progress (monitor progress, update yearly requirements, indicate senior departmentals,

record exceptions granted to individual students); connect students with residential college resources for support.

- Send regular advising communications to concentrators.
- Annually review and update the guide to independent work.
- Coordinate assignment of junior and senior independent work (IW) advisers; track progress for all concentrators and advise students with independent work issues; oversee funding process and requests for extensions.

**NOTE:** Since students may need departmental approval to change courses or for extensions beyond University deadlines, directors of undergraduate studies must be available throughout the academic year.

## MANAGING & ADMINISTERING THE UNDERGRADUATE CURRICULUM

- Communicate with the Office of the Registrar on all matters related to concentrators' degree progress (update yearly requirements, indicate senior departmentals, record exceptions granted to individual students).
- With the department chair, review undergraduate course offerings each term/year to ensure sufficient availability of courses to meet concentrator requirements; review departmental course schedule to avoid conflicts between required courses; review and approve list of courses that will meet senior departmental requirements, including cognate courses.
- Oversee annual update process for the *Undergraduate Announcement*, working with the undergraduate administrator and the Office of the Dean of the College to revise the description of degree requirements, if necessary.
- Review transfer course pre-approval requests for any departmental-subject courses.

## DEPARTMENT RECRUITMENT & EVENTS

- Plan and attend student orientations, department open houses for prospective concentrators, department meetings with concentrators, Class Day and Commencement events.

- Oversee process for selecting recipients of department prizes and honors.
- Select and liaise with the undergraduate advisory committee.

## *Important Dates*

### FALL TERM 2021

- 9/1 Fall term classes begin
- 9/14 Undergraduate deadline to add/drop courses without a fee; courses may not be added after this period. After this date, seniors must get signatures from residential college deans for all course drops; concentrators must also get a signature from the DUS to drop any course in the department.
- 10/11 – 10/15 Fall midterm examination week
- 11/12 Deadline for undergraduates to drop fall term courses or select P/D/F option.
- 11/30 Seniors enroll in spring term classes
- 12/1 Juniors enroll in spring term classes
- 12/14 Dean's Date – University deadline for undergraduates to submit all written course work; please refer extension requests to the residential colleges.
- 12/15 – 12/21 Fall term final examinations
- 12/18 University deadline for submission of take-home exercises
- 12/21 Faculty deadline for submission of grades for undergraduate courses with no scheduled final
- 1/12 Faculty deadline for submission of grades for undergraduate courses
- 1/14 University deadline for submission of junior independent work
- 1/21 Faculty deadline for submission of grades for junior independent work

### SPRING TERM 2021

- 1/24 Spring term classes begin
- 2/4 Undergraduate deadline to add/drop courses without a fee; courses may not be added after this point. After this date, seniors must get signatures from residential college deans for all course drops; concentrators must also get a signature from the DUS to drop any course in the department.
- 2/28 – 3/4 Spring midterm examination week
- 3/24– 4/11 Period for AB sophomores to declare their concentrations

- 3/25** Deadline for undergraduates to drop spring term courses or select P/D/F grading option
- 4/12** Juniors enroll in fall term classes
- 4/13** Sophomores enroll in fall term classes
- 4/25** University deadline for submission of senior theses/senior independent work (SIW)
- 4/26** University deadline for submission of junior independent work
- 5/3** Dean's Date - University deadline for undergraduates to submit all written course work; please refer extension requests to the residential colleges.
- 5/4 - 5/5** Period for senior Departmental/comprehensive examinations
- 5/6 - 5/12** Spring term final examinations
- 5/10** Faculty deadline for submission of grades for undergraduate courses with no scheduled final
- 5/12** Faculty deadline for submission of senior thesis and senior comprehensive exam grades
- 5/13** Faculty deadline for submission of grades for undergraduate courses
- 5/17** Faculty deadline for submission of grades for junior independent work
- 5/18** Honors due to Registrar at 12:00 p.m.
- 5/22** Class of 2022 Baccalaureate
- 5/23** Class Day
- 5/24** Class of 2022 Commencement Day

## *Departmental Advising for Juniors & Seniors*

### **COURSE ENROLLMENT ADVISING PROCESS**

Twice a year, you (or faculty members you designate) are asked to approve the course selections of each student in the department using an online Departmental Academic Planning Form (DAPF, see appendix). Your concentrators will complete the DAPF via TigerHub; you will have access to the form via StuView. Please encourage students to complete this form before they meet with you or their designated faculty adviser; the form is meant to help students plan how and when to complete academic requirements. After this meeting, students enroll in classes via TigerHub.

The Degree Progress report in StuView shows you the courses students have taken and how they apply toward degree and concentration requirements. The DAPF form includes a space for the DUS/departmental adviser to add remarks on the student's academic plan and their approval of specific courses for which the student is enrolling. In most cases, a student should be discouraged from taking four departmental courses in one semester. Note that the DAPF serves as a primary record of departmental approval; should questions later arise about whether a student was correctly advised, this form provides important documentation.

Concentrators who return from a leave of absence, suspension, or a required academic withdrawal will be directed to their DUS and residential college dean for approval to enroll in courses. Students who have taken time away enroll at the same time as their classmates; however, their questions may be more complicated. As a rule, returning students will be held to the departmental requirements at the time they first entered the department; however, departments do have the option to allow these students to fulfill the requirements that have subsequently been revised or established for concentrators, if those options are better suited to the returning student.

## **CHANGES IN STUDENTS' COURSE SCHEDULES**

Consult the Office of the Registrar's Academic Calendar for the precise dates for course changes in each term. Since Princeton's semester is relatively short, the Registrar's deadlines must be held firm.

### **THE FIRST TWO WEEKS OF THE TERM (FREE-OF-CHARGE ADD/DROP PERIOD)**

Students call the first two weeks of term the "shopping period." Those making course changes during this time can drop or add courses directly through TigerHub without contacting an academic adviser. Sometimes students drop required courses, jeopardizing their academic standing; they may also add new courses on the last day of the period, which may prove particularly challenging if a course has already covered significant ground. TigerHub does warn students about making changes without proper advice

and residential college deans do explain to students that they need their department's approval to make changes to departmental courses. But DUSs should be aware of this potential problem as they meet with students.

### THE THIRD THROUGH NINTH WEEK OF THE TERM

Adding a course after week two is extremely rare and requires that students provide written confirmation from the instructor that they have been attending the course since at least the second week. The dean of their residential college handles such late requests.

Juniors may drop courses in TigerHub through the end of the ninth week of classes in either term. In weeks seven through nine, they may also select Pass/D/Fail grading option for elective courses (normally, P/D/F grading is not acceptable for departmental courses). They should receive their DUS's permission for changes that involve departmental courses.

Seniors are blocked from dropping courses through TigerHub after the second week of classes. During weeks three through nine, they must have permission to drop any courses (such permission may be given via email). All drops require the residential college dean's approval; dropping a departmental course also requires the approval of the DUS before the dean may approve the drop.

Undergraduates may not drop individual courses after the ninth week of the semester.

## DECLARING A CONCENTRATION/ENTERING THE DEPARTMENT

### STUDENT PROCESS (AB)

**Step 1:** After fulfilling the department's prerequisites, rising juniors declare their intention to concentrate using the online portal in TigerHub (available in mid-March).

**Step 2:** After declaring a concentration, students fill out the Departmental Academic Planning Form (DAPF) via TigerHub. They then follow the department's instructions on how their fall term course selections are advised and approved.

## DEPARTMENT PROCESS (AB)

**Step 1:** Review new concentrator records.

Departmental advisers will be able to see incoming concentrators' records (courses and grades) and their DAPF. Access to new concentrators' academic records also allows the review and audit of their prerequisite courses and departmental requirements. Should you encounter a student who has failed to complete prerequisites, please contact the student's residential college dean for assistance. (See appendix for details on how to access and approve the DAPF.)

**Step 2:** Advise new concentrators and approve course enrollment.

The DAPF will display courses from the student's TigerHub course planner, allowing department advisers to guide students and approve their enrollment plans for the upcoming semester. Note that new concentrators may require careful advising about their course load, especially if your department has a non-credit-bearing junior seminar.

## STUDENT PROCESS (BSE)

**Step 1:** Before BSE rising sophomores meet with department advisers in April, they must complete the Pre-Concentration Advising Form and select up to three possible concentrations. After they submit their choices, department faculty advising rising sophomores have access to their course history.

**Step 2:** Rising sophomores meet with an adviser in their intended department(s) and select a program of study for the fall of sophomore year. They may meet with advisers in multiple departments.

**Step 3:** Based on conversations with advisers, rising sophomores narrow their choice of department to one and enroll in courses by the deadline.

**Step 4:** Rising BSE sophomores are then sent an e-mail by the Office of the Registrar in the first week in May. The email has a link to a drop-down menu from which they select their intended concentration.

## DEPARTMENT PROCESS (BSE)

**Step 1:** Provide names of faculty members who will be advising rising BSE sophomores to the SEAS Undergraduate Affairs Office.

**Step 2:** Advisers meet with rising sophomores and validate their intended programs of study. The Pre-Concentration Advising Form will display courses the student has entered into the course planner in TigerHub, allowing you to advise students and approve their course enrollment plans for the coming semester. In spring term, Peter Bogucki, the Associate Dean for Undergraduate Affairs in the School of Engineering and Applied Science, will send detailed instructions for this process and will hold an orientation session for faculty advising rising sophomores.

## OTHER ADVISING RESPONSIBILITIES

### STUDY ABROAD – APPROVED FOR A LIMITED NUMBER OF LOCATIONS FOR FALL 2021

The Office of International Programs (OIP) asks directors of undergraduate studies to support and guide students who wish to incorporate study abroad into their departmental program. Students may study abroad in the spring term of sophomore year, in one or both terms of junior year, or in the fall term of senior year. Their plans must include a strategy for fulfilling departmental requirements. Students may speak with you even before they enter the department, wondering how best to schedule their courses to integrate a semester or year abroad.

Please see the OIP website for detailed information about approving programs of study for concentrators (<https://oip.princeton.edu/our-programs/study-abroad/faculty/>). Along with OIP, directors of undergraduate studies must ensure that students studying abroad continue to have reliable academic advising, which might include arranging remote advising of independent work.

### CHANGE OF DEPARTMENT

After the spring declaration period, students may change their concentration provided they are accepted by a new

department. The student must meet with the DUS of the new department and their residential college dean and complete the form supplied by the residential college dean.

Note that department changes may be impossible after the start of the second term of a student's junior year (or even earlier in some concentrations). See the Academic Advising Handbook for more information (<https://aah.princeton.edu/>). No student may begin their senior year without completing all their junior independent work.

#### **CHANGE OF DEGREE CANDIDACY**

Students changing degree candidacy (AB to BSE, or BSE to AB) must meet all the regular requirements for the new degree. Changing degree candidacy is rarely possible after the junior year begins. Students who want to change their degree candidacy should consult first with Dean Peter Bogucki, who initiates the process for degree changes.

#### **APPROVAL FOR AN OUT-OF-PHASE PROGRAM OF STUDY**

Students who take a leave of absence from the University normally do so for two consecutive terms. Upperclass students and early concentrators are eligible to apply for exceptions to this rule, with departmental approval. For example, a rising senior might need to be away only for the fall semester; they could apply to return in the spring to begin their senior year and then complete their degree requirements "out-of-phase" in the following fall. Requests for one semester leaves from juniors can be more challenging because of the structure of independent work. Departments should not approve requests for out-of-phase study that would compromise the integrity of their curricular requirements. If you have questions or concerns about a student's request for an out-of-phase program of study, please consult with the student's residential collegedean.

#### **TRANSFER COURSE APPROVAL**

An AB student may take no more than three of the 31 courses required for graduation at another institution; a BSE candidate may take no more than four. (Please note: Courses taken via an approved study abroad program do not count against this limit.) Courses completed elsewhere may only

be used to eliminate individual course deficiencies or bank additional course credits and will **not** reduce the eight terms of study required to graduate from Princeton.

Before the student enrolls in courses at other institutions, the appropriate DUS and residential college dean or director of studies must approve them for Princeton credit. This means you will likely be asked to approve transfer courses for students who are not concentrators in your department. For example, a pre-med student wishing to gain transfer credits for an Organic Chemistry class at Yale must have the course approved by the Princeton Department of Chemistry even if they plan to concentrate in Religion.

Students must provide all necessary documentation for proposed courses. The approval form allows the DUS to indicate whether a course would qualify as a prerequisite, as an analogous Princeton course, or whether the course is acceptable for transfer credit alone, meaning that there is no equivalent course in our offerings. See the Academic Advising Handbook (<https://aah.princeton.edu/>) for more guidance on transfer course approval. Note that students may request to take courses during summer or during term-time while on a leave of absence from Princeton.

#### GRADUATE COURSE APPROVAL

To enroll in a graduate course, an undergraduate must obtain the following approvals in order: from the instructor, their DUS, and the SEAS dean (BSE) or college dean (AB). When you are asked to approve undergraduate enrollment in a graduate course, please note that the following regulations, among others, apply to graduate courses:

Graduate courses will not substitute for an existing undergraduate course on the same topic.

Undergraduates must submit written, graded work by Dean's Date to earn credit for a graduate course.

Graduate courses do not satisfy undergraduate distribution requirements. Undergraduates must take a graduate course in the grading basis in which it is offered. An undergraduate may apply to take an ungraded graduate course as a reading course instead.

## ACADEMIC ACCOMMODATIONS

If a student comes to you to request academic accommodations, citing health, sexual assault, or disability-related issues, please don't act independently to assess the request. First contact the student's residential college dean, who can guide you through assisting the student within our established processes and policies.

The University is required to provide certain accommodations related to disability and Title IX that we need to track and document. Our policies also align with the University's commitments to diversity and inclusion, to student success, and to the integrity of our academic program. Academic accommodations, even those required by law, must be reasonable, and should not be misunderstood as exemptions from deadlines or course requirements. If an undergraduate student has a chronic, ongoing condition or disability, they might be approved for academic accommodations through the Office of Disability Services (ODS). After ODS approves accommodations, faculty are notified and asked to work with their departments to implement the plan. If you have questions or concerns about these processes, please contact the Office of Disability Services or the relevant residential college dean.

## STUDENTS OF CONCERN

As director of undergraduate studies, you may be approached by faculty or preceptors who have concerns about undergraduates. Please treat such concerns with delicacy and don't hesitate to reach out for advice about next steps.

For concerns about a student's academic standing or engagement, please talk with their residential college dean or director of studies (available on the Advisers tab in StuView). They will help advise students in difficulty. Faculty may submit online Academic Early Alerts (AEAs) for students they are teaching or advising; these reports go directly to a student's college dean and director of studies.

For non-urgent concerns about a student's social or personal situation, contact the residential college director of student life (DSL). The DSLs serve as liaisons to many non-academic resources, and support students around mental health concerns, alcohol or drug issues, sexual misconduct, or any form of harassment or discrimination.

If a student's safety is of urgent concern, please immediately call Counseling and Psychological Services (609-258-3141) or the Department of Public Safety (609-258-3333).

## *Junior & Senior Independent Work*

Junior and senior independent work (IW) is a defining feature of Princeton's undergraduate education, and the DUS is key to guiding students toward its successful completion. The DUS acts as the liaison between independent work advisers and college deans for all issues concerning independent work.

### **DEPARTMENT INDEPENDENT WORK GUIDE**

Each department's Independent Work Guide should outline clearly and concisely the discipline's assumptions and scholarly conventions, as well as the department's goals and expectations for undergraduate independent work. The guide is vital to undergraduate concentrators, who should review it as they enter the department. IW advisers (especially new faculty) should also be familiar with the department's distinct approach and standards.

A section of the guide should clarify the expectations of the adviser-student relationship, and identify whom students should notify if they encounter unexpected challenges working with their adviser. The guide should suggest questions that scholars in the discipline typically pose, and briefly introduce the discipline's leading research methods. The guide should also state the penalty structure imposed on late submissions of independent work. As DUS, update the guide as needed and work with the Director of Undergraduate Research, Dr. Pascale Poussart (poussart@princeton.edu), to post it on the Office of the Dean of the College's website.

Questions about multiple submissions may arise with independent work. Sometimes, a student might want to expand a course paper for the JIW or to incorporate parts of their junior independent work into their senior thesis. For the relevant policy, please refer to *Rights, Rules, Responsibilities* (available online) and include links in the department's independent work handbook.

## INDEPENDENT WORK DEADLINES

While procedures vary among departments, each department must establish fixed deadlines for all stages of junior and senior independent work. Students must be informed of these deadlines in writing at the beginning of each academic year; please provide periodic reminders at key points during each term. Most departments set due dates for intermediate steps in the project, including deadlines for topic outlines, proposed bibliographies, first chapters, and/or first drafts.

Please establish a way for faculty advisers to notify you and the residential college deans if students do not meet their deadlines or if they fail to respond when their adviser contacts them concerning their IW. JIW and senior thesis advisers can use the Academic Early Alert (AEA) system to send reports directly to residential college deans for students with difficulties.

### JUNIOR DEADLINES

The University sets a firm deadline for the final submission of the JIW, which falls one week before Dean's Date. Departments may set their deadlines earlier for JIW but should consult with Dean Claire Fowler in the Office of the Dean of the College before making such a change in the fall term.

#### **FALL JIW UNIVERSITY DEADLINE AY 21-22:**

Friday, January 14, 2022

#### **SPRING JIW UNIVERSITY DEADLINE AY 21-22:**

Tuesday, April 26, 2022

### SENIOR DEADLINE

For AY 21-22 the University deadline for the senior thesis/senior independent work is **Monday, April 25** -one week and

a day before spring Dean's Date. Departments may also set an earlier deadline for the submission of the senior thesis.

## EXTENSIONS FOR INDEPENDENT WORK

Students unable to complete junior or senior independent work before a departmental or University deadline may request permission to submit the work late.

If a department has a due date before the University deadline, the department may grant extensions up to the University deadline without the involvement of a residential college dean or director of studies.

Any request for an extension past the University independent work deadline must be approved by a residential college dean as well as the DUS. Students seeking an extension beyond that date must make a formal request through the appropriate residential college office.

After meeting with a student requesting an extension, the residential college dean will contact the student's DUS to discuss whether an extension is warranted and, if so, for how long. The dean will clarify whether the student has suffered an illness or encountered other compelling reasons beyond their control (such as a family emergency). The DUS must also consult with the student's IW adviser before making a recommendation.

If the application for an extension is approved by both the residential college dean and the department, the dean will inform the student of the extended deadline date. JIW extensions for the fall term may reach into the spring term only in rare circumstances; spring term extensions cannot run past August 1 before the fall term of the senior year.

For the senior thesis, extensions beyond the University deadline are granted only in rare circumstances, since all degree requirements, including senior comprehensive exams, must be completed by the end of the examination period. Most often, a thesis that is not completed by the University deadline will result in the student "failing to qualify" (FTQ) for the degree.

If a student is granted an IW extension that falls after the Registrar's deadline for the submission of IW grades, the

DUS should record an “incomplete” (INC). All incompletes must be authorized by the residential college dean, who will contact the Registrar. Once the work is submitted, the department files the appropriate grade by submitting a Change of Grade form (available on the Office of the Registrar’s website under “Faculty Services”).

For more information, see the subsection “Deadlines for the submission of independent work” in the section “Reading Period, Dean’s Date, and End-of-Term Work” under “Academic Regulations” in the *Undergraduate Announcement* (available on the Dean of the College’s and the Office of the Registrar’s websites).

### **LATE PENALTIES OR FAILED INDEPENDENT WORK**

Departments may assign penalties even for approved late submissions of independent work, if the late submission is due to circumstances other than illness or family emergency. Departments may also assign late penalties for independent work that has simply been submitted late without approval. Please note that for work submitted late, but before the University deadline, late penalties alone cannot result in a grade lower than “D.”

If a student fails to meet a University IW deadline and was not given an approved extension, they will receive an “F” for non-submission of the JIW or senior thesis. The DUS should submit a Failure Statement form immediately when a student receives an “F” for independent work (whether because of poor quality or failure to submit). All failure statements can be filed electronically; the forms are available on the Registrar’s website.

Any student who receives a failing grade on IW is required to submit passing independent work to proceed to their senior year (for JIW) or to earn the diploma (for the senior thesis). After the student submits passing independent work, a second, unpenalized grade will be added to the transcript under a different number than the initial failed submission. Both grades (the failing grade and the unpenalized “second submission”) remain on a student’s transcript.

# Departmental Requirements

## DESIGNATING “DEPARTMENTALS”

The residential college deans track University requirements but depend on you to track departmental requirements. A minimum of eight courses is required in a student’s major. The department designates which advanced courses taken by a student are counted as “departmentals.” Any course a student has taken before entering the department may, if the department so chooses, count as one of the departmentals required for graduation. The eight departmental courses required for graduation may be distributed term by term in whatever fashion seems educationally sound.

A department may, if it chooses, count one course taken away from Princeton as a departmental; more may be allowed if the student participates in an approved term-time international study program.

## AUDITING DEPARTMENTAL PROGRESS

At regular intervals (for example at the start of the term and after the final drop deadline), you should audit your concentrators’ records to make sure that they are making steady progress to degree. The department administrator can run academic progress reports online and identify issues of concern.

Each department should have a procedure for the student and the department to confirm which courses count as departmentals. If a dispute arises about whether a course was approved as a departmental, you may check the DAPF history in StuView to see which courses were approved during the advising conversation.

After the undergraduate program administrator updates the PeopleSoft Student Records System with departmental courses for each senior, you and the student can both see the designated departmental courses in TigerHub/ StuView. The undergraduate program administrator can also print a list of each senior’s departmental courses for

your review and final sign-off when you audit the senior course selections for the spring term of senior year. At the end of the spring term, using the PeopleSoft Student Records System, you should prepare a list of the grades for departmental courses and independent work for each senior, to help you calculate eligibility for honors.

Note that minimum GPAs for departmental courses or for overall departmental progress need to be tracked internally, since PeopleSoft does not show these details.

## CERTIFICATE PROGRAM REQUIREMENTS

In addition to fulfilling the requirements for a concentration, many students participate in one or more certificate programs. Program requirements are listed in the *Undergraduate Announcement* and are available on the Office of the Dean of the College website. Students who successfully complete such a program are awarded a program certificate at graduation. Students may wish to develop independent work topics that satisfy both departmental and certificate requirements.

## Recordkeeping & FERPA

“FERPA” refers to the Family Educational Rights and Privacy Act (also known as the Buckley Amendment), a federal law enacted in 1974.

In ways both formal and informal, Princeton University collects and retains data and information about students. The University, adhering to federal regulations outlined in FERPA, recognizes the privacy rights of individuals in exerting control over what information about themselves may be disclosed; it also attempts to balance that right with the institution’s need for information relevant to the fulfillment of its educational missions.

The University complies with FERPA in two central ways: (a) in granting students access to “education records” and (b) in ensuring the privacy of “education records.”

FERPA defines “education records” as those records, documents, and other materials (paper and electronic) that both contain information directly related to a student (e.g., name, Princeton ID number) and are maintained by an educational institution. Please note: all grades are education records. Education records also include, for example, email correspondence that a DUS may have with a dean regarding an extension for independent work for a student, if the student is named in the correspondence.

For more guidance about the scope of “education records,” please refer to Section 2.7 in *Rights, Rules, Responsibilities*, available online.

The key points to keep in mind are:

Undergraduate departmental files are confidential and cannot be made available to individuals other than the student’s academic adviser(s) without the consent of the student. Directors of undergraduate studies may **not** share information in these records with any other party, including parents/guardians or faculty members who are not advisers. The University will disclose information from a student’s educational record only with the prior written consent of the student. The only exception to this rule allows educational records to be disclosed without consent to those University officials who have a legitimate educational interest in the records and to third parties specifically authorized by FERPA. If you feel that there is a legitimate reason that information needs to be shared with other University employees on a “need to know” basis without the student’s consent, please contact the student’s residential college dean.

Departmental files and correspondence about students are part of their “education records.” This means that students have the right to request to read these files and correspondence. Bear this in mind as you correspond with colleagues about individual students.

## REQUESTS FOR RECORDS

The Office of the Dean of the College and the residential colleges are the custodians of undergraduate education

records at the University. A student has the right to see their record, including material held in the department, but must make a formal request in order to do so. If you receive such an inquiry, please tell the student to contact Dean Claire Fowler in the Office of the Dean of the College, or their residential college dean.

## RECORDKEEPING

For information about University guidelines relating to recordkeeping responsibilities and practices, see the Princeton University Record Management website at <http://records.princeton.edu/>.

Any document that is considered an educational record must be retained according to the student record retention plan. Duplicates held can be deleted/destroyed following use. Within the Office of the Dean of the College, the residential colleges are the custodians of the official student files. Academic departments may retain duplicate records when this is necessary for them to fulfill their professional responsibility, i.e., when they have a legitimate educational interest.

If a document is not considered part of the student's permanent record, it may be retained by the department in an appropriate location until its retention period has ended (usually at the time of the student's graduation). For example, course enrollment worksheets and copies of outside course preapproval forms may be kept on file at the department until graduation. If a document is considered part of a student's permanent record, it must be moved to the system containing the permanent record. In such cases, the DUS should consult the dean as to how a document should be stored in the student's permanent file.

# Appendices

## UNIVERSITY REQUIREMENTS

The residential college deans and directors of studies track non-departmental requirements, as well as students' overall progress to degree. The associate dean of SEAS tracks completion of BSE general math, science, and computing requirements. The following general information about Princeton academic requirements may be useful to you; full policies are found in the *Undergraduate Announcement*.

## COURSE LOAD

### NORMAL COURSE LOAD

AB students normally enroll in eight courses during the first year, nine as sophomores, and eight as juniors. Note that for AB students, the junior independent work transcript designation (981) does not carry course credit. Therefore, most juniors should enroll in four taught courses per term. BSE students enroll in four or five courses each term (nine each year).

**Seniors in the AB program** may enroll in three courses in each term, or four courses in fall and two in spring. (Students should be strongly discouraged from taking two courses in fall and four in spring; this can be approved only in exceptional circumstances where the student is making extremely strong progress on the thesis.) All seniors in the AB program must complete a minimum of six graded courses, no matter how many courses they have completed prior to entering their senior year.

**Seniors in the BSE program** must take a minimum of four graded courses each term; however, the independent work counts as a course credit. Again, this requirement is not flexible, and students must complete a minimum of eight courses no matter how many courses they have completed prior to entering senior year.

A course deficiency must be made up with an extra Princeton course or by transferring a preapproved course from another institution. Students will not be allowed to start any fall term with more than one course deficiency.

## **GRADING OPTIONS**

### **AUDITING COURSES**

A student is permitted to audit a single course in any term. Prior to enrolling in a course on an audit basis, a student should discuss with the course professor the requirements for receiving audit credit. Audited courses may not be included in the basic departmental program of study; may not be used to satisfy University distribution requirements; and do not count toward the number of courses required for graduation, for advancement to the next year of study, or for the minimum number of courses needed in a term.

### **PASS/D/FAIL OPTION**

Students may elect one pass/D/fail (P/D/F) course per semester and a total of 4 P/D/F courses in four years. P/D/F-only courses are an exception to both rules). The P/D/F policy was modified during spring 2020 and AY 20-21 due to the remote learning environment. Under the modified policy, students were able to elect the P/D/F option for all undergraduate courses and any course that students elected to P/D/F did not count against the student's allocation of four P/D/F courses. In AY 20-21, however, departments retained the right to require students to take departmental prerequisites and/or departmental requirements for a grade. The normal P/D/F policy has resumed for AY21-22. The deadline for electing to P/D/F a graded course or drop a course is the end of the ninth week of classes.

Class rosters do not display that a student has elected the P/D/F grading option. Faculty members assign letter grades to all students. For students who have selected the P/D/F option, the grading system converts grades of A+ through C- to P. The grades of D and F would remain unchanged. The residential college dean (AB students) or the Associate Dean of SEAS (BSE

students) must give explicit permission for undergraduate students to enroll in a graduate course on a P/D/F basis (where the P/D/F option is available).

Note that TigerHub does not prevent students from selecting the P/D/F grading option for departmental courses.

#### **RESCIND A P/D/F GRADE**

At the point of declaring a concentration, students may appeal to rescind a P grade received for a single course taken in a previous semester to meet a prerequisite or departmental requirement for entry. The transcript will then reflect the letter grade earned in that course. Students wishing to make such an appeal should consult with their residential college dean or director of studies. Students entering a certificate program may also appeal to rescind a grade of P earned in a single prerequisite or required course for that certificate provided that the program requires a letter grade for entry. (Note that P must be accepted for any prerequisites or departmental courses taken by students in spring 2020.)

#### **FAILED & REPEATED COURSES**

A failed course does not count for credit, and therefore creates a course deficiency. Similarly, a failed course does not count toward the number of courses required for graduation, nor can it be used to meet any University requirements. Each failed course must be made up by successful completion of an extra Princeton course or by a preapproved course taken elsewhere. To repeat a failed course, students must get the written permission of their residential college dean to enroll in the course a second time. Failed courses, even when repeated or made up in some other way, remain on the student's transcript. Students who fail a sequential course should be strongly discouraged from taking the next course in the sequence. If students wish to continue in the sequence, even though chances of success are small, they should be referred to the professor in charge of the "dependent" course for further advice.

In cases where a student has passed the course but did not meet the departmental requirement for a minimum

grade, with permission of the residential college dean the student may retake the course to meet the requirement. While the grade will count in the student's cumulative grade average, the repeated course will not count towards the 31 or 36 courses necessary for graduation.

## ACCESSING THE DAPF & APPROVING COURSES

In place of paper forms, the **Departmental Academic Planning Form** allows you to see students' course selection and approve them (or not) online. The electronic format also allows you to easily retrieve notes from the advising meeting and to run reports to see who has not yet completed their DAPF or had it approved.

Your advisees are instructed to complete the DAPF and schedule an in-person advising appointment with you according to your department's procedures. You can review your advisees' completed DAPFs online through PeopleSoft.

After logging in to PeopleSoft, there are two ways to view the DAPF: through the Advising tile and then the APF Work Center (to view all your concentrators at once) or through StuView (to view individual students).

The **Advising tile (APF Work Center)** shows all advisees in a list and allows simultaneous view of DAPF course history, and other academic records and only shows unapproved DAPFs.

Click on the "Advising" link from the home page in PeopleSoft.

Click on "Academic Planning Forms". All concentrators with unapproved DAPFs will be displayed for the DUS. If you have other faculty in the department who advise, your departmental administrator needs to assign them as an adviser in PeopleSoft to give them access to their students' records.

Click on the name of each student to view their DAPF. If students have not yet completed their DAPF, "INC" will appear in the "APF Term" column.

To view course history, degree progress information, AP scores, or previous APFs, click on the tab for these items on the lower portion of the screen.

**StuView** is convenient for viewing individual students one by one but won't let you simultaneously view DAPF, past course history, and other academic records.

Click on the "StuView" tile from the home page in PeopleSoft.

Search for a student using all or part of their name and click on their search result.

Click on the "Academic Plans" tab, then click on the APF button. (The "All APFs" button shows you past APFs and DAPFs.)

#### **APPROVING COURSES IN THE DAPF**

The Course Planning & Adviser Approval section at the bottom of the DAPF includes three areas for adviser input and approval:

**Approved Courses.** In the Work Center, advisers note courses approved for enrollment by checking the boxes next to each course in the course queue. These courses will auto-populate the "Approved Courses" field. Approved or recommended courses not appearing in the queue can be noted in the "Adviser Comments" box. When accessing the APF through StuView, you must type all approved courses into this box.

**Adviser Comments.** Advisers share notes and reminders which can be viewed by the student and all academic advisers. In the Work Center, the names of any approved courses that are not in the student's queue can be written here.

**Adviser Approval Box.** Advisers check this box to indicate an in-person meeting has taken place and the student has approval to enroll in courses when the course enrollment period begins. Note: Before checking the box, please consider whether the student's overall program is appropriate and represents a sensible workload. You can provide the nuanced information about courses and course loads that can affect a student's success.

After you have completed these sections, click "Submit." You cannot change the form after you submit it.

If you have any questions about using the DAPF on PeopleSoft, please contact the OIT Help Desk or the Office of the Registrar.

## **SAMPLE MONTH-BY-MONTH OVERVIEW** **(AB department with two Junior Projects)**

Here are highlights of the responsibilities of a sample director of undergraduate studies, month by month. Coordinate this basic calendar with the particular needs and deadlines of your department.

### **AUGUST**

Contact junior seminar instructors in order to coordinate pre-term meeting. Encourage syllabus swapping to prevent any significant outliers in terms of form, structure, or content.

Send out message to rising seniors regarding thesis, and notify them of any all-senior meetings to be held early in the fall.

Meet with rising juniors who want to join the department, switching from another one.

First-Year Academic Expo. Find enthusiastic faculty and students to assist the department at the USG Academic Expo.

### **SEPTEMBER**

Junior seminar instructor meeting. If possible, consult with Amanda Irwin Wilkins (Director of the Writing Program), both to emphasize that instructors should teach writing and research methods, and to help faculty understand what students should have learned in their Freshman Writing Seminars. Ask all instructors to devote a portion of a class to discussing what constitutes plagiarism.

Meet with first-time independent-work advisers (thesis, JIW) to orient them to what they should expect from students, and what students should reasonably expect from them.

Meet with Associate Chair/Chair regarding faculty teaching and advising responsibilities.

Meet with first-time preceptors to discuss departmental expectations. If possible, invite more experienced preceptors.

Meet with students seeking to take graduate classes. Such students should come with a form that has already been signed by the instructor of the course.

#### **JUST AFTER CLASSES START**

Mandatory Senior Meeting: Usually within the first week of classes. Held in the evening after 7:30 pm so that it doesn't conflict with other meetings. Courses may be scheduled from 4:30 - 7:30 pm.

Assign students to thesis advisers.

Start Thesis "Worry List." Ask advisers to let you know which students haven't been in contact. Write to those students, copying the undergraduate administrator and the students' residential college dean. Begin to keep a list of those students and their responses.

#### **OCTOBER**

Schedule and conduct thesis research funding meeting. This is the second round of thesis funding, meant for smaller expenditures for trips during the fall.

Make thesis funding decisions.

(Post-Midterms) Check in with senior thesis advisers to see if any students have not yet been in contact and/or are showing signs of not starting. Update Worry List.

#### **NOVEMBER**

Thesis check-up. Request updates from faculty who suggested their advisees were negligent. Follow up with students, cc'ing deans.

Junior seminar check-up. Also a good moment to check with seminar instructors, both to see how the courses are going and to get the names of students who are showing signs of academic trouble.

(Post-Thanksgiving break) Mandatory Junior Meeting. As they head into the final stretch of their first JIW, they should begin to think about the spring one.

Study Abroad Course Approval. Students (from any major) may make appointments to discuss having courses taken while abroad count for Princeton credit.

(Late November/Early December) Juniors/Seniors spring-term course selection. Note which students (especially seniors) don't meet with their academic advisers.

Thesis check-in. Write to remind students (and advisers) about upcoming thesis deadlines.

## JANUARY

Juniors: fall JIW due, at which time students may be asked to indicate prospective ideas for the spring JIW and the names of prospective advisers. Collect names of those who did poorly in fall to keep in mind when making spring JIW adviser assignments

Seniors will submit partial first drafts of their theses to their advisers. Remind both parties. Update Worry List and write to students who seem to still (or newly) be off track.

## FEBRUARY

Summer course approval appointments may be scheduled periodically by students across the term.

Check to see if advisers have returned thesis drafts; check up on Worry List students.

Check in with junior advisers to see if spring JIW advisees have made contact. Email those who have not.

## MARCH

Meet with the undergraduate administrator and department chair regarding fall term course scheduling and junior seminar staffing.

(Mid-month) AB Sophomore Open House. An opportunity to introduce the department to prospective majors. Invite a few post-thesis seniors.

(Mid-month) Suggested deadline for draft of thesis. Advisers are to return comments by end of month.

By this point, your responsibility is simply to keep the deans informed of students at risk of not handing in an acceptable thesis.

Check up on juniors who advisers identified as getting a slow start on the spring JIW.

(Mid-to-late month) Thesis funding meeting. For AB rising seniors who have a clear idea about what they would like to work on in the thesis

## APRIL

(Mid-month) Senior theses due. If applicable, assign each to a faculty reader. Adjudicate extension requests and lateness penalties.

Spring JIW are due.

(Mid-month) Rising juniors and seniors enroll in courses for the following fall term. Many questions and approvals take place.

Summer Course Approvals. Students both in and outside the department will request meetings to request University credit for courses taken at other institutions during the summer.

## MAY

Seniors: Comprehensive exams and thesis defenses.

Departmental Honors Meeting.

Class Day: assist the Chair in distributing awards.

Commencement: no responsibilities, but the seniors enjoy seeing the faculty member nominally in charge of their program.

*Notes:*

# *Friendly Reminder!*

## **IMPORTANT CALENDAR DATES AY 2022-23**

### **FALL TERM**

- 9/6/22** First day of fall term classes (Tuesday)
- 10/10 - 10/14/22** Midterm examination week
- 12/8/22** Last day of class (Thursday)
- 12/9 - 12/16/22** Reading period
- 12/16/22** Dean's Date deadline for student submission of written work
- 12/17 - 12/23/21** Final exam period

### **WINTERSESSION**

- 1/16 - 1/29/23** Wintersession activity period
- 1/20/23** University deadline for junior independent work

### **SPRING TERM**

- 1/30/23** First day of spring term classes
- 3/6 - 3/10/23** Midterm examination week
- 3/30/23** AB sophomore concentration period begins
- 4/28/23** Last day of class (Friday)
- 5/1 - 5/9/23** Reading period
- 5/1/23** University senior thesis deadline
- 5/2/23** University deadline for junior independent work
- 5/9/23** Dean's Date deadline for student submission of written work
- 5/12 - 5/18/23** Final exam period
- 5/29/23** Class Day
- 5/30/23** Commencement for the Class of 2023

# Residential College Staff Directory & Important Contacts

## **BUTLER COLLEGE**

Head of College: Elizabeth Armstrong, ema@, x4956; SOC, x6981

College Dean: David Stirk, dstirk@, x4954

Director of Studies: Matthew Lazen, mlazen@, x7140

Director of Student Life: Joe Rolón, jrolon@, x1664

## **FIRST COLLEGE**

Head of College: AnneMarie Luijendijk, aluijend@, x3148; REL, x0931

College Dean: Anne Caswell-Klein, acaswell@, x6496

Director of Studies: Johanna Rossi Wagner, jrwagner@, x1929

Director of Student Life: Garrett Meggs, gmeggs@, x3281

## **FORBES COLLEGE**

Head of College: Maria Garlock, mgarlock@, x5232; CEE, x2728

College Dean: Patrick Caddeau, caddeau@, x5229

Director of Studies: Rashidah Andrews, rashidah@, x7193

Director of Student Life: Justin Smith justin.smith@, x4825

## **MATHEY COLLEGE**

Head of College: Stacey Sinclair, ssinclr@, x3724; PSY, x9557

College Dean: Michael Olin, molin@, x3317

Director of Studies: Natalia Córdova Sánchez, ncordova@, x7223

Director of Student Life: Darleny Cepin, dcepin@, x8845

## **ROCKEFELLER COLLEGE**

Head of College: Clancy Rowley, cwrapley@, x3728; MAE, x7321

College Dean: Justine H. Levine, justinel@, x7245

Director of Studies: Maria A. Medvedeva, masha@, x5313

Director of Student Life: Amy Ham Johnson, amyham@, x2652

## **WHITMAN COLLEGE**

Head of College: Claire Gmachl, cgmachl@, x8944; ELE, x7489

College Dean: Alexis Andres, aandres@, x8525

Director of Studies: Jaelyn Schwalm, jschwalm@, x8093

Director of Student Life: Momo Wolapaye, momo@, x8145

## **SEAS UNDERGRADUATE AFFAIRS OFFICE**

Dean Peter Bogucki, bogucki@, x4554

## **ATHLETIC-ACADEMIC AFFAIRS**

Assistant Dean James (Alec) Dun, jamesdun@, x9310

## **CURRICULAR MATTERS**

Associate Dean Rebekah Peeples, rmasseng@, x8197

## **OFFICE OF THE DEAN OF THE COLLEGE**

Senior Associate Dean Claire Fowler, cmfowler@, x5519

Associate Dean Cecily Swanson, cecily@, x2406