



**Department of Public Administration & Policy**  
**PhD in PUBLIC ADMINISTRATION AND POLICY**  
**PROGRAM HANDBOOK**  
**2022-2023**



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# >>> DEGREE REQUIREMENTS

## Program Overview

The following requirements must be satisfied to earn a doctoral degree (PhD) from the Department of Public Administration and Policy (DPAP):

- 36 credit hours (not counting PUAD 899 colloquium zero-credit hours)
- 4 semesters of PUAD 899 colloquium credit (zero-credit hours)
- Defense of an original research proposal and oral exam (qualifier examination) between the first and second years of study (May 1 – August 31)
- Completion and oral defense of an original research paper (comprehensive examination) between the second and third years of study (May 1 – August 31)
- Defense of a dissertation

Students will be admitted into one of these two tracks: public administration or public policy. Course requirements are as follows:

Public Administration Track	Public Policy Track
<p><b>Major: Public Administration (4 courses)</b>            PUAD 710: Proseminar in Public Administration            PUAD 714: Seminar in Organization Theory            PUAD 718: Seminar in Public Management            PUAD 732: Seminar in Policy Implementation</p> <p><b>Minor: Public Policy (2 courses)</b>            PUAD 730: Proseminar in Public Policy            PUAD 770: Economics for Policy Analysis</p> <p><b>Electives (2 courses)</b></p> <p><b>Research Methods (4 courses)</b>            SPA 612: Conduct of Inquiry I            SPA 613: Conduct of Inquiry II            SPA 614: Conduct of Inquiry III (or, alternative)            SPA 615: Conduct of Inquiry IV (or, alternative)</p> <p><b>Colloquium (4 semesters, zero-credit)</b>            PUAD 089: Colloquium in Public Admin and Policy</p>	<p><b>Major: Public Policy (4 courses)</b>            PUAD 730: Proseminar in Public Policy            PUAD 770: Economics for Policy Analysis            PUAD 771: Public Finance &amp; Human Capital            PUAD 732: Seminar in Policy Implementation</p> <p><b>Minor: Public Administration (2 courses)</b>            PUAD 710: Proseminar in Public Administration            and <i>one</i> of the following two courses:                PUAD 718: Seminar in Public Management <b>or</b>                PUAD 714: Seminar in Organization Theory</p> <p><b>Electives (2 courses)</b></p> <p><b>Research Methods (4 courses)</b>            SPA 612: Conduct of Inquiry I            SPA 613: Conduct of Inquiry II            SPA 614: Conduct of Inquiry III (or, alternative)            SPA 615: Conduct of Inquiry IV (or, alternative)</p> <p><b>Colloquium (4 semesters, zero-credit)</b>            PUAD 089: Colloquium in Public Admin and Policy</p>

\* I strongly encourage ALL students to enroll in the non-credit PhD Professional Socialization Seminar (SPA-796) offered by Professor Ken Meier each spring.

Please also note that Derek Hyra is often teaches Qualitative Methods, PUAD 685. In Spring 2024 it is Thursdays at 5:30 – 8:00 pm, which may be of interest as an elective or alternative methods course.

## >>> SAMPLE COURSE TIMELINE – PUBLIC ADMINISTRATION TRACK

<b>Fall 2023</b>	<b>Spring 2024</b>
SPA 612: Conduct of Inquiry I PUAD 089: Colloquium in PA & Public Policy PUAD 710: Proseminar in Public Administration PUAD 730: Proseminar in Public Policy	SPA 613: Conduct of Inquiry II PUAD 089: Colloquium in PA & Public Policy PUAD 714: Seminar in Organization Theory PUAD 732: Seminar in Policy Implementation
<b>Summer 2024:</b> Qualifier examination (between May 1 and August 31)	
<b>Fall 2024</b>	<b>Spring 2025</b>
SPA 614: Conduct of Inquiry III PUAD 089: Colloquium in PA & Public Policy PUAD 770: Economics for Policy Analysis ----- : Elective Course	SPA 615: Conduct of Inquiry IV PUAD 089: Colloquium in PA & Public Policy PUAD 718: Seminar in Public Management ----- : Elective Course
<b>Summer 2025</b> Comprehensive exam (between May 1 and August 31)	
<b>Fall 2025</b>	<b>Spring 2026</b>
Work on dissertation proposal Dissertation Committee gets approved	Defend dissertation proposal (January-March) Work on dissertation
<b>Summer 2026</b> Work on dissertation and prepare materials for the job market	
<b>Fall 2026</b>	<b>Spring and early Summer 2027</b>
Work on dissertation Submit job applications and interview for jobs	Work on dissertation Defend dissertation (International students should try to do so in spring for visa reasons) Attend Commencement Ceremony

## >>> SAMPLE COURSE TIMELINE – PUBLIC POLICY TRACK

<b>Fall 2023</b>	<b>Spring 2024</b>
SPA 612: Conduct of Inquiry I PUAD 089: Colloquium in PA & Public Policy PUAD 730: Proseminar in Public Policy PUAD 770: Economics for Policy Analysis	SPA 613: Conduct of Inquiry II PUAD 089: Colloquium in PA & Public Policy PUAD 732: Seminar in Policy Implementation ----- : Elective Course
<b>Summer 2024:</b> Qualifier examination (between May 1 and Sep 30)	
<b>Fall 2024</b>	<b>Spring 2025</b>
SPA 614: Conduct of Inquiry III PUAD 089: Colloquium in PA & Public Policy PUAD 710: Proseminar in Public Administration ----- : Elective Course	SPA 615: Conduct of Inquiry IV PUAD 089: Colloquium in PA & Public Policy PUAD 771: Seminar in Public Finance and Human Capital PUAD 718: Seminar in Public Management
<b>Summer 2025</b> Comprehensive exam (mid-June)	
<b>Fall 2025</b>	<b>Spring 2026</b>
Comprehensive exam (mid-September) Dissertation Committee gets approved	Defend dissertation proposal (January-March) Work on dissertation
<b>Summer 2026</b> Work on dissertation and prepare materials for the job market	
<b>Fall 2026</b>	<b>Spring and early Summer 2027</b>
Work on dissertation Submit job applications and interview for jobs	Work on dissertation Defend dissertation (International students should try to do so in spring for visa reasons) Attend Commencement Ceremony

**Note:** Students in the public policy track have a choice of either PUAD 714: Seminar in Organization Theory (offered in spring of even years) or PUAD 718: Seminar in Public Management (offered in spring of odd years) as a part of their public administration minor. The sample timeline above shows the option that incorporates PUAD 718: Seminar in Public Management. However, students may instead choose to PUAD 714: Seminar in Organization Theory and take an elective in place of PUAD 718: Seminar in Public Management in that Spring. Ask your PhD Program Coordinator for a clarification, if needed.



# >>> PROGRAM OF STUDY WORKSHEET

This program of study worksheet may serve as a useful tool to keep track of your course work. Your departmental program coordinator may request that you fill out and provide it to him/her at any point throughout the program.

Name: \_\_\_\_\_ AU ID: \_\_\_\_\_ Last updated: \_\_\_\_\_

Semester of Admission: \_\_\_\_\_ Expected degree completion date: \_\_\_\_\_

Track: \_\_\_\_\_

Major Field	Instructor	Semester	Grade

Minor Field	Instructor	Semester	Grade

Research Methods	Instructor	Semester	Grade

Other Degree Requirements	Date
Human subjects (IRB) ethics training	
PUAD 089 colloquium credit (4 semesters)	
Qualifier defense	
Comprehensive exam in Public Administration	
Comprehensive exam in Public Policy	
Dissertation prospectus defense	
Final dissertation defense	

Qualifier paper committee (3): \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_

Dissertation chair: \_\_\_\_\_

Dissertation committee members (2+): \_\_\_\_\_, \_\_\_\_\_

## >>> COLLOQUIUM AND METHODS REQUIREMENTS

### Colloquium in Public Administration and Policy

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All students will register for four semesters of colloquium credit. PUAD 089: Colloquium in Public Administration and Policy is a zero-credit hour course that is graded on a satisfactory/unsatisfactory basis. Students receive a satisfactory grade in this course by attending weekly departmental research seminars, research presentations by candidates for faculty positions, and other special lectures and events as advertised. *The colloquium does not meet every single week – it averages about 2 or 3 meetings per month – check the schedule, which is circulated at the start of each semester and posted online. There will also be invitations to meet with the guest speakers sent out a week or so in advance of the presentation.*

### Research Methods Field Requirements

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All students complete four courses in research methods. No comprehensive exam is required.

Required:	SPA 612: Conduct of Inquiry I SPA 613: Conduct of Inquiry II
Two of the following:	SPA 614: Conduct of Inquiry III (super duper strongly recommended) SPA 615: Conduct of Inquiry IV (strongly recommended) STAT 522: Time-Series Methods STAT 616: Generalized Linear Models ECON 623/624: Applied Econometrics I-II ECON 823/824: Econometric Methods I-II ECON 505: Introduction to Mathematical Economics SIS 650: Qualitative Methods and Methodology SOCY 623: Qualitative Research PUAD 685, Qualitative Methods STAT 427/627 Statistical Machine Learning STAT 612: Statistical Programming in R, STAT 613: Data Science

While SPA 612 and SPA 613 are required, students who have already taken the equivalent of these courses and have demonstrated the competencies addressed in these courses, may request a course waiver from the program coordinator and the faculty teaching the course, and substitute different a different course in its place. These students can explore options in other departments or other DC-area consortium universities. While we strongly recommend taking SPA 614 and SPA 615, the research methods field can be tailored to a student's particular needs and interests.

## >>> COURSE DESCRIPTIONS

### Public Administration Courses

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**PUAD 710: Proseminar in Public Administration**

This course provides students with a deep understanding of the intellectual history of public administration in the United States. It analyzes the development of public administrative thought by assessing the substance, impact, and historical context of many of the classic works in the field.

**PUAD 714: Seminar in Organization Theory**

This course covers traditional and modern theories of organizations and their utility in explaining public administrative behavior. It includes structural, cultural, decision, political, and reliability theories and how each applies to public-sector organizations.

**PUAD 718: Seminar in Public Management**

This course covers public management and governance, including the tradition of management in the field of public administration, its evolution, and its contemporary character. The influence of New Public Management (NPM) and related strategies, such as performance management, contracting, privatization, outsourcing, and network management are examined.

**PUAD 732: Seminar in Policy Implementation**

This course covers the evolution of research and theory-building in policy implementation. Emphasis is placed on the theories, frameworks, and methodological challenges facing researchers in the field.

### Public Policy Courses

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**PUAD 730: Proseminar in Public Policy**

This course is an overview of the public policy field. It examines literature in three disciplines: neo-classical economics, political science, and public choice. Each disciplinary perspective is used to analyze the institutions most directly involved in policy formation (voters, interest groups, and congress) and implementation (Congress and the bureaucracy).

**PUAD 770: Economics for Policy Analysis**

This course establishes the foundations of economic theory applied to optimization problems in public policy for PhD students. Topics include theories of the consumer; allocative and productive efficiency; market failures; the consequences of interventions in markets; game theory, cost-benefit analysis, and welfare economics.

**PUAD 771: Seminar in Public Finance & Human Capital**

This course surveys the main economic theories of public finance and labor markets - vital to understanding the context and impact of public policy. Topics include externalities and public goods, taxation, social insurance and redistribution, labor demand and supply, human capital, and theories of wages including compensating differentials and discrimination.

**PUAD 732: Seminar in Policy Implementation**

This course covers the evolution of research and theory-building in policy implementation. Emphasis is placed on the theories, frameworks, and methodological challenges facing researchers in the field

### Research Methods Courses

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**SPA 612: Conduct of Inquiry I**

Concepts, approaches, and methodologies of research in political science and public administration; probability, sampling; quantitative data analysis, including hypothesis testing and estimation; qualitative data analysis and measures of association.

**SPA 613: Conduct of Inquiry II**

Continuation of GOVT-612. The use of bivariate and multivariate analysis in political and administrative research; analysis of organizational decision models.

**SPA 614: Conduct of Inquiry III**

This doctoral level course covers extensions of the basic linear regression model including quasi-experimental methods for estimating causal effects using cross sectional and longitudinal data, multilevel modeling, and time series analysis. The course assumes that students have a firm grasp of classical hypothesis testing and the properties of the OLS estimator.

### **SPA 615: Conduct of Inquiry IV**

The focus of this course is causality in the lab, the field and observation. The course has a strong field methods component and is split into two sections. The first section introduces the Rubin Causal Model, and then examines how it applies in laboratory experiments and in quasi-experimental set-ups (instrumental variables (IV), regression discontinuity designs (RDD), and matching). The second part focuses on methods in the field (surveys, survey experiments, behavioral experiments, and field experiments) and applying these to students' own research designs.

### **Other Research Methods Electives**

Students who waive SPA 612 or SPA 613, or those who choose to take another elective course instead of SPA 614 or SPA 615, should be able to obtain course descriptions from the American University course catalogue or from the relevant department. All 500- and 600-level courses are open to doctoral and master's students; 700-level courses are open only to doctoral students.

## **Potential Elective Courses**

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The following are examples of courses students may complete to satisfy the requirement of two elective courses. This list is by no means exhaustive. Please, see the American University course catalogue an up-to-date list of courses offered each semester. All 500- and 600-level courses are open to doctoral and master's students; 700-level courses are open only to doctoral students.

### ***Public Policy***

#### **PUAD 613: Global Governance and Public Policy**

Considers what it means to govern and to create and carry out public policy at the global level. The course examines institutions with international scope such as the World Bank; the UN system and international NGOs; and policy issues with cross-national dimensions such as climate change; trade, and human rights.

#### **PUAD 619: Ethical Issues in Public Policy**

Consideration of the ethical issues that arise in the formation and implementation of public policy. Includes the use of ethical standards as a guide to public policy making, how they differ from other approaches to decision making, and analysis of specific ethical controversies and challenges.

#### **PUAD 670: Economics for Policy Analysis**

This course covers microeconomic tools for policy analysts, including resource scarcity, opportunity cost, theory of the consumer, theory of the firm, consumer, and producer surplus, market equilibrium, allocative and productive efficiency, welfare economics, market failure, intended and unintended consequences of policy interventions, efficiency versus equity, and cost-benefit analysis.

#### **PUAD 685: Child and Family Policy**

This multidisciplinary course examines the complex policies and programs through which services are delivered to children, youth, and families. It provides students with the critical skills, abilities, and substantive knowledge necessary to be effective policy analysts or program managers. Includes welfare, maternal employment and child well-being; marriage, family structure and responsible fatherhood/child support; child care; early child education; primary and secondary schooling; child welfare; teen pregnancy prevention; children's health (including obesity); and family leave policies. The course incorporates case studies, lectures, in-class debates, policy memoranda, and a sequential policy analysis project.

#### **PUAD 685: Education and the American Policy System**

This course analyzes K-12 and higher education policy in the institutional setting unique to the United States. The analytic lens for the course includes federalism and intergovernmental relations, the role of fragmented governing systems, and the incentives used to execute policy mandates.

#### **PUAD 685: Healthcare Policy**

Examination of current government policies affecting the U.S. national health care system. Emphasis on the government's role in regulating and delivering health care services, the financial implications of proposed reforms, and the relationship between governmental bodies and private providers.

#### **PUAD 685: Public Policies for Energy and the Environment**

This course provides a review, analysis, and evaluation of environmental and energy policies, including energy production and consumption, air and water pollution, climate change, regulation of toxic chemicals, land and resource management, habitat protection, and the effects of new and emerging technologies. The course considers substantive issues, strategies, analytical approaches, and the political perspectives that influence policy framing, evaluation, and implementation.

**PUAD 685: Race, Policy, and Administration**

This course explores the role of race and ethnicity within public administration and policy. Considering the salience of race in American political life, it is important to understand how it interacts with the bureaucracy and the policy process. Emphasized are issues of representation, inequities in policy outcomes, and social constructions of minority populations in policy and administration. Specifically, the course covers the interaction of race with education, health, welfare, criminal justice, and employment. The course also engages the challenges related to managing and administering policies to racial and ethnic populations.

**PUAD 685: Science and Technology Policy**

This course helps students understand the relationship between science; technology; and public policy; an essential skill for persons leading twenty-first century institutions. Through readings and case studies; students examine the interaction between culture and technology and the effect of ideology on science policy.

**PUAD 685: Urban Policy and Community Development**

Contemporary American cities offer benefits to citizens far beyond their boundaries, yet are also a source of some of the most intractable policy challenges. Concentrated crime and poverty, housing and economic segregation, failing schools, political corruption, social isolation, and a lack of vitality and innovation mark many urban and suburban communities. This course provides students with both the analytic tools to understand and tackle the policy problems of cities and localities, as well as substantive knowledge in critical areas.

**PUAD 685: Global Health Policy**

This course covers health issues facing low-income countries; such as HIV/AIDS; maternal and child mortality; and weak health systems. Students consider how policy-makers and managers can address these problems. This course examines the global health architecture and national health systems are examined.

**PUAD 685: Urban Policy & Community**

Urban Policy and Community Development (3) Contemporary American cities offer benefits to citizens far beyond their boundaries, yet are also a source of some of the most intractable policy challenges. Concentrated crime and poverty, housing and economic segregation, failing schools, political corruption, social isolation, and a lack of vitality and innovation mark many urban and suburban communities. This course provides students with the analytic tools to understand and tackle the policy problems of cities and localities, as well as substantive knowledge in critical areas.

**PUAD 696: Development, Politics, and Policy in Washington, D.C.**

This course is designed to give students an overview of neighborhood development, politics, and policy in the nation's capital. In this class students explore the history of planning and development in Washington, D.C. from the nineteenth to the twenty-first century, from the 1791 L'Enfant Plan to the 2005 Duke Ellington U Street Plan. The course focuses heavily on how race and politics, both local and federal, have shaped the contours of D.C.'s physical and social landscape.

**PUAD 696: Housing Policy**

This course gives students a comprehensive overview of U.S. affordable housing policy since the 1930s. Emphasis is given to federal initiatives and systems focused on financing, building, and maintaining affordable housing units across the country. Topics covered include public housing, urban renewal, vouchers (and other mobility programs), public housing demolition, HOPE VI developments, Low Income Housing Tax Credits, subprime lending, and various mechanisms of housing finance.

**PUAD 696: Health Economics and Policy**

Prerequisite: PUAD-601 or PUAD-605, and PUAD-630 or PUAD-670. This course enables students to think critically about questions related to health policy. Students learn how to integrate economic thinking to a range of important health policy questions. They are endowed with the essential knowledge and econometric tools to assess the impact of existing health policies and interventions and to formulate policies to promote healthy behaviors.

**PUAD 696: Nonprofits and Public Policy**

This course examines both how public policy influences nonprofits as well as how nonprofits impact public policy. It addresses the role of nonprofit organizations in the public policy process including advocacy strategies and techniques, and examines how laws shape nonprofit involvement in that process. The course reviews how state and federal policies enable and regulate nonprofits in areas such fundraising, human resource management, and tax exemptions, including legal matters, tax exemption, fundraising regulations, and employee compensation.

## *Nonprofit Studies*

### **PUAD 681: Managing Nonprofit Organizations**

The application of management theories and practices in nonprofit organizations. Establishment and sustainability of nonprofit organizations, strategic management principles, organizational structures and processes, multiple funding sources and their impact on budget decisions, staff/board relationships, human resource practices, use of volunteers, accountability systems, and methods for determining organizational effectiveness.

### **PUAD 682: Nonprofit Resource Development**

Nonprofit organizations support themselves through many different sources, including charitable gifts and grants, government grants and contracts, earned income from fees, memberships and sponsorships, returns on investments, volunteer labor, gifts-in-kind, and other sources. They also mix these sources of income in many different ways. This course illuminates the theoretical rationales and practical considerations involved in developing and utilizing particular sources of income and in selecting appropriate combinations or portfolios, so that nonprofit organizations can effectively advance their particular missions, sustain the infrastructure of their organizations, remain financially healthy, and manage risk, change and growth.

### **PUAD 683: Marketing for Nonprofit Organizations**

This course covers the principles of planning; execution, and assessment of strategic marketing in nonprofit organizations. Students learn how to incorporate marketing activities into organizational structures; understand target audience characteristics and desires; develop and launch new offerings; achieve effective market segmentation; positioning; and branding; identify various elements of the marketing mix (product; price; place; and promotion); and evaluate effectiveness of marketing initiatives. Students also read and present research articles; discuss case studies; interact with guest speakers; and prepare a marketing plan for a nonprofit organization.

### **PUAD 685: Grant Management**

This course exposes students to skills necessary to design and manage projects of various sizes. The course also discusses the skills needed to seek external funding, with particular attention to grant seeking and grant writing. The focus is not on a particular grant-maker, sector, or national context; the skills and tools students learn transcend organizational, sectoral, and national boundaries.

### **PUAD 696: Nonprofits and Public Policy**

This course examines both how public policy influences nonprofits as well as how nonprofits impact public policy. It addresses the role of nonprofit organizations in the public policy process including advocacy strategies and techniques, and examines how laws shape nonprofit involvement in that process. The course reviews how state and federal policies enable and regulate nonprofits in areas such fundraising, human resource management, and tax exemptions, including legal matters, tax exemption, fundraising regulations, and employee compensation.

## *Public Budgeting and Finance*

### **PUAD 631: Financing Government Services**

May be repeated for credit with different topic (taxation or expenditure analysis). The practice of public finance and expenditure analysis. Taxation examines revenue instruments and their administration, as well as general principles of public finance. Expenditure analysis focuses on public sector expenditures and the demand for government services in areas such as education, transportation, infrastructure, public safety, health, and social support.

### **PUAD 633: Budgeting and Financial Management**

Public sector budgeting and budgetary processes, including budget execution and control; cost estimation; capital financing and debt management; performance budgeting; cost-benefit analysis; basic government accounting; and financial statements.

### **PUAD 671: Cost-Benefit Analysis**

Course on the theory and practice of applied welfare economics for evaluating private, nonprofit, and public projects from a public interest standpoint. Development and illustration of cost benefit analysis concepts, techniques, methods, and criteria through applications to a wide range of public policy issues such as economic development, infrastructure, social, and environmental projects. Integrated use of spreadsheet modeling framework to quantify benefits and costs, and to facilitate sensitivity and risk analysis.

### **ECON 541: Public Economics**

Rationale for the existence of the public sector. Theory of public goods and taxation. Usually offered alternate springs (odd years).

### **ECON 633: Financial Economics**

Institutional and theoretical aspects of creating, holding, and exchanging financial assets—money, credit instruments, and equities. The liabilities created by financial intermediaries and the role of government in financial markets.

**PUAD 685: Public Finance in Developing Countries**

This course focuses on issues of coordination and accountability in a decentralized context and considers decentralization and intergovernmental finance from a public finance perspective, including expenditure and revenue assignment; intergovernmental transfer; coordinated budget processes and structures; and public expenditure management.

***Management*****PUAD 615: Public-private Partnerships**

The provision of public services takes place through a variety of forms, including nonprofit organizations and business firms. This course examines the political, managerial, legal, financial, and ethical issues involved in utilizing non-governmental organizations for the delivery of public services, including the processes for deciding when to involve them and how to monitor their performance. Usually offered every spring.

**PUAD 609: State and Local Management**

This course acquaints students with the major features and theories of state and local administration, with an emphasis on the intergovernmental context in which these governments function. The course uses political, legal, fiscal, and managerial perspectives to examine selected policy areas including education, health and welfare, economic development, and others.

***Environmental Policy*****PUAD 685: Public Policies for Energy and the Environment**

This course provides a review, analysis, and evaluation of environmental and energy policies, including energy production and consumption, air and water pollution, climate change, regulation of toxic chemicals, land and resource management, habitat protection, and the effects of new and emerging technologies. The course considers substantive issues, strategies, analytical approaches, and the political perspectives that influence policy framing, evaluation, and implementation.

**PUAD 685: Environmental Sustainability and Public Policy**

This course examines and applies the concept of environmental sustainability. The focus of study is on environmental, energy, and natural resources issues in the context of their relationships with the economic, social, and governance systems. The course begins with the concept of sustainability, the environmental/ecological system as a critical component, and sustainability indicators. It then turns to an analysis of how environmental sustainability is applied at several levels of governance: local, regional, corporate, and international, and within different kinds of organizations. The course combines a theoretical assessment of environmental sustainability, analysis of several case studies for applying it, and an overview of tools and methods for integrating it into a range of organizations, such as life cycle analysis, environmental management systems, smart growth policies, and energy efficiency analysis.

## >>> QUALIFIER AND COMPREHENSIVE EXAMS

### First-Year Qualifier

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At the end of the first year of study, all students must “qualify” to continue in the program by successfully passing a qualifier in their main field of study (public administration or public policy). The qualifier consists of a one-hour oral exam administered by a committee of three faculty and a six-page written original research proposal. Separate committees for each track are selected by the program director. Students have two attempts to satisfy the qualifier requirement. The first attempt must be completed by May 31 of their first year in the program on a date scheduled by the committee. Dates for the first attempt will be announced in April. The second attempt, if necessary, must be completed by August 31 of the same year (these dates announced in July).

The written research proposal must be submitted to the program director one week prior to the scheduled qualifier exam date. So, for instance, if the oral exam is scheduled for May 28<sup>th</sup>, the written proposal would be due to the program director on May 21<sup>st</sup>. The committee will have read the proposal prior to the oral exam. Students can write the proposal on any topic relevant to their program of study, but it must *identify a specific, well defined, answerable research question that contributes to a gap in an academic literature*. Students are encouraged to propose a question or topic from a course paper from the fall or spring semester and are welcome to solicit feedback on their proposal from faculty in the department. The written proposal should be 5 to 6 double spaced pages in 12 pt Times New Roman font with 1-inch margins. It should have an introduction section that motivates and then clearly articulates the research question to be addressed. It should also have a literature review section that reviews the relevant literature and identifies the gap(s) that the research question will fill. Data and methods are neither required nor expected.

The qualifier oral examination consists of two parts. The first part involves questions about the written research proposal. The second part will include a line of general questioning from required first-year courses, including the conduct sequence. In sum, the oral exam shall take no more than one hour, with time approximately evenly divided between the two lines of questioning.

The committee will assign grades of “pass” or “fail” to each part of the qualifier: (i.e., the original research proposal and the course-based questions). To pass the qualifier, students must earn a “pass” on both segments in the same sitting. Students who do not pass the qualifier on their second attempt will be dismissed from the program.

The purpose of the qualifier is to identify whether students are making adequate progress toward becoming credible researchers in their area of interest and to ensure that students are conversant in the academic, theoretical, and statistical language of modern research in the fields of public administration and/or public policy.

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## Comprehensive Exams

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At the end of the second year of study, all students must successfully pass a comprehensive exam in their main field of study (public administration or public policy). Similar to the qualifier process, the comprehensive exam proceeds in two stages. First, students must submit to the program director an original, solo-authored research paper that originated and was written during their time in the PhD program. This paper should be in the style, length, rigor, and quality of a top field or general-interest academic journal in the paper's field (e.g., JPAM, JPART). A committee of three faculty members will review the paper and determine whether it can be advanced to the second stage. The paper must be submitted by May 31.

The second stage is an oral defense of the research paper before the three-person committee. Like in the qualifier process, separate PA and PP committees will be selected by the program director. Each defense is expected to take approximately one hour (no more). It will include a brief (15-25 minutes), conference-style presentation of the paper to the committee with minimal interruptions from the committee (i.e., clarifying questions only) and followed by questions from the committee (about 30 minutes). The oral defense of the paper will take place on or before June 30<sup>th</sup> on a date scheduled by the program director. If the paper is not invited to the oral exam phase, feedback and advice will be provided by the committee about how to proceed (accompanying the committee's decision, which is made by majority vote). This advice might be fairly minor, in terms of rethinking certain theoretical or methodological constructs or using a different type of data; alternatively, it might be major in the sense that the thesis is deemed a nonstarter. Generally, the committee is looking for a paper that they would feel comfortable submitting to a respectable field journal in the student's / paper's field that has a decent chance of receiving a "Revise and Resubmit".

Should the student's initial paper submission fail to advance to an oral defense or if the student fails to satisfactorily present and defend their paper in the oral defense, a second and final opportunity to pass the comprehensive exam requirement is provided in August of the same year with deadlines of August 1<sup>st</sup> for paper submission and August 20<sup>th</sup> for the oral defense. Students cannot appeal the committee's decisions. The procedures and expectations are the same as in the first June attempt. Students who do not pass the exam by August 20<sup>th</sup> will be dismissed from the program. Exams can receive one of three scores: Distinguished Pass, Pass, and Fail. Distinguished Pass requires unanimity among the committee. When there is disagreement amongst the committee the majority grade is assigned (e.g., scores of two PASS and one FAIL would be a PASS).

Students must complete all course requirements for a field prior to sitting for that field's exam.

## >>> THE DISSERTATION

One of the primary goals of the program of study is to prepare the student to write a dissertation. It is a crucial component of the doctoral degree. Not only will the dissertation serve as a student's primary identity as a candidate on the job market, but it will also require the student to dedicate an extraordinary amount of time to a single topic. Many students who drop out of doctoral programs do so at the dissertation stage, so students should anticipate the challenges ahead to ensure that they will not become one of them!

Two general formats exist for dissertations: (1) the book model, and (2) the three-paper model. The book model is organized as though students are writing a single book about the dissertation topic, whereas the three-paper model consists of three standalone manuscripts linked by fairly short introductory and concluding chapters. Some faculty members prefer one format over another, so students should coordinate with their committee chairperson when determining which format to employ.

### Choosing the Committee

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Graduate Academic Regulations state that doctoral students must consult with their academic advisor or major professor to nominate a dissertation committee. Proposed members of the committee are nominated to provide supervision and expertise in the implementation of the dissertation research project. The nominated dissertation committee is reviewed and approved by the DPAP Doctoral Program Director and the AU administration.

The Doctoral Dissertation Committee Approval Form is used to formally designate the chair and members of a dissertation committee as well as the *outside reader* (added no later than the time of completion of the dissertation project).

Customarily, the Dissertation Committee will have four or more *core committee members*, including the chair of the committee. The minimum number of core committee members, including the chair of the committee, is three. At least two of the core members must be full-time, tenure-line faculty members at American University and preferably from the program in which the student is enrolled. Qualified individuals, either outside the department or outside the University, may be invited to sit on a committee as *external members* once the minimum requirement of two internal full-time, tenure-line faculty from American University has been met. Together, the internal and external members form the core of the Dissertation Committee. Core members are charged with guiding the student and providing detailed feedback during the dissertation process.

*The chair* of the Dissertation Committee must be an AU faculty member who holds a tenured position. Untenured, tenure-line faculty may be appointed as co-chairs of Dissertation Committees but must serve with a tenured faculty member. Adjunct faculty, term faculty, faculty from other universities, and emeriti faculty may not chair a Dissertation Committee but may serve on it. A Dissertation Committee chair who retires or leaves the University before the dissertation is complete may petition the Doctoral Council to remain on the committee as chair, as a co-chair, or as a member.

At the time of the final examination of the dissertation, at least one additional member will join the core of the Dissertation Committee as an *outside reader* for the final examination. The purpose of the outside reader(s) is to provide a review of the dissertation by a colleague with the appropriate terminal degree who is an expert in the subject matter of the dissertation. *The outside reader should have no direct association with the student.* An outside reader serves an advisory role, and the charge to the outside reader is to determine if the dissertation meets general standards in the field, not necessarily to critique the work in detail. Once the dissertation has been successfully defended, all committee members sign the dissertation title page. A letter of approval from the outside reader may replace the outside reader's signature on the dissertation title page.

The Graduate Academic Regulations provide extensive guidance on the composition of doctoral dissertation committees at <http://www.american.edu/provost/grad/grad-rules-and-regulations-2015.cfm>.

The submission of the Doctoral Dissertation Committee Approval Form to the Doctoral Council for review and approval is intended to ensure that proposed dissertation committees contain members who (a) are research active and (b) have expertise in the proposed research topic, relevant methodologies, and intended data analyses. In addition, the approval of proposed doctoral dissertation committees is intended to be a check of adherence to the current AU Graduate Academic Regulations.

The Doctoral Dissertation Committee Approval Form along with further instructions are available online at <http://www.american.edu/provost/grad/res-pol-proc.cfm>.

Students are required to attach a brief abstract of their dissertation proposal to their submission of the Doctoral Dissertation Committee Approval Form. Please, be advised that the abstract has to satisfy the following expectations (see below). The abstract also has to be well written, carefully edited, and reviewed/approved by your dissertation committee chairs. Please, let me know if you have any questions.

*The abstract should outline the research question(s) and how the doctoral student intends to pursue the answer(s). More specifically, the abstract of the dissertation proposal should include a concise summary of the following elements: (a) the scope and significance of the research topic; (b) a brief summary of current literature supporting the significance of the proposed research topic; (c) the proposed research question and hypothesis (as applicable); (d) the proposed research methodology for the evaluation of the research question; and (e) the analytic plan for proposed data collection. The abstract will likely be evaluated by faculty members who do not have expertise in the student's field. Therefore, the abstract should define terms and acronyms that are not known to those outside this research area. If the abstract uses terminology unfamiliar to the readers without definitions, it may be returned to be clarified before the application can be processed. The abstract must be no more than five (5) pages long but may be much shorter if the relevant information is provided.*

While the dissertation process does not formally begin until after a student has passed both comprehensive exams, the department strongly encourages students to consider potential dissertation committee members much earlier in their course of study. Students should feel free to contact Professor Gershenson for advice.

## **Writing and Defending the Prospectus**

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Students write a prospectus for their dissertation project as a precursor to the dissertation.

The prospectus serves two primary goals: (1) to demonstrate the research question selected for the dissertation contributes meaningfully to the field, and (2) to establish the student has a plan of action likely to result in the timely completion of the dissertation. The prospectus ultimately becomes a contract between the student and committee about what the dissertation will entail.

The requirements for the prospectus (*e.g.*, formatting, length, and organization) vary by chair, but students are encouraged to seek examples from advanced students and communicate with their chair throughout the writing process. In general, the student works closely with the chair when writing the prospectus, and then distributes it to the remaining committee members once the chair has determined the prospectus is ready for defense. It is customary to provide committee members at least two weeks to review the prospectus. However, committee members may request additional time. Once all committee members have approved the prospectus, a formal defense is scheduled.

The prospectus defense is similar to the qualifier defense. The chair will determine the format, but it generally involves a short presentation by the student, followed by questions from the committee members. Most prospectus defenses last an hour or two. At the end of the defense, the committee will ask the student to step out while the members deliberate. Deliberation allows the committee to identify any changes the student must make to the proposed dissertation. Most students pass the prospectus defense insofar as a prospectus deemed unsuitable by committee members will typically be returned to the student for revision prior to the defense. At times, however, the prospectus defense may also shed new light on the sufficiency of the student's topic or the student's ability to complete the dissertation in a timely fashion.

Once it has finished deliberation, the committee will ask the student to return to the room to discuss any changes necessary to proceed with the project. Committee members may ask for a revision to the prospectus, but a detailed e-mail may suffice in some cases. Written documentation, in whatever form, is important to protect the student from unreasonable committee demands imposed after the prospectus has been defended. *A student becomes a "PhD Candidate" after a successful prospectus defense.*

## **Final Dissertation Defense**

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The process for the dissertation defense is similar to that of the prospectus. Once a student's chair has deemed the dissertation ready for defense, it is distributed to the other committee members for review. If the committee members believe the final product is ready for defense, the student works with their Chair and/or Emily Kim to identify a date and time that will work for all involved. Dissertation defenses frequently occur during the summer, so a quick turnaround is unlikely. In fact, it may take six weeks or more to find a time that will work for the student and each committee member. The defense can be over zoom.

The final dissertation defense is a public event, and students are *strongly encouraged* to attend colleagues' defenses to familiarize themselves with how the process works. The chair identifies the format of the defense, but, in most cases it involves a short presentation by the student, followed by questions from the committee and any other attendees. The defense may last as long as three hours, and concludes with a closed committee deliberation. The committee typically arrives at one of four conclusions:

- The dissertation passes as-is, with no further revisions necessary. This is very rare.
- The dissertation passes, contingent upon minor revisions that can be overseen by the committee chair without further review by the remainder of the committee.
- The dissertation passes, contingent upon revisions that will require all committee members' approval upon review.

- The dissertation is not passable, and the student will be required to defend the project again after a series of revisions are made. It is rare that dissertations do not pass the oral defense as committee members are unlikely to approve the defense of an unsuitable dissertation.

The student will be required to submit the final dissertation, with all committee members' signatures, to the registrar's office by a particular deadline in order to qualify for graduation in that semester. More information about AU requirements for the submission of the dissertation, including deadlines and formatting guidelines, can be found at <http://www.american.edu/provost/grad/etd/index.cfm>.

## >>> ANNUAL EVALUATION

The departmental faculty evaluate every student's progress at the end of each academic year. The purpose of the evaluation is to identify whether each student is making sufficient progress toward completion of a doctoral degree. The results of this meeting are conveyed through an evaluation letter to students. For students failing to make sufficient progress, the letter will identify the improvements that must be made and provide a time table in which to do so. Students unable to fulfill these obligations are likely to be dismissed from the program.

While the annual evaluation focuses on the holistic development of each student, several elements are particularly important:

- Completing all required courses in a timely manner (*e.g.*, no incomplete grades)
- Earning a 3.2 GPA or higher in all coursework
- Receiving satisfactory performance appraisals from faculty supervisors (for research and teaching assistants)
- Passing the qualifier and comprehensive exam in a timely fashion
- Defending a dissertation prospectus soon after passing the comprehensive exams
- Making appropriate progress toward finishing the dissertation once the prospectus is approved

Keep in mind this is not an exhaustive list, and other issues may prevent a student from making sufficient progress to continue in the program. Students are encouraged to communicate with Professor Gershenson or another faculty member if they are having trouble fulfilling their obligations. The faculty will do their best to accommodate student needs.

# >>> REGISTRATION AND ADVISEMENT

## Course Scheduling

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Students typically complete three courses per semester during the fall and spring terms. The summer term is reserved for making progress toward other requirements (*e.g.*, preparing for the comprehensive exam, writing the dissertation proposal, collecting data). *AU funding packages do not cover more than three courses per semester, and the department strongly discourages students from taking more than three classes at one time.*

DPAP courses are held once per week during one of the following timeslots:

- 11:20 AM - 02:10PM
- 02:30 PM - 05:20PM
- 05:30 PM - 08:10PM
- 08:20 PM - 10:50PM

Students are encouraged to communicate with Professor Gershenson each semester prior to registering for courses to ensure field requirements are being met as efficiently as possible and that the most useful electives are being chosen. Those who elect a field outside the Department of Public Administration and Policy should confirm with Emily Kim and/or the relevant departmental advisor to ensure requirements are met.

## Consortium Classes

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AU is a member of the Consortium of Universities of the Washington Metropolitan area, which provides an opportunity to take courses at other member universities if not offered by a department at AU. Consortium universities include Catholic, George Mason, George Washington, Georgetown, and Maryland, among others (see [www.consortium.org](http://www.consortium.org) for a complete list).

Consortium classes are great for specialized research methods courses that some larger universities have the capacity to offer at the doctoral-level.

Students interested in consortium classes should review course listings from the websites of member institutions. After identifying a course, students must contact the faculty member teaching the course to confirm eligibility and secure a syllabus.

Once the instructor has provided permission and a syllabus, Professor Gershenson will review course materials to ensure the class is appropriate to take. Bob Briggs will then help students submit all appropriate paperwork and obtain relevant administrative approvals.

## Transfer Credits

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AU permits the transfer of six credit hours in the rare case a student has also completed doctoral-level coursework at another institution. In most cases, transfer credit counts toward the overall number of credit hours, but it does not reduce the number of courses required for a given field. In other words, those six hours would replace elective credits.

## Independent Study Courses

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Students may contract with a faculty member to complete an independent study for credit toward one of their electives. The student and faculty member must complete a form, and the course is recorded as PUAD 790: Doctoral Independent Study in Public Administration and Policy. Students are typically limited to two independent study courses. See the PhD Program Specialist for the appropriate forms.

## Dissertation Credits

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Once a student finishes required coursework, he or she registers for PUAD 899 each semester until completion. This course is graded as “satisfactory progress (SP)” or “unsatisfactory progress (UP)” but does not count toward the student’s GPA. Students registered for PUAD 899 are considered full-time for the purposes of financial aid.

## **Grading System**

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Grades are based on the A–F system, and all field courses must be taken for a letter grade (rather than pass/fail). Grades of C- or below do not count toward degree requirements. Students must maintain a 3.2 grade point average.

## **Auditing Courses**

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Students are welcome to audit courses outside their program of study. Formally auditing a course requires a student to register for the course as an auditor and follow AU guidelines (*e.g.*, grading, fees). Most students find it easier to ask an instructor whether they might sit in on the course informally, in which case there is no need to register for the course or pay audit fees. See Professor Gershenson if you have questions about the benefits and drawbacks of these options.

## **Incomplete Grades**

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At the discretion of the instructor, a temporary grade of “Incomplete,” or “I,” may be given to a student who is passing a course but cannot complete it during the semester for extenuating reasons. “I” grades are assigned rarely, and students must rectify all incompletes by the end of the following term. For example, spring term “I” grades must be complete by the start of the following fall term; summer term “I” grades must be complete by the start of the following spring term; and fall term “I” grades must be complete by the start of the following summer term. Students who do not adhere to this timeline will be dismissed from the program.

## >>> PROFESSIONAL DEVELOPMENT RESOURCES

### Canvas Course

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Conferences, professional and social opportunities, and other announcements will be emailed out to your AU email address or posted to the doctoral program page (PUAD 700: DPAP PhD Students) on Canvas (most of your courses will also utilize Canvas, an online course management system). It is suggested you check your AU email regularly. Students can access the Canvas page by logging in with their AU ID and password at <https://american.instructure.com/>. Students' menu of courses should include this page, which provides links to professional associations, a student directory, and archives of past syllabi. This is also where travel requests and reimbursement forms can be found. Contact Professor Gershenson about problems accessing the doctoral page or with suggestions about other material that would be helpful to add.

### Mail

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There is a doctoral student mailbox located in the copy room (Kerwin 331) in the DPAP department suite. Any mail students receive will be placed there for pick-up. If students wish to receive mail at the department, use the following address:

Name  
PhD Student, Department of Public Administration & Policy  
American University  
4400 Massachusetts Avenue NW  
Kerwin Hall, Suite 320  
Washington, DC 20016-8070

### Conference Travel Support \*[Covid Policy](#)

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Students on a DPAP-funded assistantship qualify for \$1,000 per year in travel support throughout their assistantship. All other students (*e.g.*, those funded by their home country or organization) qualify for \$500 per year once they reach ABD status, as long as the department confirms they are making good progress toward completing the degree. The following stipulations apply to all funding requests:

- Travel support is available *only* for research-focused conferences
- Students *must present a paper or poster* to qualify for reimbursement. Students will not be reimbursed for attending conferences at which they are not on the program
- Conferences explicitly for students (*e.g.*, anything with “graduate student” in the name) do not qualify for reimbursement

Funding follows the AU fiscal year, which ends June 30<sup>th</sup>. **Unfortunately, AU does not permit students to “roll over” unused travel funds from one year to the next. Expenses incurred before June 30<sup>th</sup> count towards the fiscal year ending June 30<sup>th</sup>, regardless of when the reimbursement form is submitted. Expenses that take place after June 30<sup>th</sup> (e.g., a flight) can’t be claimed during the current year, even if they were paid for prior to June 30<sup>th</sup>. Travel that takes place during or near the end of fiscal year can be tricky for these reasons so be sure to plan carefully.**

The following expenses can generally be reimbursed (up to the limits specified above):

- Lodging expenses (*i.e.*, room rate, internet access, and taxes)
- Coach-class airfare
- Conference registration fees
- Ground transportation to and from the airport (*e.g.*, shuttles, taxis, trains)
- Meals on a per diem basis (look up federal per diem rates for the city you are traveling to)

Students must submit a form requesting authorization to travel as well as a form to receive reimbursement upon return.

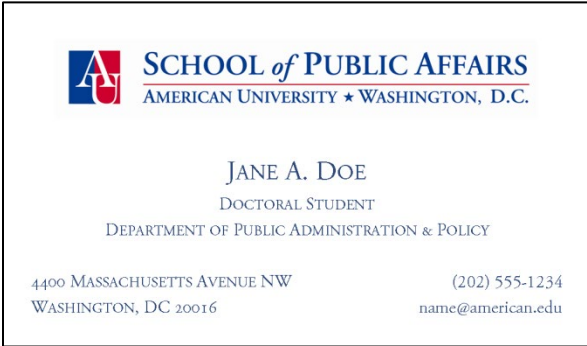
Travel policies and reimbursement policies are frequently changing due to Covid, so see separate handout on this.



**Business Cards**

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DPAP provides an initial batch of standard business cards at no cost to the student, using the following format:



Cards will be shipped to AU and available for students to pick up when ready. Students can purchase additional cards, but must coordinate the order with Professor Gershenson.

### Office of Graduate Studies

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AU's Office of Graduate Studies (4200 Wisconsin, Suite 201, x3753) coordinates all issues related to graduate education. Jonathan Tubman, Vice Provost of Graduate Studies and Research, and his staff sponsor various initiatives aimed to promote success among graduate students. For additional information about activities underway in the Office of Graduate Studies, please visit <http://www.american.edu/provost/grad/index.cfm>.

### Academic Support and Access Center

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Academic Support and Access Center (MGC 243, x3360) counselors are available to discuss learning concerns and help students decide which support services are most appropriate. *All students with learning disabilities who plan to request testing accommodation should meet with an Academic Support and Access Center (ASAC) counselor to identify necessary documentation.* The ASAC also offers workshops on various reading and study skills topics, including sessions on studying for comprehensive exams. A schedule of workshops is available at <http://www.american.edu/ocl/asac/>.

### Writing Center

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The Writing Center features a staff of counselors who evaluate students' writing, identify areas for improvement, and offer tips and strategies. Any student enrolled in a course at AU is eligible to use the Writing Center. Priority is given to students with learning disabilities, international students, and non-native English speakers. Appointments for the Writing Lab can be scheduled in person Monday-Thursday 9 a.m. – 8 p.m. and Friday 9 a.m. – 5 p.m. Visit <https://www.american.edu/provost/academic-access/writing-center.cfm> for more information.

### **Counseling Center**

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The Counseling Center (MGC 214, x3500) helps students maximize their university experience and gain the tools and insights necessary to thrive emotionally, socially, and intellectually. The center offers individual counseling (primarily for crisis intervention, assessment, short-term support, and referrals to private mental health care); psychotherapy and discussion groups; workshops and presentations; consultation and outreach; and self-help and web resources, including online mental health screenings.

Ongoing mental health treatment is generally considered a personal health-care responsibility, not a service provided by the university; however, there are excellent services available in the surrounding community. Center staff will help students locate and connect with any off-campus services they need, and insurance usually assists with the cost of off-campus care. The counseling staff is comprised of psychologists, social workers, and graduate and postgraduate trainees. Counseling is confidential, in accordance with ethical and legal standards. There is no charge for services.

Visit <http://www.american.edu/ocl/counseling/> for more information.

### **Disability Support Services**

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The staff of the Academic Support and Access Center (MGC 243, x3360) work to ensure persons with temporary or permanent disabilities have an equal opportunity to participate in, and enjoy the benefits of, the university's programs, services, and activities. This office also provides consultation and in-service training for faculty, staff, and students, with the overall goal of ensuring a campus environment that is welcoming to individuals with disabilities.

Visit <http://www.american.edu/ocl/asac/> for more information.

### **Jacobs Fitness Center**

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Jacobs Fitness Center, located in the Sports Center, is a state-of-the-art facility providing quality health and fitness services for the AU community. It includes a range of cardiovascular and strength training equipment. Staff members are on duty whenever the fitness center is open to help with exercise or equipment questions.

Throughout each semester, the center offers various group exercise and mind-body classes such as step aerobics, spinning, kickboxing, Pilates, and yoga. These classes can be taken for an additional fee. Personal training services are also available for a fee. The fitness center also hosts an annual 5K and a biathlon, as well as wellness programs and incentives throughout the school year. For registered students, membership fees are included in tuition. A valid AU ID card is required for entrance to Jacobs Fitness Center. Memberships include use of the fitness center, Reeves Aquatic Center Pools, Bender Arena basketball and volleyball courts, the outdoor track, and tennis courts.

Visit <http://www.american.edu/recfit/> or call x6267 for more information.

### **Student Health Center**

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The Student Health Center (McCabe Hall, x3380) provides primary care medical services and health education and wellness programming to AU students. The clinical staff consists of an interdisciplinary team of physicians, physician assistants, nurse practitioners, nurses, and medical assistants. These primary care clinicians initiate treatment and coordinate all aspects of care, including referrals to specialists when required. Students are encouraged to develop a relationship with a provider of their choice, called a primary care provider (PCP). Refer to the Student Health Center (SHC) website for a directory of providers. The SHC is part of an organized network of community hospitals and providers who serve AU students. Services provided at the SHC are completely confidential; medical records and any other health information can be released only with students' written permission.

Services at the SHC are available by appointment. To make an appointment, visit the Student Health Center website, click on "schedule your online appointment," register for an online appointment account, and schedule an appointment. Alternatively, call x3380 or visit the first floor of McCabe Hall. The SHC asks students call 24 hours in advance to schedule an appointment. Students who call or walk into the health center later in the day may not be able to schedule a same-day appointment. Students should bring their AU ID card, insurance card, and a method of payment to every visit.

Visit <http://www.american.edu/healthcenter> for more information.

## **Health Insurance**

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Health insurance is required for all full-time degree, resident, and international students with F1 and J1 Visas. The student health insurance plan was developed especially for AU students. The plan provides coverage for accidents and sicknesses that occur on- and off-campus and includes special cost-saving features to keep the coverage as affordable as possible. Students with comparable insurance coverage may waive the Student Health Center plan at <http://www.american.edu/healthcenter>. Call x3380 for additional information.

## **International Student and Scholar Services**

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The mission of International Student and Scholar Services is to advance American University's commitment to building a global community by orienting, advising, and advocating for international students and ensuring compliance with federal regulations governing international educational exchange. Programs and services include:

- Immigration advising and workshops
- Personal, academic, and financial counseling
- International student orientation
- Cross-cultural training
- Ethnic and nationality club advising
- Consumer resources

International Student and Scholar Services is located in Room 410 of Butler Pavilion and can be reached at x3350. It is open Monday–Friday, 9 a.m. – 5 p.m.

### ***Individual Instruction***

The Academic Support and Access Center (ASAC) provides a counselor who works specifically with international students to help them gain the necessary skills for success at AU. Students can meet with this counselor for individual instruction in academic skill areas and to ease the transition to academic culture in the United States. Topics may include time management, textbook reading, note taking, classroom presentations, and preparation for exams, as well as adapting to higher education in the U.S., in and out of the classroom. Appointments can be made in person in Mary Graydon Center 243 or by calling x3360.

### ***Group Study Skills Workshop Series***

Various workshops, including writing workshops for international students, are offered each semester by ASAC staff. A workshop schedule is available online and in the ASAC office. In addition, a series of weekly workshops focusing on classroom participation for international students is offered each fall semester. Enrollment is limited, and interested students can schedule an appointment with the ASAC counselor for international students to discuss registering for the workshop.

### ***Tutor Referrals***

The ASAC counselor for international students can make referrals for English language study with peer or professional tutors. Students are responsible for all tutorial fees, which vary by tutor. Course content tutors are peer students with expertise in specific disciplines who offer to tutor students in most academic areas. They charge a modest fee (\$11–13 per hour). The ASAC counselor for international students or the Tutoring Services coordinator can provide referrals to peer tutors. Tutor request forms are available in the ASAC office and online at <http://www.american.edu/ocl/asac/Peer-Tutor-Request-Form.cfm>.

### ***Writing Assistance***

The ASAC Writing Lab offers more than 80 hours of appointments weekly with writing counselors who are specially trained to work with non-native English-speaking students. Students can sign up for one or two sessions per week in Mary Graydon Center 243.

## **International Student Registration**

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In addition to the registration procedures for continuing or new degree students, international students (students who are not U.S. citizens or permanent residents) must follow these steps:

All international students who are enrolling at AU for the first time or for a new program are required to bring to International Student Services (ISS) their passport, I-94, I-20, or IAP-66 (if applicable). International students are not required to obtain an international student advisor's signature to register unless they are registering for an internship or cooperative education field experience.

International students in F-1 and J-1 status are required to register full-time (9 credit hours) for each semester. International students with F-1 or J-1 Visas who intend to initially register for less than full-time credit hours should first consult with an international

student advisor. International students who register for less than a full course load are required to obtain written permission from ISS each term. Failure to do so may result in loss of status. Students who fail to register full-time or fail to provide ISS with copies of all required immigration documents as of the first day of classes for the semester may be prevented from registering and must meet with an international student advisor in ISS to have the registration STOP removed.

Students in B-1/B-2 status are not eligible to register. Visitors in B-1/B-2 status must change their status to an F-1 student status to study at AU. For more information regarding this INS regulation, contact ISS. International students in F-1 or J-1 status may not audit courses. Audited courses do not count toward a full course of study for the purpose of maintaining an F-1 or J-1 status.

### **SEVIS: Student and Exchange Visitor System**

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Effective January 30, 2003, universities enrolling F-1 and J-1 students are required to report to the INS any student who fails to maintain status or complete his or her program. Each term and no later than 30 days after the deadline for registration, universities are required to report the following registration information: whether the student has enrolled, failed to enroll, or dropped below a full course of study without authorization by the International Student Advisor; the current address of each enrolled student; authorized employment; and graduation or termination date of study. Questions concerning INS regulations should be directed to International Student and Scholar Services.

# >>> HUMAN SUBJECTS RESEARCH GUIDELINES

## Requirements

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*All students must certify that they have received training in the ethics of conducting research with human subjects.* This is typically completed during orientation through the Collaborative Institutional Training Initiative (CITI). You need to first set up your own account by registering at [www.citiprogram.org](http://www.citiprogram.org). When you register, affiliate with American University to access our library of courses. From there, for IRB purposes, you must enroll in & complete a course under question 1: **Human Subjects Research**. This must be completed before you apply for IRB approval/waivers of human subjects research. Then, as PhD students, you must also complete the "Responsible Conduct of Research" course **before graduation** -- though I strongly encourage you to complete this in September of your first semester. Please email me (the DPAP PhD program coordinator) a screenshot or certificate PDF documenting that you've completed these two courses.

If you've already completed any of these CITI courses elsewhere, prior to coming to AU, you don't need to retake them *if* you're able to add an affiliation with AU using your former CITI login credentials... and then email me proof of completion *and* upload the certificate on the IRB website when and if you file an IRB protocol application.

It is good practice to keep documentation of all of your progress, because you never know when the CITI site will be down, etc. Same goes for any awards or hurdles cleared in the DPAP PhD program. For instance, save a copy of the notification of your summer awards, dissertation prospectus acceptance, CITI completion, etc. in a "PhD forms" folder on your computer.

In addition to completing ethics training at the outset of the program, all students are required to obtain approval from AU's Institutional Review Board (IRB) for research involving human subjects. It is the student's responsibility to ensure this approval is received prior to initiating a research project.

## Institutional Review Board

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Research conducted using human participants is overseen by the AU IRB. Its purpose is to facilitate human subjects research and to ensure the rights and welfare of human subjects are protected during their participation. It works to facilitate those objectives by reviewing, approving, modifying, or rejecting research protocols submitted by AU researchers.

The IRB process is based on rules and regulations for federally funded research, primarily the provisions of Protection of Human Subject in the Code of Federal Regulations (45 CFR 46), and supporting materials such as the Belmont Report. The AU IRB strives to create a culture of respect for, and awareness of, the rights and welfare of human research participants while advancing knowledge and facilitating the highest quality research.

More information about the AU IRB is available at <http://www.american.edu/irb/index.cfm>.

# >>> ACADEMIC INTEGRITY CODE

Academic integrity stands at the heart of intellectual life. The academic community is bound by a fundamental trust that professors and students alike undertake and present their work honestly. As a community of the mind, we respect the work of others, paying our intellectual debts as we craft our own work.

The Academic Integrity Code (“Code”) for American University defines honorable conduct, outlines attendant rights and responsibilities, and describes procedures for handling allegations of academic misconduct.

American University views academic integrity as integral to its mission, treating it as far more than a disciplinary matter: All members of the university must join in educating students about the value of integrity and the ways in which intellectuals acknowledge their debts. In each course, faculty should remind students of the standards of integrity, and faculty may ask students to include with their submissions a signed statement pledging adherence to the Code in completing the assignment.

By enrolling at American University and then each semester when registering for classes, students acknowledge their commitment to the Code. As members of the academic community, students must become familiar with their rights and their responsibilities. In each course, they are responsible for knowing the requirements and restrictions regarding research and writing, examinations of whatever kind, collaborative work, the use of study aids, the appropriateness of assistance, and other issues. Students are responsible for learning the conventions of documentation and acknowledgment of sources. American University expects students to complete all examinations, tests, papers, creative projects, and assignments of any kind according to the highest ethical standards, as set forth either explicitly or implicitly in this Code or by the direction of instructors.

## .02 Definition of Academic Integrity Violations

Violating standards of academic conduct is a serious matter subject to discipline. Types of violations are listed and defined below. This section provides explanations and illustrations but does not exhaust the scope of these violations. Academic integrity is not merely a matter of conforming to rules; it must be understood in terms of the broader purposes of a university education.

### A. Violations Adjudicated under the Academic Integrity Code

#### 1. Plagiarism

Plagiarism is the representation of someone else’s words, ideas, or work as one’s own without attribution. Plagiarism may involve using someone else’s wording without using quotation marks—a distinctive name, a phrase, a sentence, or an entire passage or essay. Misrepresenting sources is another form of plagiarism. The issue of plagiarism applies to any type of work, including exams, papers, or other writing, computer programs, art, music, photography, video, and other media.

#### 2. Inappropriate Collaboration

Inappropriate collaboration occurs when work that the professor presumes is original to the student is in fact the product of collaboration so close that the originality is no longer individual to the student. Professors often expect students to study together, to brainstorm together, and to read and criticize each other’s work; group projects also require much collaboration. However, these forms of appropriate collaboration become inappropriate when the originality of the work is lost. In addition, for many assignments, such as take-home examinations and some homework assignments, professors specifically limit or restrict collaboration, requiring that all of the work is entirely the student’s own. Before submitting work, students should clarify with their professors what forms of collaboration are appropriate for that assignment.

#### 3. Dishonesty in Examinations (In Class or Take Home)

Dishonesty or cheating in examinations is the use of inappropriate or unauthorized materials, information, or study aids in a test. Unless the instructor directs otherwise, an examination is assumed to be solely a student’s own work. No communication is allowed among students either through voice, written, electronic, or any other form of transmission, nor are students permitted to consult books, papers, study aids or notes without explicit permission. Dishonesty in examination includes but is not confined to copying from another’s paper, giving or receiving unauthorized assistance, obtaining unauthorized advance knowledge of questions on an examination, and using mechanical devices to achieve false scores on machine-graded examinations. Specific policies regarding examinations may vary with individual professors.

#### 4. Dishonesty in Papers

Dishonesty in papers covers but is not limited to submitting material obtained from another person or company or purchased from either. All papers and materials submitted for a course must be the student’s original work unless the sources are cited.

#### 5. Work Done for One Course and Submitted to Another

This category of violation covers the presentation of the same work in more than one course at any time during a student’s academic career without prior consent from both instructors. When incorporating their own past research into current projects, students must cite previous work. This requirement applies even when the work submitted had been originally for a project for another institution. When the previous instructor cannot be consulted, faculty may permit such a submission.



## 6. Fabrication of Data

Fabrication is the falsification, distortion, or invention of any information in academic work. Examples include, but are not limited to, inventing a source, deliberately misquoting, or falsifying data.

## 7. Interference with Other Students' or Scholars' Work

Interference with the work of others covers but is not limited to acts that deny others access to scholarly resources, or deliberately impede the progress of another student or scholar. Examples include sabotaging laboratory experiments or research, giving misleading information, knowingly deceiving other members of a project team or group, disrupting class work, making library material unavailable to others, or altering the computer files of another.

## 8. Bribes, Favors, and Threats

Students may not bribe, offer favors to, or threaten anyone with the purpose of affecting a grade or the evaluation of academic performance.

## 9. Other Academic Misconduct

No specific set of rules or definitions can embrace every act of academic misconduct. A student who employs any form of academic deceit has violated the intellectual enterprise of the university.

### B. Violations Adjudicated Elsewhere

#### 1. Copyright Violations

Copyright laws must be observed. These laws govern practices such as making use of printed and electronic materials, duplicating computer software, photoduplicating copyrighted materials, and reproducing audio visual works. The Student Conduct Code prohibits theft and the unauthorized use of documents and requires adherence to local, state, and federal law. These provisions will be enforced through the Student Conduct Code.

### **.03 Adjudication of Academic Integrity Offenses**

#### A. Jurisdiction

1. The Academic Integrity Code applies to all students enrolled at American University, except students at the Washington College of Law ("WCL"). WCL has a separate Honor Code and process for handling academic misconduct.
2. In cases where a combination of violations of academic and nonacademic regulations is alleged, students are subject both to the Academic Integrity Code and the Student Conduct Code.
3. Most charges of Academic Integrity Code violations are brought by the university faculty. Staff, students or others wishing to bring charges must identify themselves and work through the faculty member in whose course or academic activity the alleged Code violation has occurred. In unusual circumstances, students, staff, or others may bring suspected charges to the dean's office. At the discretion of the dean, the dean's office may initiate charges.
4. Each major teaching unit ("School or College") will have an Academic Integrity Code Administrator ("AIC Administrator") designated by the dean to manage the adjudication process. An AIC Administrator is usually a member of the dean's staff.
5. To advise the dean in evaluating certain charges and determining actions to be taken, each School or College has an Academic Code Review Panel ("Panel") with a minimum of two faculty and one student. The Panel may be a standing or ad hoc committee of the major teaching unit.

#### B. The Adjudication Process

The adjudication process assigns specific roles and jurisdiction to the faculty and to the dean's office.

##### 1. Faculty Jurisdiction

When convinced that a possible violation was an honest mistake rather than purposeful dishonesty, a faculty member may use the occasion to educate the student about acceptable standards for academic work. In such cases, the faculty member could, for example, require the student to rewrite or correct the original assignment, or to submit a substitute assignment. A faculty member may not, however, fail or level other grading penalties against the student for the assignment or for the course, but must send the case to the dean when seeking these sanctions. Referring the case to the dean's office ensures that the student receives due process for potential disciplinary action and allows the university to check for repeat offenses.

In all cases, the faculty member is encouraged to consult with the AIC Administrator, who can provide guidance on the Code and can help evaluate and locate evidence of a possible violation.

## 2. Administrative Jurisdiction

In all other circumstances, when the faculty member believes that a case may be due to purposeful dishonesty, the following procedures will be observed:

- a. Faculty members reporting an allegation of dishonesty to the AIC Administrator should do so normally within 10 business days from the date of discovery of the alleged dishonesty, supported by appropriate documentation.
- b. At their discretion, faculty members may discuss the alleged misconduct with the student before the case is adjudicated. Faculty members, however, may not submit grades for the work in question or for the course until the case has been adjudicated. If the semester grades must be submitted before the adjudication process is complete, the faculty member should consult with the AIC Administrator about the proper grade notation.
- c. After consulting with the faculty member, the AIC Administrator will promptly notify the student of the charge in writing and will arrange to discuss the charge with the student at a preliminary meeting. The AIC Administrator also will report the complaint to the chair of the department in which the alleged violation occurred. If the student is a member of another teaching unit, the AIC Administrator also will report the complaint to the student's dean.
- d. At the preliminary meeting, the student will be presented with the charge and the evidence, advised of the Code procedures, apprised of sanction options, and given the opportunity to respond. Either at the meeting or within five (5) business days, the student must submit a written statement that (i) accepts or denies responsibility for the charge, (ii) explains what occurred and why, and (iii) elects to resolve the case through a decision by the AIC Administrator or through a Panel hearing. The student's signed statement will become additional evidence in the case. If the student fails to attend this preliminary meeting, the AIC Administrator may proceed with the process as appropriate.
- e. By electing a decision by the AIC Administrator, students waive the right to a hearing before the Panel. The AIC Administrator will arrange a meeting as soon as possible. If both the student and the AIC Administrator agree, a preliminary meeting may proceed directly into the next phase of adjudication. If the issue cannot be resolved in one meeting, the AIC Administrator may request additional meetings with the student.
- f. The AIC Administrator may refer the case to a panel for decision, even if the student has elected decision by the AIC Administrator.

## 3. Decision by AIC Administrator

- a. If the AIC Administrator adjudicates the case, the AIC Administrator will impartially gather evidence from the student, the complainant, and other appropriate parties and sources.
- b. The AIC Administrator will review the evidence and findings with the student. The student will have an opportunity to respond to the evidence and may call witnesses. If the student fails to attend any part of this phase of the case, the AIC Administrator may proceed as appropriate.
- c. At the conclusion of the process, the AIC Administrator will submit a written recommendation with supporting rationale for the findings and sanctions to the dean of the major teaching unit in which the alleged offense occurred.
- d. The dean may affirm or modify the AIC Administrator's recommendation or remand the case with instructions for further action. The dean's decision is final and may not be appealed unless the sanctions include a permanent notation to the student's academic record (III.C.2.b-d).

## 4. Academic Code Review Panel

The following procedures will be observed by the Academic Code Review Panel:

- a. Upon determining that a case should proceed to a Panel, the AIC Administrator will convene a Panel, convey the charge and the evidence, give guidance about the hearing process, and serve as a resource during the panel proceedings. The AIC Administrator may remain present during the Panel's closed sessions. A faculty member will chair the Panel proceedings.
- b. All Panel hearings will be closed to the public.
- c. All Panel decisions related to the hearing process are by majority vote.
- d. In cases in which a Panel member has a conflict of interest, the member will be excused from participation and replaced by a new member.
- e. The student charged will have the opportunity to answer the charges.
- f. The faculty member making the charge should be given the opportunity to be present or available to support the charge.

g. Witnesses may be called by the parties or by the Panel. The Panel may limit the number of witnesses for such reasons as redundancy or irrelevancy. Witnesses will be excluded from the hearing until testimony is to be presented. All parties present may question the witnesses.

h. During the proceeding and prior to the Panel's closed session, any relevant party may submit evidence or suggest an appropriate sanction.

i. At the end of the hearing, the Panel will meet in closed session and decide whether the student is responsible for the Code violation.

j. If the student is found responsible, the Panel will proceed to the sanction phase, at which point the AIC Administrator will disclose the student's prior record of academic violations, if any.

k. The Panel will submit a written recommendation with supporting rationale for its findings and sanctions to the dean of the major teaching unit in which the alleged offense occurred.

l. The dean may affirm, modify, or reject the Panel's recommendation. The dean's decision is final and may not be appealed unless the sanctions include a permanent notation of the AIC violation to the student's academic record (III.c.2.b-d).

#### 5. Other Adjudication Issues

a. The standard of proof for any instance of academic dishonesty will be clear and convincing evidence—a measure of proof that produces a firm belief in the allegations presented. It is more than the standard of "preponderance of the evidence" and less than the standard of "beyond a reasonable doubt."

b. If the student fails to attend any scheduled meeting, the time and place of which have been made known in advance, the Panel or the AIC Administrator may hear the case in the student's absence.

c. Because the purpose of this adjudication process is to provide a fair review of alleged violations of this Code rather than a formal legal proceeding, participation of persons acting as legal counsel is not permitted.

d. A student may be accompanied by a supporter throughout the process. The supporter's role is limited to personal consultation. The supporter may not represent the student, speak in adjudication meetings or hearings, or question witnesses. The supporter must be a current American University student, faculty, or staff member who is not involved in the alleged violation.

e. All participants must provide truthful testimony. Participants who fail to do so may be subject to disciplinary charges.

f. Any participant whom the AIC Administrator deems disruptive to the adjudication process will be removed from the proceedings for their duration.

#### C. Sanctions

1. Violations of the Academic Integrity Code will be treated seriously, with special attention to repeat offenders. In assigning a sanction, the dean will take into account the seriousness of the offense, the particular circumstances of the case, and the student's class year (freshman, sophomore, graduate, and so on). Cases involving repeat offenders or especially serious offenses will result in suspension or dismissal in combination with other sanctions.

2. Sanctions for an AIC violation may include one or more of the following:

a. A failing grade of F or ZF for the course in which the offense occurred.

b. A failing grade of F or ZF for the course in which the offense occurred. A notation of the Code violation will be entered on the student's permanent record.

c. Suspension for one or more academic terms, including the term in which the offense occurred. A notation of the Code violation will be entered on the student's permanent record.

d. Dismissal (for a specified term or permanently) from the university. A notation of the Code violation will be entered on the student's permanent record.

e. Other sanctions as appropriate, including, for example, remedial work, a lower course grade, and so on.

3. Before implementing sanctions, the dean may consult with the faculty member, the student's dean, and other relevant university officials or parties. For sanctions applied to a student enrolled in another major teaching unit, the dean handling the case will seek concurrence of the student's dean before implementing sanctions. Concurrence need not be sought if the student is a double major.

4. For suspensions and dismissals, the appropriate academic action will be taken by the dean of the major teaching unit to which the student belongs.

5. Withdrawal is not permitted either from a course in which a suspected AIC infraction has been discovered or from the university in such instances. No refund or cancellation of tuition or fees will be permitted in such cases.

6. Students receiving a failing grade for a course due to a Code violation will not be eligible to receive Freshman Forgiveness for that course.

#### D. Notifications and Appeals

1. The dean or the AIC Administrator will notify the student in writing of the findings and sanction, if any. The results of the case will be shared with other university officials determined to have a legitimate need to know in accordance with the Confidentiality of Student Records policy.

2. In cases concerning notation to the permanent record, students will be notified in writing of their right of appeal. Appeals must be made in writing to the Provost within ten (10) business days after the date of written notice is delivered to the address on record for the student. Appeals are limited to the following grounds: new evidence that was not available at the time of the adjudication of the case and that may affect the outcome of the case, improper procedure that materially and adversely affected the earlier outcome of the case, and excessive sanction. Appeals will be reviewed by the Provost who may consult the written record of the case, the appeal request, and any person involved in the adjudication process or other appropriate party. The Provost may affirm, modify, or remand the case to the dean with instructions for further action. The Provost's decision is final.

3. The implementation of a suspension or dismissal will be deferred while an appeal is pending, unless the Provost finds that the continued presence of the student on campus poses a substantial threat to himself or herself, to others, or to the stability of normal university functions. During the appeal a restriction will be placed on the student's record that will prevent registration for classes or requests for transcripts.

#### E. Suspension and Dismissal

The decision as to whether suspension or dismissal is appropriate depends on the circumstances of each case.

1. Suspension is effective for not less than the session in which action is taken or for not more than one calendar year. The length of a suspension will be specified at the time the action is taken. A suspended student is ordinarily entitled to resume studies in the same School or College at the end of the suspension provided the student has satisfied all requirements that were imposed by the dean.

2. Dismissal is reserved for serious violations of rules and regulations, and when circumstances indicate that a student's association with the university should be terminated in the interests of maintaining the standards of behavior and conduct normally expected in a university community. A student who has been dismissed but who has not been denied the privilege of returning to the university may apply for readmission after one calendar year. The calendar year begins on the final day of the session during which the dismissal was implemented. Readmission applications are evaluated based on the total record of the student and consistent with the admission practices in effect at the time of application. A readmitted student is governed by the academic requirements in effect at the time of readmission.

### **.04 Records of Disciplinary Actions**

A. When a case is referred an academic disciplinary file will be created.

1. If the case results in a finding of "not responsible," the file will be voided. A voided file will be so marked, will not constitute academic disciplinary records, and will not be kept with the student's academic files. Voided files that are retained will be for administrative purposes.

2. If the case results in a "responsible" finding, the file will be retained as an academic integrity disciplinary record.

3. The dean's office will maintain voided files and most academic disciplinary files for five (5) years after the student's last registration at American University. If sanctions become part of the student's permanent record, the record and files will be maintained indefinitely by both the dean's office that handled the case and the University Registrar.

B. Records relating to the Code adjudication process are subject to university regulations concerning the confidentiality of student records. Upon written request, students may access their records in accordance with the Confidentiality of Student Records Policy.

### **.05 Interpretation**

The Provost or the Provost's designee is the final interpreter of the Academic Integrity Code.

*Senate action and Provost approval, October 1990. Effective spring 1991. Revised 1994: Senate action, April 1994, Provost approval, May 1994. Revised 2007: Senate action and Provost approval, April 2007. Effective fall 2007.*