

# Policies & Procedures

T H E

H A R R I S

S C H O O L

***Ph.D. Program  
2011-2012***

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School of Public Policy Studies doctoral program on or after September 1, 2011. Doctoral students enrolled in the program prior to that date are governed by the previous policies and procedures manual unless they have petitioned for and been granted specific exceptions by the director of doctoral studies.

09/11

**The PhD Committee for the 2011- 2012 Academic Year**

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# **POLICIES AND PROCEDURES FOR THE PH.D. PROGRAM**

**SEPTEMBER 2011**

## **I. REQUIREMENTS FOR THE Ph.D. PROGRAM**

The Harris School offers a program of studies leading to the award of the Ph.D. to qualified individuals interested in research-oriented careers focused on the substantive and institutional aspects of public policy studies. Within a framework emphasizing the acquisition of skills to design and conduct policy-relevant research, the program allows students, working closely with faculty members of the School and the University, to develop highly individualized and innovative courses of study leading to a Ph.D. in Public Policy Studies.

The program is administered by the director of the doctoral program (hereafter referred to as “the director”), who chairs the faculty Ph.D. committee, and by the dean of students.<sup>1</sup> The committee and the dean of students are available to advise Ph.D. students concerning their course of study and research interests and to assist them in completing the program. Students must report to the secretary of the Ph.D. Committee, at least annually, on their progress in fulfilling the program's requirements. (See section I,B, below for details on the annual progress report.)

The course of study leading to a Ph.D. in Public Policy Studies is intended to take at least four years. The University of Chicago prescribes the following general pattern of graduate residency for the Ph.D.:

*Four (4) years in Scholastic Residence*  
*Advanced Residence Eight (8) years*

For further information on the graduate residence track system of the University refer to <http://timeschedules.uchicago.edu>.

In addition to the University's requirements, the Harris School has its own requirements for coursework. Students who enter the Harris School doctoral program with Ph.D. level coursework from another university or department may petition the director for a waiver for certain coursework, residence categories, but the graduate residency track system (as presented above) is the basis for calculating program requirements.

All students beginning the doctoral program, who have not completed prior graduate coursework relevant to public policy studies, must complete a minimum of 27 policy relevant courses with at least 18 courses taken for quality grades (A through C-) and no more than nine for R (Registered). Those who enter with a master's degree from a public policy or public affairs graduate program and wish to reduce the number of required courses need to submit a written petition to the director of doctoral studies no

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<sup>1</sup> All references to the dean of students or the Office of the Dean of Students are specific to the Harris School unless otherwise noted.

later than the end of their first quarter in residence. Having earned a prior masters degree in a relevant field does not automatically entitle a student to waive part of the course requirements of the Harris School.

Petitions to waive courses in the Harris School's Ph.D. program must be first presented to the Secretary of the Ph.D. committee for approval. This petition must indicate the courses to be waived, and include documentation of how the material in the prior master's program meets the doctoral training requirements of the PhD program in terms of both the breadth of the material covered in the courses being replaced, the depth of the material covered (theory, methods, or substantive material), and a demonstration that the student has performed adequately for a doctoral student. If the Secretary of the Ph.D. approves of the content of the petition, it is then reviewed by the director. If the petition is approved by the director, the student will then need at least 12 policy relevant courses for quality grades and six for R, or a total of at least 18 quarter courses at the University of Chicago.

### **A. Years One and Two**

At the beginning of the student's first year, the director will assign a first year faculty advisor to each student. Students will meet quarterly with their assigned faculty advisor. Each student should outline a tentative plan for advanced coursework appropriate for his or her research objectives.

Courses taken by Ph.D. students during the first two years of the program are intended as preparation for a research career in public policy studies and for the qualifying examinations taken during the summer following the second year. (See part I.C. for sample schedules to be followed by most first and second year students. All Ph.D. students must demonstrate mastery of the core subject areas of statistical methods, economic theory, political economy, organizational theory, and political analysis. They demonstrate this competence by passing three Ph.D. qualifying examinations.

By spring quarter of the second year, students, in consultation with the director, must identify at least one Harris School faculty member to act as an adviser for the qualifying paper prior to the development of the paper. A second University of Chicago faculty member should also be identified to serve on the faculty committee for the paper.

All doctoral students in residence are strongly encouraged to work (even on a volunteer basis) as a research assistant at some point during their graduate study.

All first year students should attend the Ph.D. seminar, if it does not conflict with classes. All Ph.D. students beyond the first year are required to regularly attend and participate in the Ph.D. seminar.

### **B. Annual Review/Satisfactory Progress Report**

By the tenth week of the spring quarter, each doctoral student is required to submit a completed satisfactory progress report form, provided by the University, to the Secretary of the Ph.D. Committee. By the summer quarter of each year, a review of the doctoral student's progress will take place. The director will discuss the stu-

dent's progress in coursework and in fulfilling the program's requirements and make a recommendation to the Ph.D. committee concerning the student's financial aid for the coming academic year. The review conducted after the student's second year also will determine whether the student's academic performance warrants continuation in the Ph.D. program. Based on the student's grades in courses taken during the first two years and on performance on the qualifying examinations, the faculty will determine whether a student will be encouraged to proceed to the dissertation phase of the program. Students will be notified of the faculty's decision, in writing, prior to the fall quarter of their third year.

Doctoral students, whether recommended for continuation in the Ph.D. program or not, who have quality grades in 18 courses are eligible to receive an M.A. or M.P.P. degree. Students interested in petitioning for an M.A. or M.P.P should refer to the "Masters' Programs Policies and Procedures" manual, available from the dean of students, for detailed information regarding specific requirements early in their program.

### C. Sample Course Schedules

#### 1. Students without prior preparation in mathematics, statistics, and economics:

##### a) Year One

| Fall  | Winter   | Spring  |
|---|--|---|
| PPHA41101: Political Economy I: Introduction to Applied Game Theory | PPHA41102: Political Economy II: Intermediate Applied Theory | PPHA41103: Testing Theories of Political Institutions |
| PPHA31200: Mathematical Statistics for Public Policy I              | PPHA31300<br>Mathematical Statistics for Public Policy II    | PPHA 41500: Intermediate Microeconomics               |
| PPHA32300: Principles of Microeconomics & Public Policy I           | PPHA32400: Principles of Microeconomic & Public Policy II    | Field   |

##### b) Year Two

| Fall   | Winter  | Spring                          |
|--|---|---------------------------------|
| STAT24400: Statistical Models & Methods I      | STAT24500: Statistical Models & Methods II      | PP42000: Applied Econometrics I |
| PPHA44100 Advanced Microeconomics for Policy I | PPHA44200 Advanced Microeconomics for Policy II | Field                           |
| Field  | Field   | Field                           |

##### c) Year Three

| Fall   | Winter | Spring |
|--|--------|--------|
| PP42100: Applied Econometrics II               | Field  | Field  |
| Econ 30100 Price Theory I strongly recommended | Field  | Field  |
| Field  | Field  | Field  |

## 2. Students with sufficient mathematics/economics background:

### a) Year One

| Fall  | Winter  | Spring  |
|---|---|---|
| STAT24400: Statistical Theory & Methods I   | STAT24500: Statistical Theory & Methods II                    | PPHA42000: Applied Econometrics I                     |
| PPHA 44100 Advanced Microeconomics for Policy Analysis I or Econ 30100: Price Theory I strongly recommended | PPHA 44200 Advanced Microeconomics for Policy Analysis II     | Field   |
| PPHA41101: Political Economy I: Introduction to Applied Game Theory   | PPHA 41102: Political Economy II: Intermediate Applied Theory | PPHA41103: Testing Theories of Political Institutions |

### b) Year Two

| Fall                               | Winter | Spring |
|------------------------------------|--------|--------|
| PPHA42100: Applied Econometrics II | Field  | Field  |
| Field                              | Field  | Field  |
| Field                              | Field  | Field  |

Students with sufficient background in mathematics and statistics can also take all the courses for the core qualifying examinations (Microeconomics, Political Economy, and Methods (Statistics/Econometrics)) by the end of the fall quarter of their second year, deferring all of the course work for the substantive field examinations to the second year.

### C. Qualifying Examinations

Ph.D. students are required to pass four qualifying exams, one in methods (statistics and econometrics), one in microeconomic theory, one in political economy, and one for a substantive field. The qualifying examinations ordinarily will be taken after two years of coursework, or earlier if the student is prepared. The microeconomic theory exam will be offered in June after the end of the Spring Quarter. The political economy exam will be offered in September prior to the start of the autumn quarter. And the methods exam will be offered in December after the end of the autumn quarter.

The courses listed below as requisite provide an adequate preparation and set the expectation for the exam in each respective area. In addition, students are advised and expected to take pre-requisite (preparatory) or post-requisite (supplementary) courses according to their individual level of preparation and interest. Each qualifying exam is based on the requisite courses and will be written and graded by the faculty who teach those courses.

The director appoints the examining committees that write the exams. The exams typically are written once each year following completion of the preparatory course

sequences. Each examining committee will include two or three faculty members, identified in advance of the examination date. The committees will write and grade the examinations and will submit a brief assessment of each student's performance to the director. The Secretary of the Ph.D. Committee will notify students of the results of their exams.

If a student does not pass an examination, the examining committee may recommend that the student retake it. If the student's performance in the preparatory coursework for the exam is adequate, the student will be permitted to retake the exam. Unless the director determines otherwise, the student will retake a failed exam on the next regularly scheduled exam date. **Students may repeat each examination only once.** If the student does not pass an examination after two attempts or does not pass all exams in a timely manner, the director will recommend to the faculty that student's PhD program should be discontinued.

### 1. Econometrics Qualifying Exam

| Pre-requisite                               | Requisite  | Post-requisite |
|---|--|----------------|
| Statistics for Public Policy I (PPHA31200)  | Statistics 24400: Statistical Theory & Methods I and Statistical Theory II (Statistics 24500)* |                |
| Statistics for Public Policy II (PPHA31300) | Applied Econometrics I (PPHA42000)   |                |
|   | Applied Econometrics II (PPHA42100)  |                |

### 2. Microeconomics Qualifying Exam

| Pre-requisite   | Requisite   | Post-requisite   |
|---|---|--|
| PPHA32300: Principles of Microeconomics & Public Policy I | PPHA 44100 Advanced Microeconomics for Policy Analysis I  | Price Theory I (Economics 30100)                             |
|   | PPHA 44200 Advanced Microeconomics for Policy Analysis II | It is strongly suggested that students take Economics 30100. |

### 3. Political Economy Qualifying Exam

| Pre-requisite   | Requisite   | Post-requisite  |
|---|---|---|
| PPHA41101: Political Economy I: Introduction to Applied Game Theory | PPHA 41102: Political Economy II: Intermediate Applied Theory | PPHA41103: Testing Theories of Political Institutions |

\* Students may find useful either of these two courses.

#### 4. Substantive Field Ph.D. Qualifying examination:

This examination covers the substantive policy area in which the student intends to focus his or her research. The selection of a substantive area should be made in general terms early in the student's program to help guide course selection. The examination typically is taken prior to the beginning of their third year in the program. The director approves a committee of two or more faculty members, who write the substantive field exam. The faculty committee and the student will agree upon coursework and a reading list for the area to be examined. The examination covers the body of knowledge represented by that coursework and reading list.

The timing of the substantive field exam is at the discretion of the student's faculty advisor or if the student chooses to take an exam in another department at the discretion of that department. In general, students are encouraged to take a qualifying preliminary exam in other academic departments to fulfill their requirement for the substantive field exam, provided the course of study and exam are approved by a Harris School faculty advisor and the director. Examples of preapproved examinations include the joint Harris School/Department of Economics Microeconometrics Preliminary Examination and the Department of Economics Labor Economics Examination.

Under very exceptional circumstances, a student may be allowed to substitute content for the regular theory or methods examinations when justified by his or her planned course of study. Such substitutions must be reviewed and endorsed by the prospective chair of the student's dissertation committee and must be approved in advance by the director.

#### D. Year Three

During their third year, doctoral students make the transition from coursework to dissertation research. As a first step, they must write a qualifying paper and present it at a Harris School workshop or other appropriate University faculty workshop. Later during the third year, students will concentrate on their thesis/dissertation proposals, which should be completed and defended by the beginning of year four.

##### 1. Qualifying Paper

Ph.D. students must complete the qualifying paper requirement according to guidelines prescribed by the Ph.D. committee and must present the paper in an appropriate University of Chicago forum. An acceptable qualifying paper will show evidence that the student is developing the capacity for formulating and conducting an independent research project and for creating a scholarly argument. Although co-authors are allowed per the approval of the student's advisor, only one student may submit this paper as a qualifying paper. **There is no exception to the rule.** Ideally, the qualifying paper will constitute a step toward completion of the student's dissertation proposal. The paper's length

should approximate that of a conference paper or a paper to be sent to a top journal in the student's field..

Students are expected to complete this qualifying paper by the end of the third year of their doctoral study. *Students who fail to meet this deadline will receive no financial aid (tuition or stipend) beyond that third year.* Following the quarter in which the qualifying paper requirement has been satisfied, funding may be continued. Completion for this purpose involves having both faculty members of the student's qualifying paper committee indicate to the director that the work is adequate to meet the requirement on forms available from the Secretary of the Ph.D. committee

## **2. Ph.D. Dissertation Committee**

A Ph.D. dissertation committee of three or four current or emeritus faculty members from the University of Chicago, with academic interests related to those of the student, will guide and judge the student's dissertation research. The participation of the Ph.D. committee members is essential to the decision-making process that eventually results in the awarding of the Ph.D.

The Ph.D. dissertation committee will be formed by the director in consultation with the student and the student's faculty advisor. The chair of the student's Ph.D. dissertation committee will thereafter be the student's primary faculty advisor. At least two members of the committee, including the chairperson, must be current or emeritus members of the faculty of the Harris School. A current or emeritus member of the University of Chicago faculty who is not on the School's faculty may be included on the Ph.D. dissertation committee. In special cases, a professor from outside the University may be asked to participate on a committee. The director must approve the initial composition of the dissertation committee, as well as any subsequent changes. If a committee member leaves the University the director and chair of the committee must approve for the member to remain on the thesis committee if he/she agrees. Forms for designating or changing committee members or the committee chair are available from the Secretary of the Ph.D. Committee.

## **E. PhD Thesis and Candidacy**

By year four of the program, students are expected to be conducting research and writing their dissertations, presenting preliminary drafts of their dissertation work, and regularly attending at least two workshops. Students are encouraged to register for an "R" in those workshops that they attend on a weekly basis. By doing so they are meeting the requirement discussed above that they complete at least 9 courses for a "R."

### **1. Dissertation proposal**

After successful completion of the four qualifying examinations (Microeconomics, Political Economy, Statistics/Econometrics, and the substantive field) and the qualifying paper, a proposal for the dissertation must be defended before the student's Ph.D. committee and other interested parties in the University. The proposal must be submitted before a major part of the dissertation re-

search is completed. The University requires that the proposal hearing precede the dissertation defense by at least eight months.

Students are admitted to Ph.D. candidacy upon the approval of the student's dissertation committee and the faculty Ph.D. committee after acceptance of their dissertation proposal (providing that the student has passed all qualifying examinations and met the course and qualifying paper requirements). The proposal should be completed in time for a proposal hearing by the start of the autumn quarter of their fourth year.

The dissertation proposal and the dissertation itself should address policy issues and demonstrate mastery and originality in applying methodologies of policy research and analysis. The dissertation proposal should formulate clearly the scholarly purpose of the dissertation research and lay out as carefully as possible how that purpose is to be realized. It should constitute a statement of the reasons for proposing *this* research on *this* topic, using *this* approach, in light of the current status of research in *this* field.

A draft of the proposal will be read critically by the student's dissertation committee, who will then discuss their critiques with the student. When all members of the committee signify in writing to the director that they believe the proposal is ready for hearing, a proposal hearing shall be scheduled. It is the responsibility of the student to obtain the form for approval of the thesis proposal from the Secretary of the Ph.D. Committee.

It is the student's responsibility to contact his or her dissertation committee and arrange a date and time for the proposal hearing. The date and time also must be cleared with the director and scheduled with the Secretary of the Ph.D. Committee.

The dissertation committee members and the Harris School's faculty will be notified of the time and place of the proposal hearing and each faculty member will receive a copy of the abstract. The initial part of the hearing is a public meeting.

In addition to the copies of the proposal which students distribute to their dissertation committee members, and an electronic copy (e.g., PDF) of the final proposal to circulate by e-mail, and a brief abstract (100-250 words) should be submitted to the assistant to the director **14 calendar days in advance of the scheduled hearing**. The length of the proposal should be adequate to describe the research problem and its context, hypotheses, the state of the relevant literature, conceptual framework or model and the methods to be used (data and qualitative or quantitative analyses that are appropriate).

At the hearing, the student presents a summary of the proposal (generally lasting one half-hour) and has the opportunity to hear and respond to faculty reactions. Immediately following the proposal hearing, the members of the student's dissertation committee, the director, and the other faculty present will evaluate the written proposal and the oral presentation. They then will vote on whether to approve the proposal. The dissertation committee will discuss the results of the hearing with the student and will suggest revisions to the pro-

posal. If the proposal is not approved, the student will be required to submit a new proposal in a hearing at a later date. The chair of the dissertation committee will summarize the discussion and the decision in writing and submit it to the director.

### **Human Subjects Research Issues (IRB) for PhD Thesis**

Most Harris School PhD students will be engaged in thesis research that will involve research using observation, collection, or analysis of data on human subjects. Typically, this will be the secondary use of existing data or public use files. Very few will be doing only pure theory or simulation work. Thus, each of you will need to determine whether your research is subject to federal and university rules on human subjects, and comply with those rules.

We suspect that most of you will need to consider these issues as a part of the work for your PhD thesis. Some phases of this work, such as preliminary explorations of data and related issues -- checking to see if available data contain the types of quality of information needed -- may not require any formal review by the Institutional Review Board (IRB). But the thesis proposal is far enough along in the process of producing generalizable (publishable) results to require a systematic consideration of the issues.

Students developing a PhD thesis proposal should address these issues as a part of applying to have a thesis proposal hearing. If you have already defended your thesis proposal, and do not have an approval, exemption, or waiver from the IRB by the time of the thesis proposal hearing, you will have to write a memo to the chairperson of the PhD committee informing him/her of your progress to that date and your plans to complete the IRB process. A signed and dated copy of that memo should be given to Cynthia Cook Conley and another copy to your thesis advisor. **Note: The PhD program director will require a copy of this IRB and supporting materials before approving the PhD proposal hearing date. As this manual on policies and procedures for the PhD program indicates, the date for the proposal hearing has to be cleared with the PhD program director and scheduled by the Secretary of the Ph.D. Committee.**

### **2. Admission to Candidacy**

The Harris School grants admission to candidacy for the Ph.D. to a student who has completed all necessary coursework, passed the required four qualifying examinations, completed the qualifying paper requirement and successfully defended the dissertation proposal.

### **3. Dissertation Research**

Dissertation research for a degree in Public Policy Studies may appropriately be conducted in a library, archive, research center, or other thesis-specific research site in or outside of Chicago. Many fellowship sources exist and the student is urged to plan ahead and apply for these fellowships well in advance. These fellowship sources often have deadlines for applications nine months or more before the funding is available. Students who are receiving a Harris School sti-

pend are expected to be in residence during the academic year (autumn through spring quarter). **Exceptions must be approved by the director.**

The dissertation research period generally is spent in residence at the Harris School where students can participate in workshops, seminars, etc., and, through such participation, discuss and refine their research design and findings.

During the period of dissertation research and until the Ph.D. is completed and awarded, doctoral students must be registered continuously in the University. Those who will be conducting research away from Chicago for extended periods of time must make registration plans with the dean of students prior to departure. Students are advised that serious financial problems may arise through failure to do this. Loan repayment schedules may be affected, for example, and other consequences may follow if students fail to make necessary arrangements.

#### **4. Dissertation Defense**

As is the case with the proposal hearing, it is the responsibility of the student to plan and coordinate a date and time for the dissertation defense with the dissertation committee. The date and time must be cleared with the director and scheduled with the Secretary of the Ph.D. Committee.

In addition to materials distributed to dissertation committee members, the student must deposit one printed copy of the dissertation, an electronic copy (e.g., a PDF) of the dissertation, plus an electronic copy of a 10-15 page summary and one copy of an abstract (100-250 words) with the assistant to the director **14 calendar days prior to the defense date.** The summary statements and dissertation copies will be held by the program assistant to the director and made available to faculty and students. The abstract will be circulated to Harris School faculty and posted for students with a notice of the defense time and date.

The dissertation defense is a public meeting of faculty and students, directed by the chair of the dissertation committee. It consists of an opening statement by the candidate, questions and comments by the faculty (both those from the dissertation committee and others), and a general discussion. The opening statement, generally, 20 to 30 minutes in length, should cover such points as: (1) the nature of research in the field before the dissertation work was conducted; (2) the nature of the present findings; (3) the original contribution to the fields in theory, methods and/or findings; and (4) implications of the findings for public policy studies more generally; (5) directions for future research.

Immediately following the hearing, members of the student's dissertation committee and the other faculty members present will meet in closed session to evaluate the dissertation and its defense. The results of this evaluation will be announced to the candidate immediately following the meeting. At this point, it would not be unusual for a student to be asked to undertake revisions or additional work based on the collective assessment of the faculty. Such work would be carried out under the supervision of the student's dissertation committee members. Final approval for award of the Ph.D. is granted after those revisions

and any additional work is completed to the satisfaction of the dissertation committee.

Ph.D. students are encouraged to visit the University's dissertation secretary (located in JRL 100B) well in advance of the dissertation defense. The University has strict standards concerning the format of the dissertation, and the candidate should incorporate them into the dissertation manuscript as it is being prepared.

## **5. Convocation**

Convocation occurs the last day of each quarter. Graduation requirements include completion of course requirements, successful completion of the three qualifying exams, approval of the qualifying paper, and the dissertation committee's signed approval of the dissertation. The student must also be registered in Advanced Residence in the quarter he or she graduates.

The student must apply to graduate online (Cmore.uchicago.edu.) This must be done no later than 5:00 pm on the first Friday of the quarter in which the student plans to graduate. Those students in Scholastic Residence will need permission from the Dean of Students to graduate. The Office of the Dean of Students will notify the student of any incompletes and missing grades remaining on the student's transcript, GPA requirements and deadlines for completion of present and past course work.

All financial obligations to the University must be satisfied by the end of the ninth week of the quarter in which a student is to graduate. This is a non-negotiable deadline.

All grades for graduating students are due at the end of the 10<sup>th</sup> week of the quarter in which they plan to graduate; grades for courses taken in prior quarters which replace an incomplete or blank must be turned in by the end of the 9<sup>th</sup> week of that quarter.

If the student's name is removed from the convocation list upon his or her request or because all incompletes and blanks were not replaced with grades by the deadline, the student will be assessed a \$50 fee by the bursar's office and will be responsible for tuition charges the next time the student signs up for convocation.

In addition to the above information, Ph.D. students must fulfill the requirements for depositing the dissertation with the University dissertation secretary (see previous section).

## **II. READING AND RESEARCH/INTERNSHIP COURSES**

An individual reading and research course (PP520) provides a useful way to supplement scheduled courses. While the instructor and the student will determine the nature of each reading course, it is expected that the student will meet with the instructor at least three or four times during the quarter. It also is expected that the course will lead to a paper that has not been submitted previously in any other course.

Written consent of the instructor and approval by the director is necessary for a reading and research course. Consent forms for public policy reading and research courses can be obtained in the Office of the Dean of Students.

Students may receive academic credit for internships during their course of study. Consent forms are available in the Office of the Dean of Students. Requests to take internship courses must have the written consent of the faculty supervisor and the approval of the director of doctoral studies. Internship course credit will be granted only after the faculty advisor has evaluated the written project and judged its academic caliber.

### **III. FINANCIAL AID**

Entering Ph.D. students may be eligible to receive up to four years of full financial support, in the amount of tuition plus a stipend. All Ph.D. students are expected to make efforts to obtain financial support for their studies from non-Harris School sources, including the research centers and projects of the University. The combination of Harris School support and that from external sources should enable students to receive financial support for their entire program of doctoral studies.

The Harris School provides financial support for its Ph.D. students in the form of tuition fellowships, stipends, and teaching and research assistantships, depending on merit and qualifications. The exact terms of the award are specified in the award letter sent to each admitted student. The terms of the letter may vary from student to student.

Acceptance of an award constitutes permission for the School to furnish reports of academic progress to the donor of the fund from which the award was made. A student receiving an award from a source outside the University must notify the director and the dean of students of that fact. In such a case the School reserves the right to make an appropriate adjustment in its own offer of award, including withdrawal of its offer if the outside award is substantial. The student's total financial aid will not be lowered, and most likely raised, by the receipt of outside funds.

Harris School financial support will be awarded according to the following criteria:

- ◆ Students must be in full-time academic residence defined as working for remuneration for no more than 20 hours per week while classes are in session during the academic year. A student who finds it necessary to discontinue studies during any quarter will be expected to refund any stipend money awarded for that quarter.
- ◆ Students may receive stipends only when in residence at the University. Students in pro forma status are not eligible for stipend support. Any requests for exception to this policy must be submitted in writing to the faculty assistant of the PhD committee for approval by both the director of the PhD program and the Dean of Students.
- ◆ Students are eligible to receive financial support in the first two years of the doctoral program provided they are in good academic standing, defined as be-

ing registered for at least nine courses for academic credit per year and having maintained a grade point average of not less than 2.7.

- ◆ Students are eligible to receive financial support in the third year of the doctoral program provided they are (a) in good academic standing, (b) have taken at least two of three required qualifying examinations.
- ◆ Students are eligible to receive financial support in the fourth year of the doctoral program provided they have (a) completed the 27 course requirements, (b) passed all required qualifying examinations, (c) completed the qualifying paper requirement, and (d) applied for financial support from external sources by the end of the fall quarter (or received external financial support in a prior year). The application for financial support for that year will be reviewed with regard to the student's ability to defend his or her doctoral dissertation proposal and make significant progress on his or her dissertation research during the year.
- ◆ Students entering their fifth year of doctoral study may apply for tuition support plus a stipend from the Harris School if they have (a) passed all required qualifying examinations, (b) completed the qualifying paper requirement, (c) successfully defended a dissertation proposal. **Students enrolled in the program in their fourth year must apply for external funding during the fall quarter of the fourth year. If a student fails to apply he/she will not receive any funding from the Harris School.** Beyond the 5<sup>th</sup> year students are expected to secure own external financial support.
- ◆ Students accept the obligation to serve as a course teaching assistant (TA) or amount of research assistantship (RA). Students first enrolled before September 2006, must TA once for each year of full financial support they receive from the Harris; thus students receiving four years of support will be obligated to TA four times. Students enrolled in September 2006 or after will be obligated to TA six times or an equivalent amount of RA work to be determined by the school if they receive four years of support. Students receiving fifth year funding are obligated to TA for 2 courses. Students are encouraged to begin to fulfill their TA obligations as early as their second year of doctoral study to avoid conflicts with the preparation for the qualifying examinations during the first year.
- ◆ Students receiving stipends from the Harris School cannot receive remuneration (for RAships, TAships or hourly work at the University) for more than 20 hours per week during the fall through spring terms that they receive stipend support. If they do so, there stipends will be reduced accordingly.

#### IV. LEAVES OF ABSENCE

Leaves of absence can be requested by and granted to students in the PhD program during either the Scholastic Residence or the Advanced Residence stages, subject to the conditions and procedures described below. Note, however, that such leaves do not extend a doctoral student's eligibility for full-time student status (in either Scholastic or Advanced Residence) beyond the total of twelve years from entry into the Ph.D. program.

Three types of leave of absence are available to students in the Ph.D. program.

- ◆ During Scholastic Residence, a student who has completed three or fewer years in this status may apply to the director and the dean of students for a leave of absence of up to four academic quarters. Upon returning from such a leave, the student will be required to register in Scholastic Residence until the requirement of four years of registration in that status has been fulfilled.
- ◆ A student in Advanced Residence may apply for a leave of absence only if temporarily incapacitated by major illness or injury. Applications for such a leave must be endorsed by the director and dean of students; they can only be granted by the Office of the Dean of Students in the University. A student may take such a medical leave of absence for no more than four academic quarters.
- ◆ A female student in either Scholastic or Advanced Residence who becomes pregnant may request a one-quarter leave of absence for childbirth. The one-quarter maternity leave of absence may be taken in the quarter of the childbirth or an adjacent quarter. This includes summer quarter whether registration is required or not. Such a leave may be granted by the Dean of Students and the chairperson of the PhD committee. A student may petition the Dean of Students and the chairperson of the PhD program for additional time for this pregnancy. Such a request will be treated as a request for a health related leave.

## V. **PUBLIC POLICY STUDENT ASSOCIATION (PPSA)**

The PPSA is the student committee of the School. It consists of student representatives from the different classes and meets regularly during the school year. Notices of elections and meetings are publicized. The charter of the PPSA is available upon request from the student committee.

## VI. **GRIEVANCE/DISCIPLINARY PROCEDURES**

### A. **Grievance Procedures**

For matters dealing with class procedures, grades, or other academic affairs, the student first should approach that faculty member involved and attempt to resolve the issue with him or her.

If the student's concerns are not satisfactorily resolved after discussion with the faculty member, the student should present the matter to the dean of students in writing. The dean of students will work with the faculty member and the dean of the Harris School to find a solution.

If the matter remains unresolved after the intervention of the dean and the dean of students, the student may contact the University's student ombudsman, who works as an outside observer and mediator.

For matters dealing with general policies of the School, including program requirements or changes in the system, petitions should be made directly to the dean of students.

## **B. Disciplinary Procedures**

The disciplinary committee of the Harris Graduate School of Public Policy Studies operates as part of the University's disciplinary system, described in the *Student Information Manual*. Students should familiarize themselves with the material in this manual.

When a question of possible misconduct arises that, in the judgment of the dean of students in the School, is substantial enough to warrant convening a disciplinary committee, the dean of the School will appoint a committee. The committee will consist of the dean (or his/her appointed representative), two faculty members from the School, one person from the Office of the Dean of Students in the University (who serves as a non-voting member) and, if the accused person so wishes, a student in the School elected by the student body of the School or a member of the elected representatives of PPSA. The dean of students in the School also is present as a non-voting member of the committee.

The dean of students in the School will inform the student in writing of the disciplinary questions raised and of the committee's meeting time and place. The accused student may bring individuals who have direct knowledge of the situation under discussion as well as someone to provide support. The student should, however, be prepared to speak to the committee on his or her own behalf. The accused student may wish to provide the committee with a written statement. In advance of the meeting, the student will be provided with all of the written material furnished to the committee. If the committee wishes to hear from other individuals during the proceedings, the accused student may choose to be present when those individuals are heard.

Disciplinary sanctions available to the committee are those set out in the *Student Information Manual*.

When the committee has reached its decision, the student will be informed of the decision as soon as possible; a confirmatory letter will be sent to the student, and the Office of the Dean of Students in the University will be informed of the action.

If the committee imposes a sanction, the student may have the committee's decision reviewed on one or more of the following grounds: if 1) prescribed procedures were not followed; or 2) the sanction will have unforeseen consequences for the student that are harsher than intended; or 3) that new and substantial evidence, unavailable to the committee, bears importantly in the student's favor.

For a review, the student must make a request in writing to the Office of the Dean of Students in the University not more than 15 days following the written notification of the decision of the School's committee. A review board convened by the dean of students in the University or his/her appointed representative, one member of the School's faculty and a student from the School conduct the review. The stu-

dent presents to the review board written materials that support his request for review. He or she may be granted an additional 15 days to prepare these materials.

The review board, whose decision is final, does not conduct a rehearing of the matters that came before a disciplinary committee. Nor does the student ordinarily appear before the board, although the board reserves the right to ask the student to appear in order to clarify aspects of his/her request. The board, acting on the basis of the student's written materials may sustain or reduce the sanction; or, if satisfied that new and material evidence not available to the committee might have resulted in a different decision, may require a second hearing.