



**DEPARTMENT OF GOVERNMENT
DOCTORAL PROGRAM HANDBOOK
2016 - 2017**

SCHOOL of PUBLIC AFFAIRS
AMERICAN UNIVERSITY • WASHINGTON, DC



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>>> FACULTY AND OTHER HELPFUL CONTACTS

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WELCOME TO THE DEPARTMENT OF GOVERNMENT

Welcome to the Department of Government! We have put together¹ basic information to help you navigate your early doctoral career, but assure you that this information is no substitute for speaking with faculty and staff advisors, other professors, fellow students, and staff. We are glad you are joining us, look forward to working with you to advance the state of knowledge on some of the leading political issues of our time, and to training you in political science research methods and in the substantive areas we study. Please let us know how we can help improve your experience at AU; ask questions and give feedback regularly. Please call on me if I can be of assistance.

Matthew Wright, Doctoral Director 2015-17
mwright@american.edu
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>>> 2016-2017 ACADEMIC CALENDAR

Fall 2016

August 29	Fall classes begin
September 5	Labor Day; no classes, university offices closed
September 12	Last day to add a fall course
	Last day to drop a fall course without a "W" recorded
October 14	Fall Break; no classes, university offices open
October 21	Last day to drop a fall course or change a grade option
November 7	Spring 2017 priority registration for graduate students begins
November 11	Dissertations due in deans' offices for fall degree candidates
November 22	Tuesday classes cancelled; Friday classes meet
November 23-27	Thanksgiving holiday; no classes; university offices closed Thursday and Friday
December 9	Fall classes end
December 15-17	Fall final examinations
December 15-22	Fall final grades due
December 23- January 1	Winter break; university offices closed

Spring 2017

January 16	Martin Luther King, Jr. Day; no classes, university offices closed
January 17	Spring classes begin
January 30	Last day to add a spring course
	Last day to drop a spring course without a "W" recorded
March 10	Last day to drop a spring class or change a grade option
March 12-19	Spring break; no classes, university offices open
April 3	Fall 2017 priority registration for graduate students begins
April 5	Summer 2017 registration begins
May 1	Dissertations due in deans' offices for spring degree candidates
	Spring classes end
May 3 - May 9	Spring final examinations
May 6 - May 12	Spring final grades due

¹ The Department of Government thanks the Department of Justice, Law, and Criminology and the Department of Public Administration for assembling some of the information in this handbook.

>>> DEGREE REQUIREMENTS

Program Overview

The following requirements must be satisfied to earn a doctoral degree (PhD) from the Department of Government (GOVT):

- 72 credit hours of approved graduate work are required for students entering the program with a bachelor's degree.
- A minimum of 48 credit hours (including 36 course credits as well as additional dissertation credits) are required of students who have completed an approved master's degree.
- A minimum grade point average of 3.2 in all coursework is required to remain in good standing and to earn the degree.
- Advancement to candidacy is accomplished by successfully defending a qualifier paper by the end of the spring semester of the second year, passing written qualifying examinations in primary and secondary fields, and successfully defending a dissertation prospectus.
- Students take a primary field comprehensive examination in American politics or comparative politics. They take a secondary field comprehensive examination in the other field, or, with written approval from the faculty advisor and department chair, a second field elsewhere in the School of Public Affairs (SPA), the School of International Service (SIS), or in another doctoral degree-granting teaching unit. Under special circumstances, students may take a second field outside American University, subject to the approval of the SPA graduate director, in consultation with the department's faculty advisor for the PhD program.
- The PhD is fundamentally a degree in preparation for an academic career of research and teaching. Understanding scientific inquiry and employing appropriate research techniques require extensive preparation. All students in the program take four courses in research methods, all of which are designed to help doctoral students comprehend the nature of science and master tools of research.
- Each student selects a specialization in which to complete an original dissertation under the direction of program faculty.

Major Fields

- American Politics
- Comparative Politics

Regardless of the subfield, we provide our students with rigorous training, both substantively and methodologically. In addition to their coursework, doctoral students are socialized into the discipline and profession through a variety of research workshops.

Our students also benefit from exposure to activities, conferences, and research opportunities offered by the Center for Congressional and Presidential Studies, the Women & Politics Institute, and the Center for Latin American and Latino Studies, all of which are directed by Department of Government faculty.

Dissertation Project Details

Students may choose a dissertation research project within one of the major areas. It is the responsibility of the student to secure the agreement of a Department of Government tenured faculty member to serve as the chair of the dissertation committee. One of the other two members of the committee may be from outside SPA. As part of this process, each student must defend the research proposal before the dissertation committee. The committee and the chair of the department must approve the research proposal in order for the candidate to advance to candidacy.

As work on the dissertation project progresses, students register for dissertation credits. Substantive coursework may be used as part of this requirement in cases where it contributes directly to the research specialization and is approved by the dissertation committee chair.

Upon writing the dissertation, the candidate submits the manuscript to the dissertation committee for review. If the committee members approve the dissertation, then the candidate must complete an oral defense of it, including demonstrable mastery of related literature in the general field in which it lies. The defense is before the committee and other interested faculty. After hearing the candidate's defense, the committee decides whether the dissertation is sufficiently well developed and defended to serve as the culmination of the student's doctoral career.

The dissertation must consist of high quality original research directly relevant to the student's doctoral program. A dissertation proposal may be rejected if the topic does not address a major research issue in political science, the research design is inadequate, the methodology is inappropriate, or no tenured member in the Department of Government is qualified or available to supervise the project.

If the candidate fails to maintain satisfactory progress toward completion of the dissertation, then his or her candidacy may be terminated.

Course Requirements

Primary Field (12 credit hours)

American Politics

- GOVT-710 Seminar in American Politics (3)
- 9 additional credit hours in doctoral-level courses in American politics

Comparative Politics

- GOVT-730 Seminar in Comparative Politics (3)
- 9 additional credit hours in doctoral-level courses in comparative politics

Secondary Field (6 credit hours)

American Politics

- GOVT-710 Seminar in American Politics (3)
- One other doctoral-level course in American politics (3)

Comparative Politics

- GOVT-730 Seminar in Comparative Politics (3)
- One other doctoral-level course in comparative politics (3)

Methodology (12 credit hours)

- GOVT-612 Conduct of Inquiry I (3)
 - GOVT-096 Quantitative Methodology Laboratory I (0)
- GOVT-613 Conduct of Inquiry II (3)
- GOVT-615 Research Design (3)
- 3 credit hours in methodology courses from the following:
 - GOVT-704 Approaches to Political Understanding (3)
 - GOVT-720 Seminar in Policy Analysis (3): Advanced Quantitative Methods
 - Other approved methodology courses, including two graduate-level foreign language courses

Electives (6 credit hours)

- 6 credit hours (up to 18 for students entering with BA) chosen in consultation with student's academic advisor

Dissertation (12 credit hours)

- GOVT-799 Doctoral Dissertation Seminar (1-12)

>>> GOVERNMENT DEPARTMENT COURSE DESCRIPTIONS

The following courses reflect those most GOVT students take to fulfill requirements in the American politics and comparative politics subfields, as well as the research methods requirements. Students pursuing a field in another AU department should be able to obtain course descriptions from the relevant department. Note that most courses rotate on a two-year basis and that some of these seminars have 696 and 796 course number designations.

American Politics Courses

GOVT 710: Seminar in American Politics

This seminar serves as an introduction to the study of American political behavior and institutions. It addresses the fundamental theories and questions that have informed, and continue to inform, the study of American politics. The class reads and discusses theoretical and empirical contributions not only of classic works, but also recent research. The seminar also ensures that students develop the skills that are critical to success in the profession. More specifically, students learn to critique scholars' arguments, develop testable hypotheses, and articulate their own arguments both verbally and in writing, in short, to think like a political scientist.

GOVT 711: Seminar on the U.S. Congress

This graduate-level seminar surveys major research on the U.S. Congress with a focus on recent debates in the literature. Readings will address questions pertaining to institutional aspects of the U.S. Congress and will provide an overview of the recent scholarship on Congress, as well as stimulate you to think about potential avenues for further research.

GOVT 712: Campaigns and Elections

This Ph.D. seminar surveys major research on campaigns and elections in the U.S. with a focus on recent debates in the literature. The emphasis will be on candidates and campaigns in the context of presidential and congressional elections. Topics covered include ambition and candidacy decisions, primaries, the incumbency advantage, redistricting, the role of money, the role of campaigns, and representation, among others.

GOVT 713: Contemporary Topics in American Politics

This seminar focuses on new, cutting edge substantive research pertaining to political behavior and political institutions in American politics. It also introduces students to research that makes use of the most recent methodological tools available to political scientists.

GOVT 714: American Political Parties and Interest Groups

This seminar exposes students to the theoretical and empirical scholarship on parties and interest groups in the United States. Some of the topics covered include the origin and transformation of parties, realignment

theory (and its critics), third parties, parties at the state level, and the role of interest groups in elections and lawmaking.

GOVT 715: The Presidency and the Executive Branch

This course presents an analysis of presidential roles and of the function of the federal executive branch. It emphasizes presidential personality, executive-legislative relations, and policy formation.

GOVT 716: Political Behavior

This course covers empirical analysis of the role of mass publics in political life and the factors which determine the formation and expression of political beliefs and attitudes. Topics covered include political participation, vote choice, partisanship, ideology, and the role of the media, among others.

Com parative Politics Courses

Note that most courses are offered every two years and that some of these seminars have 696 and 796 course number designations.

GOVT 730: Seminar in Comparative Politics

This seminar entails the analysis and critique of major theoretical approaches to the study of comparative politics in developed and developing worlds. Historical and theoretical foundations of the nation-state; political issues that arise from social change; and approaches to determining the relative autonomy of state institutions.

GOVT 732: Classics of Comparative Politics

This course provides a broad overview of major issues in comparative politics through analysis of the most important scholarship in the field. It includes political economy, political culture, ethnicity and nationalism, democratization, the changing role of the state, and revolutionary and peaceful political change.

GOVT 733: Political Institutions in Comparative Perspective

The course covers the study of political institutions including political parties, interest groups, electoral behavior, legislatures and executives. Also examines political economy, neo-institutionalism, theories of state and society, and formal modeling.

GOVT 734: Democratization and Democratic Institutions: Theory and Cases

This course helps students construct a cognitive road map of the extensive literature on democracy and democratization. The course mostly addresses recent processes of democratization (those of the last 25 years), which have been concentrated in the developing world. In particular, the focus is on empirical examples from Africa, Latin America, and the Middle East. After initial sessions dedicated to defining and measuring democracy, the class discusses democracy's causes and outputs, considers hybrid regimes (with characteristics of authoritarian and democratic regimes) and democratic political institutions (government branches, political parties, electoral systems, civil society groups).

GOVT 735: Social and Political Movements, Ethnicity, and Nationalism

This course examines a range of social and political movements from a comparative perspective. It explores both theoretically and empirically the issues of political change, social movements, the religionization of politics, ethnicity and politics, nationalism, revolution, gender and political change, informal politics, non-state actors, transnational networks and movements, and civil society.

GOVT 740: Ethnic Politics and Representation

Ethnic conflicts are major barriers to peace and democracy around the world. This course grapples with the question of how we can construct political institutions to produce stable and successful democracies. In particular, it focuses on how minorities have gone from oppression to representation, starting with African Americans and Latinos in the U.S., but also in European, African, Asian, and Latin American countries. Students have wide latitude to design the major course assignment around the country or the problem that most interests them.

GOVT 741: Regime Transitions

This course explores the development of four streams of literature in Comparative Politics that seek to explain fundamental changes in regime structure: the role of the military in politics and the breakdown of democratic regimes; classic revolutions; non-violent "people power" revolutions; and transitions to democracy. The readings and discussion will cover key theoretical works along with well-known empirical studies drawn from a variety of regions.

GOVT 742: Political Economy of Globalization and Inequality in the Developing World

This seminar reviews literature devoted to explaining the unequal distribution of resources and power in developing world cases, with particular attention given to structural features of the region's economies, the configuration of social and political interests and the distributive impact of different combinations of public policies. Perspectives from political economy and political sociology will be deployed in an effort to understand and explain changes in income and resource distribution. Although Latin America provides the geographic focus of the course, we will engage broader currents of thinking about how inequalities arise and persist over time both in that region and elsewhere in the context of increasingly integrated economic systems characteristic of the era of globalization.

GOVT 743: Political Violence

This course provides an introduction to the study of political violence and intra-State conflict. Rather than focusing exclusively on the literature on civil wars, which dominates the study of violence in political science, the course also looks at lower-level violence, ranging from communal riots to extortion rackets to crime. The course balances readings in order to give students a sense of a variety of methodological approaches, so we will read both ethnography and large -N quantitative research.

M ethodology Courses

GOVT 612: Conduct of Inquiry I

This course covers 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.

GOVT 096: Quantitative Methodology Laboratory I

This course must be taken with Conduct of Inquiry I. It is designed to provide additional support, especially surrounding software/computing and problem sets, for GOVT 612 material. As it does not call for any additional work beyond Conduct of Inquiry I, it is zero-credit and taken pass/fail.

GOVT 613: Conduct of Inquiry II

This course is a continuation of GOVT-612. The course covers the use of bivariate and multivariate analysis in political and administrative research; analysis of organizational decision models.

GOVT 615: Research Design

This course is a survey of questions researchers must address when designing research, such as how to build theories, how to test hypotheses, show causality, and select cases. It seeks to help students identify worthwhile questions and design research projects to help them answer these questions. The course is to be offered with Conduct of Inquiry I.

GOVT 704: Approaches to Political Understanding

This course includes a survey and analysis of alternative theories of knowledge in the social sciences. Students are taught the epistemological norms of modern empiricism, the critique of empiricism, linguistic analysis, phenomenology, ethnomethodology, hermeneutics, critical theory, structuralism, and post-structuralism. Applications are to the study of political science and public administration.

GOVT-720: Seminar in Policy Analysis: Advanced Quantitative Methods

This course is primarily concerned with regression analysis of political phenomena via maximum-likelihood estimation. In many situations, Ordinary Least Squares (OLS) is unsuitable for analyzing data that are of interest to social scientists. This course introduces students to a set of methods and techniques

for handling situations in which the assumptions of OLS are violated. In particular, the methods employed are concerned with techniques for dealing with categorical and limited dependent variables. Models covered include: logit, probit, and models for event counts. The class also considers models for dealing with sample selection. Although there is emphasis on the technical aspects, most of the attention is directed to the application of these methods and the presentation of the results.

>>> SAMPLE COURSE TIMELINE

The following timeline is based on a hypothetical student who enters the doctoral program with a master's degree and selects the subfield in Comparative Politics. This is for illustrative purposes only—every student's program of study differs.

Fall 2014	Spring 2015
GOVT 612: Conduct of Inquiry I GOVT 730: Seminar in Comparative Politics GOVT 696: Research Design	GOVT 613: Conduct of Inquiry II GOVT 734: Democratization and Democratic Institution: Theory and Cases GOVT 735: Social and Political Movements, Ethnicity and Nationalism
Summer 2015: Start work on qualifier paper (to be defended at end of second year).	
Fall 2015	Spring 2016
GOVT 720: Seminar in Policy Analysis: Advanced Quantitative Methods GOVT 710: Seminar in American Politics GOVT 711: Seminar on the U.S. Congress	GOVT 712: Campaigns and Elections Methodology Elective First Field Elective or Directed Reading with Faculty Advisor
Summer 2016: Defend qualifier paper and prepare for comprehensive exams	
Fall 2016	Spring 2017
Take first comprehensive exam	Take second comprehensive exam Defend dissertation proposal
Summer 2017: Work on dissertation and prepare for the job market	
Fall 2017	Spring 2018
Work on dissertation Submit job applications and interview for jobs	Finish dissertation research and write dissertation for proximate defense

>>> PROGRAM OF STUDY WORKSHEET

Student: _____ AU ID: _____ Updated: _____

Cohort: _____ Deadline for degree completion: _____

Major Field: American/Comparative Politics	Instructor	Semester	Grade

Second Field: American/Comparative Politics	Instructor	Semester	Grade

Methodology Courses	Instructor	Semester	Grade

Other Degree Requirements	
Qualifier defense	
Comprehensive exam in Comparative Politics	
Comprehensive exam in second field	
Dissertation prospectus defense	
Final dissertation defense	

Qualifier paper committee (3): _____, _____, _____

Dissertation chair: _____

Dissertation committee members (2+): _____, _____

>>> ANNUAL EVALUATION

The faculty evaluates 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 the student. For students failing to make sufficient progress, the letter will identify the improvements that must be made and provide a timetable 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 assistants)
- Passing both comprehensive exams shortly after completing required coursework
- 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 the PhD program director, their faculty adviser, or another faculty member if they are having trouble fulfilling their obligations.

>>> QUALIFIER PAPER AND COMPREHENSIVE EXAMS

Qualifier Paper

By the end of the second year of study, all students must “qualify” to continue in the program by successfully defending an original research paper before a committee of three faculty members (who are to be chosen at the end of the first year). All qualifier presentations must occur between January 15th and May 30th of the second year.

The purpose of the qualifier is to identify whether students are making adequate progress toward becoming top-notch researchers in their area of interest. Students can write the paper on any topic relevant to their program of study, but it must be at a level suitable for presentation at a professional conference. Students are encouraged to work on this paper with members of their qualifier committee, who will be the ones to establish clear guidelines and expectations for the format it will take.

Once the student assembles a committee, he/she is expected to work closely with the members and circulate drafts of the qualifier. Faculty members must receive the final version of the paper at least two weeks before the formal presentation by the student, which will be followed by up to an hour of questions by the faculty committee.

Passing the qualifier is a necessary but insufficient condition for continuing in the doctoral program. To continue in the program, students must also demonstrate satisfactory performance in their courses and assistantships.

Comprehensive Exams

Students must pass comprehensive exams in their two substantive fields by the end of their course work (there is no exam in research methods). Students must complete all course requirements for a field prior to sitting for that field's exam. Students may take no more than one comprehensive exam per term. Exams are offered once in the fall, spring, and summer, typically within 3–4 weeks of the start of the term. Previous comprehensive exam questions are available on Blackboard.

Subfield exams in American politics and comparative politics take the form of a 72-hour take-home, open book, open note essay. Students must compose their own, original answers in the three days after they receive it. Questions will be written by research active faculty in each subfield, although American politics faculty may occasionally be asked to draft questions for the comparative exam and vice versa.

All exams are graded by two faculty members who evaluate each exam as unsatisfactory, satisfactory, or (in rare cases) distinction. The process is double-blind, meaning students do not know who will grade their exams and faculty readers do not know whose exams they are grading. If both faculty readers assign the same grade to an exam, then the grade is final. When grades differ (e.g., one reader grades the exam as satisfactory and the other grades it unsatisfactory), the exam is graded by a third faculty reader to break the tie. Students receive written feedback from all readers.

If a student's exam is unsatisfactory, then he or she may retake the exam the following semester. Students unable to pass an exam on the second attempt the next semester will be dismissed from the program. Students may not earn a grade of distinction on an exam they retake.

Students are welcome to select a second field in SPA. They may occasionally, with permission from the PhD director and relevant faculty, select a second field offered by another PhD-granting department at AU. In that case, students are required to follow the relevant department's requirements regarding eligibility, format, and evaluation.

>>> 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 body of work 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 monograph model, much more prevalent in GOVT to date, is organized as though students are writing a single monograph with one overarching thesis, whereas the three-paper model consists of three "stand alone" manuscripts linked by fairly short introductory and concluding chapters. While the "book model" is much more frequent in GOVT dissertations, some faculty

members prefer one format over another, and students should coordinate with their committee chair to determine which format to use.

Choosing the Committee

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 Doctoral Program Director and the Doctoral Council.

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

Each committee must include a minimum of three members, though most committees consist of four members. Every doctoral dissertation committee must have one reader external to the department in which the doctoral student is a candidate. The external reader may also be external to the university, as warranted. 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.cfm#4.5.4>.

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 at <http://www.american.edu/provost/grad/res-pol-proc.cfm>.

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 faculty members for advice on who should serve on the committee.

Writing and Defending the Prospectus

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 that the student's plan of action will likely 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, although committee members may request additional time.

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. 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. Many 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. But the prospectus defense may also shed new light on the (in)sufficiency of the student's topic or the student's ability to complete the dissertation in a timely fashion. Thus, students should not assume a favorable outcome.

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

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, then the student works with the staff graduate adviser to identify a date and time that will work for all involved. Defenses are typically scheduled within six weeks of the request to defend.

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 student will choose a non-committee member, usually a faculty member with whom the student is familiar, to convene the defense. The convener moderates committee and attendee questions and records the results of the committee's deliberations. 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 further review.
- The dissertation is not passable, and the student will be required to defend the project again after a series of revisions. It is rare that dissertations do not pass the oral defense; committee members are unlikely to approve the scheduling of a 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>.

>>> REGISTRATION AND ADVISING

Course Scheduling

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., studying for comprehensive exams, 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.*

Students may meet with the doctoral program director and/or faculty and staff advisors each semester prior to registering for courses to ensure field requirements are being met as efficiently as possible. Those who elect a field outside the Department of Government should confirm with the faculty PhD program director and/or the relevant departmental advisor to ensure requirements are met.

Consortium Classes

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 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, the PhD Director and other faculty will review course materials to ensure the class is appropriate to take. The PhD staff director will then help students submit all appropriate paperwork and obtain relevant administrative approvals.

Transfer Credits

The 60 hours of required coursework are reduced to 36 hours for students who enter with a master's degree in an area related to political science. AU permits the transfer of six additional 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.

Independent Study Courses

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

Dissertation Credits

Once a student finishes required coursework, he or she registers for GOVT 899 each semester until completion (or until the student runs out of funding eligibility). This course is graded as “satisfactory progress (SP)” or “unsatisfactory progress (UP)” but does not count toward the student’s GPA. Students registered for GOVT 899 are considered full-time for the purposes of financial aid. There are limits on the number of GOVT 899 courses students can take. The student should check with faculty and staff advisors to get the best information on this important matter.

Grading System

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

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 the doctoral program director if you have questions about the benefits and drawbacks of these options.

Incomplete Grades

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

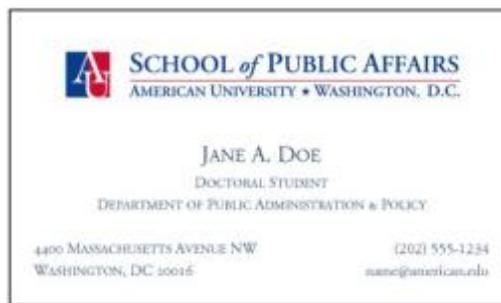
Mail

If students wish to receive mail at the department, then they should use the following address:

Name
PhD Student, Department of Government
American University
4400 Massachusetts Avenue NW
Ward Circle Building, Suite 230
Washington, DC 20016-8130

Business Cards

The Department of Government 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 the GOVT chair's staff assistant.

Greenberg Seminars for Effective Teaching

The Greenberg Seminars for Effective Teaching is a university-wide program that provides a hands-on, practical introduction to professional development and classroom techniques. The seminars, designed for first-, second-, and third-year doctoral students, convene three or four times each semester.

First-year students receive an introduction to teaching with seminars focusing on topics designed to improve the learning environment. Seminar topics include how to develop community in the classroom, understanding the diversity of the campus population in the 21st century, developing interactive and exciting lectures and classroom activities, accessing campus resources that support faculty-student interaction, and balancing teaching responsibilities with demands for scholarship and service.

Second-year students learn strategies to manage a classroom through discussion of conceiving classes and designing syllabi. Time is also devoted to discussing the role of technological innovation in teaching. Students who participate in the Greenberg Seminars are also eligible to compete for funds to travel to teaching-related conferences.

The final year provides an opportunity for students to teach their own class. To prepare for this responsibility, faculty help students prepare a syllabus, select texts, design assignments, and anticipate inevitable challenges. Year three also prepares students for the job market by staging mock interview sessions with a dean and department chair. Separate and additional funds for conference travel and other research-related expenses may be available to Greenberg Seminar participants.

More information is available at <http://www.american.edu/ctrl/greenbergseminars.cfm>.

Conference Travel Support

Students on a GOVT-funded assistantship qualify for \$1,000 per year in travel support throughout their assistantship. All other students 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
- A faculty advisor and the PhD Director sign off on the proposed paper being presented and request to attend the conference.

Funding follows the AU fiscal year (May 1 – April 30). AU does not permit students to “roll over” unused travel funds from one year to the next.

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

Students must submit a form requesting travel funding to the Director of Graduate programs. They must then request reimbursement upon return. These forms are available on the doctoral program Blackboard page, and via AU’s portal.

>>> ACADEMIC AND TECHNOLOGY RESOURCES

Office of Graduate Studies

AU’s Office of Graduate Studies 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 more information about activities underway in Graduate Studies, visit <http://www.american.edu/provost/grad/index.cfm>.

Academic Support Center

Academic Support 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 Center (ASC) counselor to identify necessary documentation.* The ASC 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/asc/>.

Writing Lab

The Writing Lab 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 Lab. 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 <http://www.american.edu/ocl/asc/Writing-Lab-About-Us.cfm> for more information.

Computer Labs

The SPA computer lab provides 35 computers with most major statistical software packages for student use. It is located in the Sub-Terrace of the Ward Circle Building and is staffed by an advanced graduate student with expertise in research methods and statistical software. Visit <http://www.american.edu/ctrl/spalab.cfm> for more information.

The Center for Teaching, Research, & Learning (CTRL) lab includes a classroom with 21 stations and a general work area housing 11 computers. All CTRL computers are equipped with statistical software packages such as Stata, SPSS, and SAS. It is located in room 202 of Hurst Hall, and like the SPA computer lab, CTRL lab is staffed by an advanced graduate student with expertise in research methods and statistical software. Visit <http://www.american.edu/ctrl/lab.cfm> for more information.

>>> HEALTH AND WELLNESS RESOURCES

Counseling Center

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

The staff of Disability Support Services (MGC 206, x3315) works to ensure that 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/dss> for more information.

Jacobs Fitness Center

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

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

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 RESOURCES

International Student and Scholar Services

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 Butler Pavilion room 410 and can be reached at x3350. It is open Monday–Friday, 9 a.m. – 5 p.m.

Individual Instruction

The Academic Support Center (ASC) 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 ASC staff. A workshop schedule is available online and in the ASC 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 ASC counselor for international students to discuss registering for the workshop.

Tutor Referrals

The ASC 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 (\$10–12 per hour). The ASC counselor for international students or the Tutoring Services coordinator can provide referrals to peer tutors. Tutor request forms are available online and in the ASC office.

Writing Assistance

The ASC Writing Lab offers more than 75 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

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

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

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) or National Institutes of Health (NIH) online certification programs. More information about these programs can be found at <http://www.american.edu/irb/IRB-Training.cfm>.

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

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.

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.

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.

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.

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.