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### Fall 2013

<table>
<thead>
<tr>
<th>Date</th>
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<tr>
<td>August 26</td>
<td>Fall classes begin</td>
</tr>
<tr>
<td>September 2</td>
<td>Labor Day; no classes, university offices closed</td>
</tr>
<tr>
<td>September 9</td>
<td>Last day to add a fall course</td>
</tr>
<tr>
<td>October 11</td>
<td>Fall Break; no classes, university offices open</td>
</tr>
<tr>
<td>October 18</td>
<td>Last day to drop a fall course or change a grade option</td>
</tr>
<tr>
<td>October 25</td>
<td>Spring 2014 priority registration for graduate students begins</td>
</tr>
<tr>
<td>November 8</td>
<td>Dissertations due in deans' offices for fall degree candidates</td>
</tr>
<tr>
<td>November 26</td>
<td>Tuesday classes cancelled; Friday classes meet</td>
</tr>
<tr>
<td>November 27–December 1</td>
<td>Thanksgiving holiday; no classes; university offices closed Thursday and Friday</td>
</tr>
<tr>
<td>December 6</td>
<td>Fall classes end</td>
</tr>
<tr>
<td>December 9–16</td>
<td>Fall final examinations</td>
</tr>
<tr>
<td>December 19</td>
<td>Fall final grades due</td>
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<tr>
<td>December 24–January 1</td>
<td>Winter break; university offices closed</td>
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### Spring 2014

<table>
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<tr>
<td>January 13</td>
<td>Spring classes begin</td>
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<tr>
<td>January 20</td>
<td>Martin Luther King, Jr. Day; no classes, university offices closed</td>
</tr>
<tr>
<td>January 27</td>
<td>Last day to add a spring course</td>
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<tr>
<td>March 7</td>
<td>Last day to drop a spring course or change a grade option</td>
</tr>
<tr>
<td>March 9–16</td>
<td>Spring break; no classes, university offices open</td>
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<tr>
<td>March 21</td>
<td>Fall 2014 priority registration for graduate students begins</td>
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<tr>
<td>March 31</td>
<td>Summer 2014 registration begins</td>
</tr>
<tr>
<td>April 28</td>
<td>Spring classes end</td>
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<tr>
<td>April 30–May 6</td>
<td>Spring final examinations</td>
</tr>
<tr>
<td>May 9</td>
<td>Spring final grades due</td>
</tr>
<tr>
<td>May 11</td>
<td>Commencement Ceremonies: School of Public Affairs (9:00 a.m.)</td>
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</table>
Program Overview

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

- 60 credit hours of coursework, of which 24 are waived for students who enter with a master’s degree in a related field
- 4 semesters of colloquium credit
- Defense of an original research paper between the first and second years of study (May 1 – September 30)
- Completion of two written comprehensive exams
- Defense of a dissertation

Course requirements are divided into three fields of study:

1) Public Administration (4 courses)
2) A second field (4 courses)
3) Research methods (4 courses)

The second field is designed to provide students flexibility in tailoring coursework to their individual research interests. There are three ways to fulfill this requirement:

- Students may select a second major field in Public Policy, American Politics, Comparative Politics, Justice, or Law & Society. Major fields require four courses and a comprehensive exam.

- Students may select a minor field, which includes two required courses and two elective courses, for a total of four courses. Minor field options include Public Policy, American Politics, Comparative Politics, Justice, and Law & Society, as well as any minor doctoral field offered by another AU program.

- Students may create an individualized minor field, which includes two required courses and two elective courses, for a total of four courses. This option requires the student to identify a faculty member who is willing to advise the student on course selection and write and evaluate the comprehensive exam. Students have recently created fields in areas such as Nonprofit Management, Public Budgeting and Finance, Environmental Policy, and Global Health Policy.

Colloquium in Public Administration & Policy

In addition to meeting the course requirements outlined above, all students are required to register for four semesters of colloquium credit. PUAD 089: Colloquium in Public Administration & Policy is a zero-credit hour course that is graded on a satisfactory/unsatisfactory basis. Students receive a satisfactory grade in this course by attending departmental research seminars, research presentations by candidates for faculty positions, and other special lectures and events as advertised.

Public Administration Field Requirements

The major field in Public Administration requires four courses and a written comprehensive exam at the end of the program of study.

Required:  
PUAD 710: Proseminar in Public Administration

Three of the following:  
PUAD 712: Democratic Constitutionalism  
PUAD 714: Organization Theory & Behavior  
PUAD 718: Public Management  
PUAD 732: Policy Implementation
Public Policy Field Requirements

Many students pursue a field in Public Policy, either as a second major field or as a minor field. Both major and minor fields in Public Policy require students to pass a written comprehensive exam at the end of the course of study. The following courses are required for a major field in Public Policy:

**Required:**
- PUAD 730: Proseminar in Public Policy
- PUAD 732: Policy Implementation
- PUAD 670: Economics for Policy Analysis

**One of the following:**
- PUAD 613: Global Governance and Public Policy
- PUAD 619: Ethics and Public Policy
- PUAD 685: Health Care Policy
- PUAD 685: Environmental Sustainability
- PUAD 685: Environmental & Natural Resource Policy Analysis
- PUAD 685: Public Policies for Energy & the Environment
- PUAD 696: Global Public Health Policy

A minor field in Public Policy requires two courses: PUAD 730: Proseminar in Public Policy and any one of the courses listed above.

**Individualized & Non-DPAP Field Requirements**

Students who choose to complete an individualized minor field must complete two courses chosen in consultation with their faculty advisor. All individualized minor fields also require a written comprehensive exam at the end of the course of study. Recent students have created minor fields in Nonprofit Management, Public Budgeting & Finance, and Global Health Policy.

Students who elect a field offered by another AU department must fulfill all requirements enforced by that department. Recent students have chosen fields offered by the Departments of Government and Justice, Law, and Society as well as the School of International Service.

Students who elect a minor field as their second field must take two additional graduate-level electives related to their research interests. These elective courses can expand upon coursework from the major, minor, or research methods fields. Electives are chosen in consultation with the faculty advisor.

**Research Methods Field Requirements**

All students complete a third field in research methods. Students demonstrate mastery of this field through the successful completion of four courses. No comprehensive exam is required. The following courses are required, but students who have already taken the equivalent of GOVT 612 and/or GOVT 613 may substitute different courses in their place:

**Required:**
- GOVT 612: Conduct of Inquiry I
- GOVT 613: Conduct of Inquiry II

**Two of the following:**
- GOVT 614: Quantitative Research Design
- GOVT 615: Qualitative Research Design
- ECON 505: Introduction to Mathematical Economics
- ECON 523/524: Applied Econometrics I-II
- ECON 723/724: Econometric Methods I-II
- SIS 680: Qualitative Methods & Methodology
- SOCY 623: Qualitative Analysis
- STAT 522: Time Series Methods
- STAT 616: Generalized Linear Models

The research methods field can be tailored to a student’s particular needs and interests. Students who have already demonstrated the competencies addressed in the Conduct I-II course sequence can explore options in other departments or other DC-area consortium universities. See Professor Stazyk for more information.
The following courses reflect those most DPAP students take to fulfill requirements in the Public Administration, Public Policy, and Research Methods fields. Students pursuing a field in another AU department should be able to obtain course descriptions from the relevant department. All 500- and 600-level courses are open to doctoral and master’s students; 700-level courses are open only to doctoral students.

Public Administration Courses

**PUAD 710: Proseminar in Public Administration**
This course provides students with a deep understanding of the intellectual history of public administration in the United States. It analyzes the development of public administrative thought by assessing the substance, impact, and historical context of many of the classic works in the field.

**PUAD 712: Seminar in Public Administration and Democratic Constitutionalism**
This course focuses on the incorporation of democratic constitutional theory, values, and processes into U.S. public administration since the 1940s. It covers the constitutional dimensions of the separation of powers, federalism, and individual rights; administrative law; and representative bureaucracy, with emphasis on classic and integrative literature.

**PUAD 714: Seminar in Organization Theory**
This course covers traditional and modern theories of organizations and their utility in explaining public administrative behavior. It includes structural, cultural, decision, political, and reliability theories and how each applies to public-sector organizations.

**PUAD 718: Seminar in Public Management**
This course covers public management and governance, including the tradition of management in the field of public administration, its evolution, and its contemporary character. The influence of New Public Management (NPM) and related strategies, such as performance management, contracting, privatization, outsourcing, and network management are examined.

**PUAD 732: Seminar in Policy Implementation**
This course covers the evolution of research and theory-building in policy implementation. Emphasis is placed on the theories, frameworks, and methodological challenges facing researchers in the field.

Public Policy Courses

**PUAD 730: Proseminar in Public Policy**
This course is an overview of the public policy field. It examines literature in three disciplines: neo-classical economics, political science, and public choice. Each disciplinary perspective is used to analyze the institutions most directly involved in policy formation (voters, interest groups, and congress) and implementation (Congress and the bureaucracy).

**PUAD 732: Seminar in Policy Implementation**
This course covers the evolution of research and theory-building in policy implementation. Emphasis is placed on the theories, frameworks, and methodological challenges facing researchers in the field.

**PUAD 613: Global Governance and Public Policy**
Considers what it means to govern and to create and carry out public policy at the global level. The course examines institutions with international scope such as the World Bank; the UN system and international NGOs; and policy issues with cross-national dimensions such as climate change; trade, and human rights.

**PUAD 619: Ethical Issues in Public Policy**
Consideration of the ethical issues that arise in the formation and implementation of public policy. Includes the use of ethical standards as a guide to public policy making, how they differ from other approaches to decision making, and analysis of specific ethical controversies and challenges.
PUAD 670: Economics for Policy Analysis
This course covers microeconomic tools for policy analysts, including resource scarcity, opportunity cost, theory of the consumer, theory of the firm, consumer, and producer surplus, market equilibrium, allocative and productive efficiency, welfare economics, market failure, intended and unintended consequences of policy interventions, efficiency versus equity, and cost-benefit analysis.

PUAD 685: Urban Policy and Community Development
Contemporary American cities offer benefits to citizens far beyond their boundaries, yet are also a source of some of the most intractable policy challenges. Concentrated crime and poverty, housing and economic segregation, failing schools, political corruption, social isolation, and a lack of vitality and innovation mark many urban and suburban communities. This course provides students with both the analytic tools to understand and tackle the policy problems of cities and localities, as well as substantive knowledge in critical areas.

PUAD 685: Education and the American Policy System
This course analyzes K-12 and higher education policy in the institutional setting unique to the United States. The analytic lens for the course includes federalism and intergovernmental relations, the role of fragmented governing systems, and the incentives used to execute policy mandates.

PUAD 685: Public Policies for Energy and the Environment
This course provides a review, analysis, and evaluation of environmental and energy policies, including energy production and consumption, air and water pollution, climate change, regulation of toxic chemicals, land and resource management, habitat protection, and the effects of new and emerging technologies. The course considers substantive issues, strategies, analytical approaches, and the political perspectives that influence policy framing, evaluation, and implementation.

PUAD-696: Nonprofit Policy Advocacy and Law
This course examines both how policy influences nonprofits as well as how nonprofits impact policy. It addresses the role of nonprofit organizations in the public policy process including advocacy strategies and techniques and examines how laws shape nonprofit involvement in that process. The course also reviews state and federal policy that enables and regulates nonprofits, including legal forms, tax exemption, fundraising regulations, and employee compensation.

PUAD-696: Quantitative Methods for Policy Analysis III
This course applies advanced econometric techniques to policy analysis. The course covers extensions to the linear regression model, including instrumental variables and panel-data methods, as well as an introduction to the estimation and interpretation of nonlinear regression models, such as those for limited dependent variables, quantile regression, sample-selection corrections, and survival analysis.

Research Methods Courses

GOVT 612: Conduct of Inquiry I
Concepts, approaches, and methodologies of research in political science and public administration; probability, sampling; quantitative data analysis, including hypothesis testing and estimation; qualitative data analysis and measures of association.

GOVT 613: Conduct of Inquiry II
Continuation of GOVT-612. The use of bivariate and multivariate analysis in political and administrative research; analysis of organizational decision models.

GOVT 614: Quantitative Research Design
The use of survey research and case studies for the study of political and administrative behavior. Instruction in the use of the computer as an aid in political and administrative research.

GOVT 615: Qualitative Research Design
A survey of political science research methodologies focusing on qualitative, theoretical, and empirical alternatives to positivistic approaches, based on new philosophies of science such as scientific realism. Includes alternative means of data development, cultural, structural and functional theories applicable to political research, and theory testing.
ECON 505: Introduction to Mathematical Economics
Review of logarithms and differential calculus. Introduction to matrix algebra with emphasis on economic applications. Comparative static analysis of linear models. Introduction to multivariate differential calculus with applications to optimization in consumer and producer theory. Comparative static analysis of nonlinear models. Introduction to difference equations and analysis of dynamic models.

ECON 523: Applied Econometrics I
A review of probability, descriptive statistical inference, and hypothesis testing; basic bivariate and multivariate OLS models; nonlinear regressions and interactions effects; heteroskedasticity; and autocorrelation. Includes an introduction to statistical software.

ECON 524: Applied Econometrics II
More advanced topics of econometrics, including time-series techniques; limited dependent variable models; simultaneous equations; instrumental variables; and panel data methods.

ECON 723: Econometric Methods

ECON 724: Advanced Econometric Methods
Extension of econometric theory (least squares and maximum likelihood). Main topics include generalized least squares, nonlinear models, sets of equations (including simultaneous equations), instrumental variables, discrete choice, and censored models. Practice with data and working on an empirical research paper is part of the class.

SIS 680: Qualitative Methods and Methodology
This online course examines three leading qualitative approaches to the production of knowledge about world politics: comparative case studies, participant observation, and the analysis of social networks. It considers theoretical and application issues, as well as reading and discussing exemplary work in each of these different approaches. The course provides students with a "toolkit" for the analysis of questions and issues not amenable to quantification.

SOCY 623: Qualitative Analysis
This course presents the scope and aims of analyzing qualitative data, with attention to epistemological difference between qualitative and quantitative research methods. It focuses on a broad range of techniques for analyzing qualitative datasets and the utility of qualitative data analysis, as well as issues raised in the coding strategies and the themes chosen to present evidence. It also engages analysis of qualitative data generated by particular applications of research methods, for example, program evaluation and community action.

STAT 522: Time-Series Analysis
An introduction to the theory of time-dependent data. The analysis includes modeling, estimation, and testing of data in the time domain using autoregressive and moving average models.

STAT 616: Generalized Linear Models
Extension of regression methodology to more general settings where standard assumptions for ordinary least squares are violated. Generalized least squares, robust regression, bootstrap, regression in the presence of auto-correlated errors, generalized linear models, logistic and Poisson regression.
Potential Electives for Individualized Fields

The following are examples of courses students have completed to satisfy individualized fields in three popular areas: Nonprofit Studies, Public Budgeting and Finance, and Environmental Policy. This list is not exhaustive, and any individualized field that matches the student’s research interests and fits with the mission of the program is an option. See Professor Stazyk if you have questions about potential fields and courses not included in the handbook.

Nonprofit Studies

PUAD 681: Managing Nonprofit Organizations
The application of management theories and practices in nonprofit organizations. Establishment and sustainability of nonprofit organizations, strategic management principles, organizational structures and processes, multiple funding sources and their impact on budget decisions, staff/board relationships, human resource practices, use of volunteers, accountability systems, and methods for determining organizational effectiveness.

PUAD 682: Nonprofit Resource Development
Nonprofit organizations support themselves through many different sources, including charitable gifts and grants, government grants and contracts, earned income from fees, memberships and sponsorships, returns on investments, volunteer labor, gifts-in-kind, and other sources. They also mix these sources of income in many different ways. This course illuminates the theoretical rationales and practical considerations involved in developing and utilizing particular sources of income and in selecting appropriate combinations or portfolios, so that nonprofit organizations can effectively advance their particular missions, sustain the infrastructure of their organizations, remain financially healthy, and manage risk, change and growth.

PUAD 683: Marketing for Nonprofit Organizations
This course covers the principles of planning; execution, and assessment of strategic marketing in nonprofit organizations. Students learn how to incorporate marketing activities into organizational structures; understand target audience characteristics and desires; develop and launch new offerings; achieve effective market segmentation; positioning; and branding; identify various elements of the marketing mix (product; price; place; and promotion); and evaluate effectiveness of marketing initiatives. Students also read and present research articles; discuss case studies; interact with guest speakers; and prepare a marketing plan for a nonprofit organization.

Public Budgeting & Finance

PUAD 631: Financing Government Services
May be repeated for credit with different topic (taxation or expenditure analysis). The practice of public finance and expenditure analysis. Taxation examines revenue instruments and their administration, as well as general principles of public finance. Expenditure analysis focuses on public sector expenditures and the demand for government services in areas such as education, transportation, infrastructure, public safety, health, and social support.

PUAD 633: Budgeting and Financial Management
Public sector budgeting and budgetary processes, including budget execution and control; cost estimation; capital financing and debt management; performance budgeting; cost-benefit analysis; basic government accounting; and financial statements.

PUAD 671: Cost-Benefit Analysis
Course on the theory and practice of applied welfare economics for evaluating private, nonprofit, and public projects from a public interest standpoint. Development and illustration of cost benefit analysis concepts, techniques, methods, and criteria through applications to a wide range of public policy issues such as economic development, infrastructure, social, and environmental projects. Integrated use of spreadsheet modeling framework to quantify benefits and costs, and to facilitate sensitivity and risk analysis.

ECON 541: Public Economics
Rationale for the existence of the public sector. Theory of public goods and taxation. Usually offered alternate springs (odd years).

ECON 633: Financial Economics
Institutional and theoretical aspects of creating, holding, and exchanging financial assets—money, credit instruments, and equities. The liabilities created by financial intermediaries and the role of government in financial markets.
Environmental Policy

PUAD 685: Public Policies for Energy and the Environment
This course provides a review, analysis, and evaluation of environmental and energy policies, including energy production and consumption, air and water pollution, climate change, regulation of toxic chemicals, land and resource management, habitat protection, and the effects of new and emerging technologies. The course considers substantive issues, strategies, analytical approaches, and the political perspectives that influence policy framing, evaluation, and implementation.

PUAD 685: Environmental Sustainability and Public Policy
This course examines and applies the concept of environmental sustainability. The focus of study is on environmental, energy, and natural resources issues in the context of their relationships with the economic, social, and governance systems. The course begins with the concept of sustainability, the environmental/ecological system as a critical component, and sustainability indicators. It then turns to an analysis of how environmental sustainability is applied at several levels of governance: local, regional, corporate, and international, and within different kinds of organizations. The course combines a theoretical assessment of environmental sustainability, analysis of several case studies for applying it, and an overview of tools and methods for integrating it into a range of organizations, such as life cycle analysis, environmental management systems, smart growth policies, and energy efficiency analysis.
The following timeline is based on a hypothetical student who enters the doctoral program with a master’s degree and selects major fields in Public Administration and Public Policy. This is for illustrative purposes only—every student’s program of study differs.

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| GOVT 612: Conduct of Inquiry I  
PUAD 710: Proseminar in Public Administration  
PUAD 730: Proseminar in Public Policy  
PUAD 089: Colloquium in PA & Public Policy | GOVT 613: Conduct of Inquiry II  
PUAD 714: Organization Theory & Behavior  
PUAD 718: Public Management  
PUAD 089: Colloquium in PA & Public Policy |

Summer 2014: Defend qualifier paper

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</table>
| ECON 524: Applied Econometrics II  
PUAD 670: Economics for Policy Analysis  
PUAD 712: Democratic Constitutionalism  
PUAD 089: Colloquium in PA & Public Policy | PUAD 604: Public Program Evaluation  
GOVT 615: Qualitative Research Methods  
PUAD 732: Policy Implementation  
PUAD 089: Colloquium in PA & Public Policy |

Summer 2015: Prepare for comprehensive exams

<table>
<thead>
<tr>
<th>Fall 2015</th>
<th>Spring 2016</th>
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| Take first comprehensive exam | Take second comprehensive exam  
Defend dissertation proposal |

Summer 2016: Work on dissertation and prepare for the job market

<table>
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<tr>
<th>Fall 2016</th>
<th>Spring 2017</th>
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| Work on dissertation  
Submit job applications and interview for jobs | Finish dissertation research  
Defend dissertation |
## PROGRAM OF STUDY WORKSHEET

Student: ___________________________  AU ID: ___________________________  Updated: ___________

Cohort: ___________________________  Deadline for degree completion: ___________________________

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<thead>
<tr>
<th>Major Field: Public Administration</th>
<th>Instructor</th>
<th>Semester</th>
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<th>Second Field: _________________</th>
<th>Instructor</th>
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<th>Research Methods</th>
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### Other Degree Requirements

- Human subjects ethics training
- PUAD 089 colloquium credit
- Qualifier defense
- Comprehensive exam in Public Administration
- Comprehensive exam in second field
- Dissertation prospectus defense
- Final dissertation defense

Qualifier paper committee (3): ___________________________  ___________________________  ___________________________

Dissertation chair: ___________________________

Dissertation committee members (2+): ___________________________  ___________________________
The faculty evaluate every student’s progress at the end of each academic year. The purpose of the evaluation is to identify whether each student is making sufficient progress toward completion of a doctoral degree. The results of this meeting are conveyed through an evaluation letter to students. For students failing to make sufficient progress, the letter will identify the improvements that must be made and provide a time table in which to do so. Students unable to fulfill these obligations are likely to be dismissed from the program.

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

- Completing all required courses in a timely manner (e.g., no incomplete grades)
- Earning a 3.2 GPA or higher in all coursework
- Receiving satisfactory performance appraisals from faculty supervisors (for research 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 Professor Stazyk, Professor Langbein, or another faculty member if they are having trouble fulfilling their obligations. The faculty will do their best to accommodate student needs.
First-Year Qualifier Paper

At the end of the first 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. All qualifier presentations must occur between May 1 and September 30.

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 present a revised version of a strong course paper from the fall or spring semester.

The qualifier consists of a 20–30 minute formal presentation, followed by up to an hour of questions by faculty. Students are required to submit their qualifier papers to committee members at least two weeks prior to the presentation.

Passing the qualifier is a necessary but insufficient condition for continuing on to the second year of study. Those who marginally pass the qualifier may be dismissed if the student has not performed well in courses or an assistantship.

Comprehensive Exams

Students must pass comprehensive exams in their two substantive fields at the end of their course of study (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.

Major field exams in Public Administration and Public Policy require students to answer three essay questions in 4.5 hours. Minor exams in Public Policy and individualized fields require students to answer two essay questions in 3 hours. Students may not use books, notes, or other materials. Exams are administered in the SPA computer lab.

Students who elect a minor field or second major field offered by another AU department are required to follow the relevant department’s requirements regarding eligibility, format, and evaluation.

All exams are graded by two faculty members, who evaluate them 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 readers.

If a student’s exam is unsatisfactory, he or she is allowed to retake the exam the following semester. Students unable to pass an exam on the second attempt are dismissed from the program. Students may not earn a grade of distinction on an exam they retake.
One of the primary goals of the program of study is to prepare the student to write a dissertation. It is a crucial component of the doctoral degree. Not only will the dissertation serve as a student's primary identity as a candidate on the job market, but it will also require the student to dedicate an extraordinary amount of time to a single, often narrow topic. Many students who drop out of doctoral programs do so at the dissertation stage, so students should anticipate the challenges ahead to ensure that they will not become one of them!

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

Choosing the Committee

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 formally designate 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 Professors Stazyk or Langbein for advice.

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 the student has a plan of action likely to result in the timely completion of the dissertation. The prospectus ultimately becomes a contract between the student and committee about what the dissertation will entail.

The requirements for the prospectus (e.g., formatting, length, and organization) vary by chair, but students are encouraged to seek examples from advanced students and communicate with their chair throughout the writing process. In general, the student works closely with the chair when writing the prospectus, and then distributes it to the remaining committee members once the chair has determined the prospectus is ready for defense. It is customary to provide committee members at least two weeks to review the prospectus. However, committee members may request additional time. Once all committee members have approved the prospectus, a formal defense is scheduled.
The prospectus defense is similar to the qualifier defense. The chair will determine the format, but it generally involves a short presentation by the student, followed by questions from the committee members. Most prospectus defenses last an hour or two. At the end of the defense, the committee will ask the student to step out while the members deliberate. Deliberation allows the committee to identify any changes the student must make to the proposed dissertation. Most students pass the prospectus defense insofar as a prospectus deemed unsuitable by committee members will typically be returned to the student for revision prior to the defense. At times, however, the prospectus defense may also shed new light on the sufficiency of the student’s topic or the student’s ability to complete the dissertation in a timely fashion.

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

Final Dissertation Defense

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

The 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 are made. It is rare that dissertations do not pass the oral defense as committee members are unlikely to approve the defense of an unsuitable dissertation.

The student will be required to submit the final dissertation, with all committee members’ signatures, to the registrar’s office by a particular deadline in order to qualify for graduation in that semester.

More information about AU requirements for the submission of the dissertation, including deadlines and formatting guidelines, can be found at [http://www.american.edu/provost/grad/etd/index.cfm](http://www.american.edu/provost/grad/etd/index.cfm).
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.

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

- 11:45 a.m. – 2:25 p.m.
- 2:35 – 5:15 p.m.
- 5:30 – 8:00 p.m.

Students are required to meet with Professor Stazyk 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 Public Administration and Policy should confirm with Bob Briggs 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, Professor Stazyk will review course materials to ensure the class is appropriate to take. Bob Briggs will then help students submit all appropriate paperwork and obtain relevant administrative approvals.

Transfer Credits

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 public administration. 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 PUAD 790: Doctoral Independent Study in Public Administration and Policy. Students are typically limited to two independent study courses. See Bob Briggs for the appropriate forms.

Dissertation Credits

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

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 Professor Stazyk 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.
Blackboard

Conferences, professional and social opportunities, and other announcements will be posted to the doctoral program page (PUAD 700: DPAP PhD Students) on Blackboard. Students can access this page by logging in with their AU ID and password at http://blackboard.american.edu. Students’ menu of courses should include this page, which provides links to professional associations, a student directory, and archives of past syllabi and comprehensive exam questions. Contact Professor Stazyk about problems accessing the doctoral page or with suggestions about other material that would be helpful to add.

Mail

There is a doctoral student mailbox near the front desk in the DPAP department suite. It is located at the top right corner of the faculty/staff mailboxes. Any mail students receive will be placed there for pick-up. If students wish to receive mail at the department, use the following address:

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

Business Cards

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

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

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 environment using mock teaching sessions. Time is also devoted to discussing the role of technological innovation in teaching.
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.

More information is available at [http://www.american.edu/ctrl/greenbergseminars.cfm](http://www.american.edu/ctrl/greenbergseminars.cfm).

**Conference Travel Support**

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

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

Funding follows the AU fiscal year (May 1 – April 30). Unfortunately, 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 authorization to travel as well as a form to receive reimbursement upon return. These forms are available on the doctoral program Blackboard page.
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.
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 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 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-I and J-I status are required to register full-time (9 credit hours) for each semester. International students with F-I or J-I 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-I/B-2 status are not eligible to register. Visitors in B-I/B-2 status must change their status to an F-I student status to study at AU. For more information regarding this INS regulation, contact ISS. International students in F-I or J-I status may not audit courses. Audited courses do not count toward a full course of study for the purpose of maintaining an F-I or J-I status.

**SEVIS: Student and Exchange Visitor System**

Effective January 30, 2003, universities enrolling F-I and J-I 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.
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](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](http://www.american.edu/irb/index.cfm).
Academic integrity stands at the heart of intellectual life. The academic community is bound by a fundamental trust that professors and students alike undertake and present their work honestly. As a community of the mind, we respect the work of others, paying our intellectual debts as we craft our own work.

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

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

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

02 Definition of Academic Integrity Violations

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

A. Violations Adjudicated under the Academic Integrity Code

1. Plagiarism

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

2. Inappropriate Collaboration

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

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

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

4. Dishonesty in Papers

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

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

6. Fabrication of Data

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

7. Interference with Other Students’ or Scholars’ Work

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

8. Bribes, Favors, and Threats

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

9. Other Academic Misconduct

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

B. Violations Adjudicated Elsewhere

1. Copyright Violations

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

.03 Adjudication of Academic Integrity Offenses

A. Jurisdiction

1. The Academic Integrity Code applies to all students enrolled at American University, except students at the Washington College of Law ("WCL"). WCL has a separate Honor Code and process for handling academic misconduct.

2. In cases where a combination of violations of academic and nonacademic regulations is alleged, students are subject both to the Academic Integrity Code and the Student Conduct Code.

3. Most charges of Academic Integrity Code violations are brought by the university faculty. Staff, students or others wishing to bring charges must identify themselves and work through the faculty member in whose course or academic activity the alleged Code violation has occurred. In unusual circumstances, students, staff, or others may bring suspected charges to the dean’s office. At the discretion of the dean, the dean’s office may initiate charges.

4. Each major teaching unit ("School or College") will have an Academic Integrity Code Administrator ("AIC Administrator") designated by the dean to manage the adjudication process. An AIC Administrator is usually a member of the dean’s staff.

5. To advise the dean in evaluating certain charges and determining actions to be taken, each School or College has an Academic Code Review Panel ("Panel") with a minimum of two faculty and one student. The Panel may be a standing or ad hoc committee of the major teaching unit.

B. The Adjudication Process

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

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

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

2. Administrative Jurisdiction

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

a. Faculty members reporting an allegation of dishonesty to the AIC Administrator should do so normally within 10 business days from the date of discovery of the alleged dishonesty, supported by appropriate documentation.

b. At their discretion, faculty members may discuss the alleged misconduct with the student before the case is adjudicated. Faculty members, however, may not submit grades for the work in question or for the course until the case has been adjudicated. If the semester grades must be submitted before the adjudication process is complete, the faculty member should consult with the AIC Administrator about the proper grade notation.

c. After consulting with the faculty member, the AIC Administrator will promptly notify the student of the charge in writing and will arrange to discuss the charge with the student at a preliminary meeting. The AIC Administrator also will report the complaint to the chair of the department in which the alleged violation occurred. If the student is a member of another teaching unit, the AIC Administrator also will report the complaint to the student’s dean.

d. At the preliminary meeting, the student will be presented with the charge and the evidence, advised of the Code procedures, apprised of sanction options, and given the opportunity to respond. Either at the meeting or within five (5) business days, the student must submit a written statement that (i) accepts or denies responsibility for the charge, (ii) explains what occurred and why, and (iii) elects to resolve the case through a decision by the AIC Administrator or through a Panel hearing. The student’s signed statement will become additional evidence in the case. If the student fails to attend this preliminary meeting, the AIC Administrator may proceed with the process as appropriate.

e. By electing a decision by the AIC Administrator, students waive the right to a hearing before the Panel. The AIC Administrator will arrange a meeting as soon as possible. If both the student and the AIC Administrator agree, a preliminary meeting may proceed directly into the next phase of adjudication. If the issue cannot be resolved in one meeting, the AIC Administrator may request additional meetings with the student.

f. The AIC Administrator may refer the case to a panel for decision, even if the student has elected decision by the AIC Administrator.

3. Decision by AIC Administrator

a. If the AIC Administrator adjudicates the case, the AIC Administrator will impartially gather evidence from the student, the complainant, and other appropriate parties and sources.

b. The AIC Administrator will review the evidence and findings with the student. The student will have an opportunity to respond to the evidence and may call witnesses. If the student fails to attend any part of this phase of the case, the AIC Administrator may proceed as appropriate.

c. At the conclusion of the process, the AIC Administrator will submit a written recommendation with supporting rationale for the findings and sanctions to the dean of the major teaching unit in which the alleged offense occurred.

d. The dean may affirm or modify the AIC Administrator’s recommendation or remand the case with instructions for further action. The dean’s decision is final and may not be appealed unless the sanctions include a permanent notation to the student’s academic record (III.C.2.b-d).

4. Academic Code Review Panel

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

a. Upon determining that a case should proceed to a Panel, the AIC Administrator will convene a Panel, convey the charge and the evidence, give guidance about the hearing process, and serve as a resource during the panel proceedings. The AIC Administrator may remain present during the Panel’s closed sessions. A faculty member will chair the Panel proceedings.
b. All Panel hearings will be closed to the public.

c. All Panel decisions related to the hearing process are by majority vote.

d. In cases in which a Panel member has a conflict of interest, the member will be excused from participation and replaced by a new member.

e. The student charged will have the opportunity to answer the charges.

f. The faculty member making the charge should be given the opportunity to be present or available to support the charge.

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

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

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

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

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

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

5. Other Adjudication Issues

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

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

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

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

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

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

C. Sanctions

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

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

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

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

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

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

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

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

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

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

D. Notifications and Appeals

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

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

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

E. Suspension and Dismissal

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

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

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

.04 Records of Disciplinary Actions

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

1. If the case results in a finding of “not responsible,” the file will be voided. A voided file will be so marked, will not constitute academic disciplinary records, and will not be kept with the student’s academic files. Voided files that are retained will be for administrative purposes.
2. If the case results in a “responsible” finding, the file will be retained as an academic integrity disciplinary record.

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

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

.05 Interpretation

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