



EVANS SCHOOL OF PUBLIC POLICY & GOVERNANCE  

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UNIVERSITY *of* WASHINGTON

# **STUDENT HANDBOOK**

## **2018–2019**



PH.D. IN PUBLIC POLICY AND MANAGEMENT



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# Preface

This handbook provides students with general information about the Evans School's Ph.D. in Public Policy and Management: curriculum, milestones, policies, and procedures. It includes important information about the School's academic policies and requirements. The handbook is also available on the Evans School website at: <http://evans.uw.edu/myevans/students/student-handbooks>.

By University of Washington (UW) regulations, all students must complete the Ph.D. degree program within 10 years of matriculating at the Evans School. Our goal is for students to complete the program in four years. Five years is the typical time to completion for our doctoral students.

For more general information on the School's mission, history, research, teaching, and public service initiatives, please see the Evans School's website: <http://evans.uw.edu/about/mission>.

All students should review this material and consult this handbook frequently as they progress through the Ph.D. program. This document is intended to accompany the UW *Graduate School's Policies and Procedures for Graduate Students* available online at <https://grad.uw.edu/policies-procedures/>. Please consult both for comprehensive information about policies and requirements.

No handbook or website can answer all the questions students may have, and certainly cannot replace contact with the faculty and staff there to serve them. The following faculty and staff may be helpful in answering your questions or providing assistance:

- Ann Bostrom, Professor and Ph.D. Faculty Coordinator
- Carrie Evans, Senior Assistant Dean of Student Services
- Barry Wall, Director of Admissions
- Marianne Kim, Ph.D. Program Coordinator
- Chloe Kinsey, Ph.D. Program Student Assistant
- Shannon Merchant, Director of Career Development
- Alison Cullen, Professor and Graduate Program Coordinator
- Mark Long, Professor and Associate Dean for Faculty Affairs

These individuals are responsible for administering the Evans School's academic and student services programs. They can answer questions about enrollment in the Ph.D. program, policies, the curriculum and its requirements, or any matter related to academic progress or student services at the School. For most matters specific to the Ph.D. program, the program coordinator or the faculty coordinator are likely to be the place to start. In addition, each new student is assigned a faculty advisor. The advisor is a valuable resource on questions about classes, resources on campus for academic study, or other matters of graduate-level academics. Students are urged to consult with their advisor often and wisely.

## **Program Overview**

The Ph.D. in Public Policy and Management is a research doctoral program that prepares its graduates for careers as faculty in university programs in public policy and management and for research positions in the public and nonprofit sectors. The Ph.D. program seeks to prepare scholars who can advance the state of research, practice, and the formation and evaluation of policies in the academic, public, and nonprofit sectors. It takes an interdisciplinary perspective in its curriculum and draws broadly on theoretical and methodological foundations in policy analysis and management and underlying disciplines.

## **Math Camp**

Required of entering Public Policy and Management doctoral students, the Evans School Ph.D. Math Camp is designed to level the playing field and prepare doctoral students for a rapid start in the Evans School Ph.D. microeconomics class. Math Camp lectures will cover optimization, multivariate calculus, and other related topics as determined by the instructor of the microeconomics core course. Students will be required to work problems in pairs or as a team during Math Camp.

# Section I: Ph.D. Degree Requirements

Ph.D. students must complete a minimum of 90 credits to earn the Ph.D. degree, generally through 60+ credits of coursework, and a minimum of 27 dissertation credits. The degree can be completed in four years, generally through two or more years of coursework with the remaining time for dissertation topic development and approval (third year), and research, writing, and defense (fourth year).

## Doctoral Degree Requirements

In order to qualify for the doctoral degree, it is the responsibility of the student to meet the following UW Graduate School and Evans School requirements:

1. Completion of a program of study and research as planned by the graduate program coordinator (here Professor Ann Bostrom, Ph.D. faculty coordinator) in the student's major department or college and the student's Supervisory Committee. The Graduate School requires that at least 18 credits of coursework at the 500 level and above must be completed prior to scheduling the General Examination. **Note: The Evans School requires 63 credits of coursework and satisfactory completion of the Major Area Paper prior to scheduling the General Examination.**
2. UW Graduate School requirements include completion of 90 credits, at least 60 of which must be taken at the University of Washington. Please note that although the UW Graduate School in principle allows an appropriate master's degree from an accredited institution to substitute for up to 30 credits of enrollment, this is **only** with the approval of the degree-granting unit (here the Evans School), and **the Evans School does NOT accept prior master's degree credits in the Ph.D. program.** In exceptional cases it may be possible to waive a particular core course with the approval of the Ph.D. faculty coordinator if prior coursework is similar and performance was satisfactory.
3. Numerical grades must be received in at least 18 quarter credits of course work taken at the UW prior to scheduling the General Examination, according to UW Graduate School minimums. The Graduate School accepts numerical grades in approved 400-level courses that are part of the major, and in all 500-level courses. A minimum cumulative GPA of 3.00 is required for a graduate degree at the University. **Note: The Evans School requires completion of 63 credits prior to scheduling the General Examination. All core courses (except**

**proseminars), area of specialization courses, and research methods courses must be taken for a numeric grade.**

This includes any independent study courses that are used to meet these requirements. This does not include independent study courses that are not taken to meet core course requirements, or dissertation credits taken after the General Exam. These courses may be taken for credit/no credit. Courses taken to meet the 63 credit requirement may be taken for credit/no credit, as long as they are not used to meet the core course, area of specialization, or research methods requirements.

4. Creditable passage of the General Examination. Registration as a graduate student is required in the quarter the exam is taken and Ph.D. candidacy is conferred. The General Exam is open to the public by University policy. Committee chairs should notify the faculty and other Ph.D. students of the scheduled date well in advance.
5. Preparation of, and acceptance by, the student's faculty Supervisory Committee and the Dean of the UW Graduate School of a dissertation that is a significant contribution to knowledge and clearly indicates training in research. Credit for the dissertation ordinarily should be approximately one-third of the total credit. The candidate must register for a minimum of 27 credits of dissertation (PPM 800 credits) over a period of at least three quarters. At least one quarter must come after the student passes the General Examination. **Note:** The Evans School limits dissertation credits to 10 prior to completion of the General Examination and these 10 dissertation credits *can only be taken during the same quarter as the GE*, not before. With the exception of summer quarter, students are limited to a maximum of 10 dissertation credits per quarter.
6. Creditable passage of a Final Examination, which is usually devoted to the defense of the dissertation and the field with which it is concerned. The General and Final Examinations cannot be scheduled during the same quarter. Registration as a graduate student is required in the quarter the Final exam is taken and the degree is conferred. The Final Examination is open to the public by University policy. Committee chairs should notify the faculty and other Ph.D. students of the scheduled date well in advance.
7. Completion of all work for the doctoral degree within 10 years. This includes quarters spent on-leave or out-of-status.

8. Registration maintained as a full- or part-time graduate student at the UW for the quarter in which the degree is conferred (see detailed information under Final Quarter Registration).
9. A student must satisfy the requirements that are in force at the time the degree is to be awarded.

Students should become familiar with UW Graduate School Doctoral Degree Policies at <https://grad.uw.edu/policies-procedures/doctoral-degree-policies/>. This site provides information on:

- doctoral degree requirements,
- appointment of doctoral supervisory committees,
- doctoral supervisory committee roles and responsibilities,
- general examination and admission to candidacy for doctoral degrees,
- candidate certificates,
- appointment and responsibilities of doctoral reading committees,
- final examination/ dissertation defense, and
- doctoral dissertations.

The following sections detail the content and expectations over the several years of the Evans School Ph.D. program.

## A. Year One

The first-year core curriculum prepares students to undertake independent scholarship in public policy and management. Prior successful coursework in the equivalent of university-level multivariate calculus is required before matriculation. In addition to the course requirements below, students have some elective options in the first year, along with more electives available in the second year (see sample course schedule in Section C). The core courses are:

- **Institutional Perspectives on Management (PPM 504, Autumn).** This foundation course prepares doctoral students for careers in research and teaching in public policy, management, and leadership. It examines competing contemporary theories of institutional design and action that illuminate pressing challenges of policy, management, and leadership.
- **Advanced Microeconomics for Policy Analysis (PPM 506, Autumn).** This course provides a doctoral-level introduction to microeconomic theory and tools used to



inform public policy analysis. The course covers individual and firm behavior, decisions under uncertainty, information, strategic behavior, property rights, transaction costs, externalities, public goods, and related topics. Preparation equivalent to freshman calculus (through multivariate) is a prerequisite.

- **Public Policy Processes (PPM 508, Autumn).** This course is concerned with research about policy processes. It is structured as a research seminar that combines theoretical frameworks for studying policy processes with discussion of both published and student research. The course seeks to include both domestic and comparative institutional perspectives.
- **Quantitative Methods (SOC 505 & 506, Winter-Spring).** Two core courses developing research skills in quantitative analysis are provided by the Department of Sociology. These two courses, offered in Winter and Spring Quarters, provide a foundation in the development, application, and diagnosis of linear models. Alternatively, qualified students may opt for the econometrics sequence offered in the Department of Economics (ECON 580 and 581), subject to approval by that department.
- **Research Design (PPM 502, Winter).** This course provides a doctoral-level applied social sciences background in theoretical and practical skills for designing and conducting research. Students are exposed to issues involved in research design decisions and to diverse problem-solving strategies at various stages of the research process. The course examines the logic of scientific inquiry, conceptualization and measurement of social phenomena, principles of research design, and alternative methods for describing, analyzing, and modeling primary and secondary data. It also provides practical skills in preparing research proposals.
- **Public Policy Analysis (PPM 510, Spring).** This course engages students in an explicit consideration of the role of policy research and analysis in public decision-making, as well as a review and synthesis of the policy research, analysis, and evaluation literature. Students assess the contributions and limitations of seminal and recent research, gain exposure to cutting-edge techniques, and identify unresolved and emerging research questions that offer opportunities for future inquiry.
- **Proseminar in Public Policy and Management (PPM 500A & B).** This weekly, one-credit course, offered throughout students' first two years in the program (PPM

500A in first year, 500B in second year), provides a vehicle to become familiar with research agendas and opportunities in the field and at the Evans School as well as other aspects of socialization into the academic process, including teaching, grant writing, and publishing. The second year proseminar also provides students with support in conceptualizing and progressing on their Major Area Paper assignment.

### **Qualifying Examination**

All students take the written qualifying examination, normally in mid-September, after their first year in the program. The examination requires students to demonstrate mastery of the material in the seven core courses taken during year one and to integrate knowledge across these courses. The exam is offered over three days, in two 4-hour blocks on successive days with 2 hours on the third day. The format of the exam will be announced at least a month prior to the exam. Historically, the exam has been in part or entirely closed book, with limited or no access to notes. Exam results will be shared with students by the first day of Autumn Quarter. Students must pass the exam to continue in the program. A student who does not pass all parts of the exam will be permitted a single retake of the parts not passed, which must be taken by December 1 following the September exam. Retake results will be shared with students by the day after grades are due for Autumn Quarter. A student who fails on this retake will not be permitted to continue in the Ph.D. program. Grades on individual parts and the qualifying examination as a whole are as follows: high pass, pass, and fail. In cases where the student's response is passing but contains notable weaknesses, these weaknesses will be communicated to the student with advice as to how to remedy them.

## **B. Year Two**

### **Advisory Committee**

With the aid of his/her faculty advisor, each student should form an Advisory Committee by the Spring Quarter of the second year (early in the second year is desirable) to serve an expanded role in advising the student, particularly on elective coursework, the Major Area Paper, and the development of a research agenda leading to the dissertation. The committee should consist of a primary advisor and one or two additional members. The primary advisor and at least one additional member must be from the Evans School (these members may have joint appointments in other units). A third member may be from outside the Evans School. The primary advisor and at least one other member of the committee must also be endorsed members of the UW Graduate Faculty. Members of this Advisory Committee will often form the nucleus of the official Supervisory Committee,

appointed in year three, that supervises the General Examination and dissertation phases of the student's Ph.D. program.

### **Teaching**

Students are expected to develop teaching competence during their Ph.D. program. This is initiated by participating in the Teaching Assistant Conference (1 credit optional), offered by the Center for Teaching and Learning (CTL), which takes place just before the Autumn Quarter of each year, or another course or seminar with similar aims. This workshop should be completed prior to serving as a Teaching Assistant (TA). In addition, all students are expected to TA for at least one course, normally at the Evans School. A student may request a waiver from this requirement if they can document equivalent prior teaching experience in public policy or public management or a closely related field. In an effort to improve students' preparation for teaching roles, the Evans School and UW offer additional teaching preparation opportunities for course credit.

For students who receive funding offers from the School that include teaching responsibilities, the expectation is that the student will TA for at least three quarters, normally during their second or third year, as assigned by the Evans School. On average, Evans School doctoral students TA for six quarters during their time in the program. The minimum TA requirement for graduation is one quarter in cases where students have outside support. After the first year, students with School funding who are not otherwise assigned (e.g. as a Research Assistant) will be expected to continue to serve as TAs.

Students are encouraged to register for PPM 601 – Teaching Mentorship for at least one quarter during their time in the program. This should be arranged with the faculty member offering to serve as the mentor. Students register for Teaching Mentorship credits using the [Ph.D. Independent Coursework Contract](#).

**Note:** students are encouraged to assist faculty in developing research proposals that can fund them as RAs. TA assignments to courses will be made by the Associate Dean for Faculty Affairs in consultation with the Ph.D. faculty coordinator and the faculty. Students in their second year and beyond should ensure they inform the Associate Dean for Faculty Affairs in a timely way of their preferences for courses to TA, and should notify the Associate Dean as soon as possible if they will not TA in a particular quarter (e.g., awarded an RA position, on leave). Commitments to TA positions are viewed as binding, and can only be changed after consultation with the Associate Dean and the student's advisor.

For doctoral students who have progressed beyond their period of guaranteed funding (e.g., five academic years of funding offered at the time of admission), the Associate Dean will assign them to remaining open TA positions based on the following criteria:

1. Priority to students who have been funded the fewest numbers of quarters beyond their promised funding, all else equal.
2. Teaching evaluations for courses, expertise for teaching a specific course, or a combination of both criteria.

### **Second Year Coursework Requirements**

- **PPM 500B.** This seminar is intended to provide students with assistance in conceptualizing and planning their Major Area Paper, as well as to provide opportunities to practice presenting research and providing constructive feedback to colleagues. Some professional development topics are also covered.
- **Data Analysis Practicum (PPM 512, Autumn).** This course builds on and integrates methodological aspects of the core curriculum and develops capacity to undertake independent research. Students will read, critique, and replicate portions of selected empirical papers from a range of scholarly areas that contribute to this Ph.D. program, such as public policy, sociology, political science, management, economics, and risk analysis. The exercises are selected to provide opportunities to deal in depth with issues of research design, data limitations, measurement of key concepts, model specification, and interpretation of results.
- **Organizations, Management, and Theory (PPM 514, Winter).** This course surveys organizational research and theories that bear on the management of public and non-profit organizations. It draws on scholarship in organizational theory, public and nonprofit administration, and management broadly conceived, including organizational behavior and decision making in organizations. The course prepares students for research and teaching in managing organizations in the public and nonprofit sectors.
- **At least two additional courses in research and analytic methods that have been approved by the student's advisor.** At least one of these two additional courses must be a qualitative methods course. The second may be either a quantitative or qualitative methods course.

- **At least three graduate-level courses in an Area of Specialization** (e.g., environmental policy, education policy, international development, etc., although the specialization may be named and designed by the student in consultation with his or her committee). The Ph.D. program recommends that these courses be taken from at least two departments (including professional schools) and across disciplinary lines. These courses should be rigorous enough to enable the student to competently read and critique research in the field of specialization.

The Ph.D. program also recommends that students develop significant disciplinary depth in social science by taking three or more graduate-level courses in *one* discipline (anthropology, economics, geography, political science, psychology, or sociology). These courses are in addition to discipline-based courses that focus on research methods. They may overlap with substantive policy area courses. Students may want to take the field examination in their external discipline concentration from the relevant unit on campus in order to certify their mastery, however, this is not required.

The Ph.D. program recommends that students specializing in public or nonprofit management build their knowledge of how management tools are applied in context by taking at least three graduate-level courses in a substantive policy area or areas. Depending on student interests, the courses may focus on more than one area.

Course planning should be done in close consultation with the student's advisor and Advisory Committee.

### **Major Area Paper**

Students must complete a Major Area Paper (MAP) and have it approved by their Advisory Committee before being permitted to take the General Examination for advancement to Ph.D. candidacy. The MAP requires students to demonstrate competence in their selected area(s) of specialization and in relevant analytic methods and is designed to provide a springboard for moving on to prepare the dissertation proposal. While the specifics of the MAP paper may vary somewhat according to the student's chosen focus and the Advisory Committee's guidance, the general contours are as follows (in addition to the student's Advisory Committee, the second year proseminar also provides some guidance to students as they begin working on the MAP).

In the MAP, the student develops a critical review of the literature in his or her area of focus. The review should critically analyze and integrate extant research in the area and

identify potential research opportunities. The review should demonstrate critical familiarity with the range of theory and methods in the area. It should demonstrate that the student is prepared to carry out the independent conceptualization and research needed to develop a sound and workable dissertation proposal. Some development of theory and research hypotheses by the student is desirable in order to move her/him forward toward the dissertation proposal. The paper should be approximately 30-35 pages in length and be submitted to the student's Advisory Committee no later than the September following the second year in the program. (Ideally, the student will have a complete draft submitted by June of the second year.) Revisions should be complete and final committee approval should normally occur no later than December of the third year.

Students may take up to four faculty-supervised independent study credits (PPM 600) for readings related to preparing the MAP. These four credits, if students choose to take them, should be taken together as a block in Winter or Spring Quarter of the student's second year, and should not be split between quarters. Reading that contributes to developing a student's research, field of specialization, or cognate discipline can always be taken as independent study credits (distinct from MAP credits per se), as long as the faculty involved approve. To register for Independent Study credits, students should complete the [Ph.D. Independent Coursework Contract on the Evans School's website](#).

Each member of the student's Advisory Committee should provide oral or written feedback within two to three weeks of submission of a complete draft with this process overseen by the Advisory Committee chair. The student will revise the paper as necessary and resubmit it to the committee. Within two to three weeks after the resubmission the student and committee will meet to discuss the paper and the student's plans for the next stage of the program. Upon approval of the MAP, the Advisory Committee chair notifies the Ph.D. faculty coordinator in writing (using the "Major Area Paper Completion" form) that the MAP has been approved and the student is ready to begin work on the dissertation proposal. The MAP Completion form should also be submitted to the Ph.D. Program Coordinator. These steps must be completed before the student forms the official Supervisory Committee required by the UW Graduate School and schedules the General Examination.

### **M.S. in Public Policy and Management**

Upon approval of the MAP, the student may apply for the Master of Science (M.S.) in Public Policy and Management. The requirements for the M.S include:

- Successful completion of all core courses (or approved equivalents)

- Completion of student's area of specialization courses (at least 3 approved by advisor)
- Completion of research methods requirement (at least 2 courses one of which must be on a qualitative methods topic, approved by advisor)
- Completion of at least 60 credits
- Core courses, area of specialization courses, and research methods courses (with the exception of proseminars) must be graded. Additional credits outside of these courses that contribute towards the 60 total credits may be taken credit/no credit or satisfactory/not satisfactory.
- Successful completion of the qualifying exam

To apply for the M.S., the student should submit to the Ph.D. Program Coordinator the [MAP Approval Form](#) signed by at least two faculty members and the completed [M.S. Application form](#), approved by the student's primary advisor. The student should then submit the [electronic master's degree request](#) in MyGrad Program. Students will be promoted to Pre-Doctoral Teaching/Research Associate II (with a higher pay rate for TA/RA duties) at the beginning of the quarter following MAP approval.

## C. Course Schedule

### Sample Course Schedule for Years One and Two

YEAR ONE			YEAR TWO			
Quarter	Course	Credits	Quarter	Course	Credits	
Autumn	PPM 500A: Proseminar in Public Policy and Management	1	Autumn	PPM 500B: Proseminar in Public Policy and Management	1	
	PPM 502: Research Design	4		PPM 512: Data Analysis Practicum	4	
	PPM 506: Advanced Microeconomics for Policy Analysis	4			Quantitative and qualitative methods courses; policy/management and disciplinary specialization courses	5+
	PPM 508: Policy Processes	4				
		<b>13</b>			<b>10+</b>	
Winter	PPM 500A: Proseminar in Public Policy and Management	1	Winter	PPM 500B: Proseminar in Public Policy and Management	1	
	PPM 504: Institutional Perspectives on Management	4		PPM 514: Organizations, Management, and Theory	4	
	SOC 505: Applied Social Statistics	3		Quantitative and qualitative methods courses; policy/management and disciplinary specialization courses	5+	
	Elective(s)	2+				
		<b>10+</b>			<b>10+</b>	
Spring	PPM 500A: Proseminar in Public Policy and Management	1	Spring	PPM 500B: Proseminar in Public Policy and Management	1	
	PPM 510: Public Policy Analysis	4		Quantitative and qualitative methods courses; policy/management and disciplinary specialization courses	9+	
	SOC 506: Quantitative Techniques in Sociology	3				
	Elective(s)	2+				
		<b>10+</b>			<b>10+</b>	
<b>TOTAL CREDITS YEAR ONE</b>		<b>33+</b>	<b>TOTAL CREDITS YEAR TWO</b>		<b>30+</b>	

#### Course Schedule Notes

- Students who have completed prior coursework similar to that of a particular core course may request approval from the Ph.D. faculty coordinator for a course substitution. The faculty coordinator will consult with the faculty member teaching the course proposed to be waived.



- The University requires a minimum credit load of 10 credits per quarter for full time status, which is required for an assistantship appointment. As shown above, in some quarters PPM students will take more than 10 credits.
- Students may take second year methods and policy or management courses in any term in which they are offered.
- Students are encouraged to enroll in Evans MPA courses where the subject matter is appropriate to their interests and the course is taught by a Ph.D.-level faculty member, but the course as experienced by them will generally be somewhat different from what is experienced by MPA students. Ph.D. students may be asked to do additional readings, to write a different type of paper (e.g., more theoretical or methodological), or a paper that contains a more extensive literature review or that proposes questions and designs for future research. It is recommended that the Ph.D. student and faculty member confer before the student enrolls to ensure there is a “meeting of minds” about the student’s goals and needs and the faculty member’s ability to help meet them.
- Scheduling is subject to change on an annual basis. This schedule is meant to be an example.

## D. Year Three And Beyond

The primary task in the third year of study is preparing the dissertation proposal and completing the General Examination for advancement to Ph.D. candidacy. Some students may find it worthwhile to take a few courses during this year, however, most coursework should be completed by the end of year two.

### **Establishing a Supervisory Committee**

One quarter prior to scheduling the General Examination, the student needs to formalize his or her Supervisory Committee, including appointment of a Graduate School Representative (GSR) faculty member from outside the Evans School, by notifying the Assistant Dean of Student Services in writing (email) of the members of their committee. The Assistant Dean will register the committee with the Graduate School. Please review UW Graduate School Memorandum No. 13: <https://grad.uw.edu/policies-procedures/graduate-school-memoranda/memo-13-supervisory-committee-for-graduate-students/>: Supervisory Committee for Graduate Students.

The doctoral Supervisory Committee should consist of a minimum of four members, at least three of whom (including the Chair and the GSR) must be members of the Graduate Faculty with an endorsement to chair doctoral committees.

### **General Examination**

In order to prepare for the General Exam, students are permitted to take up to 10 PPM 800 (dissertation) credits **after** approval of their Major Area Paper and **before** taking the General Examination. These credits are normally taken in the same quarter as the General Examination. Dissertation credits should be taken credit/no credit.

The General Examination is an oral defense of a written dissertation proposal. The student may also be questioned about related literature in the area of the dissertation. Upon passing the Examination, the student is advanced to formal candidacy for the Ph.D.

The dissertation proposal should provide a plan for the dissertation that the student develops in consultation with his or her Supervisory Committee (see below), and which reflects a shared expectation of what the dissertation will involve. The proposal should include a clear statement of the research questions and hypotheses and their significance, review of the literature, research design, description of the data and analytic methods to be used in the study, and expectations of the contributions to be made by the dissertation.

The timing of the General Examination will depend on the progress of the student in working with the Supervisory Committee to develop a suitable proposal. In general, the proposal and defense should be completed by the end of year three in the Ph.D. program.

The scheduling and location of the General Examination must be filed by the student and approved by all members of the Supervisory Committee and the GSR at least three weeks prior to holding the General Examination. *Making these arrangements is the student's responsibility.* The General Examination is open to the public by Evans School practice. Committee chairs should notify the faculty and other Ph.D. students of the scheduled date and time well in advance.

Prior to the General Examination, the student or the student's committee chair should print out the "Warrant for General Examination for the Doctoral Degree" (available in MyGrad program under "Doc Exam Requests" and then the specific request for the exam in question). This document must be signed by all members of the committee at the General Examination (including the GSR) and then returned to the Ph.D. Program Coordinator in Parrington 109 after the exam.

### **Dissertation**

Once the student passes the General Examination, they advance to the status of Ph.D. candidate, form a Reading Committee from among the members of the Supervisory Committee to assist closely with the dissertation work, and develop a dissertation based on the proposal approved at the General Examination. The final step in the Ph.D. program is the formal presentation and defense of the dissertation before the Supervisory Committee (Final Exam).

### **Appointment and Responsibilities of a Doctoral Reading Committee**

After the General Examination, the students should notify the Assistant Dean of Students in writing (email) of at least three members of the Supervisory Committee who will serve on the student's Reading Committee. At least one of the members of the Reading Committee must hold an endorsement to chair doctoral committees. The Reading Committee is appointed to read and approve the dissertation. It is the responsibility of a Reading Committee to (a) ensure the dissertation is a significant contribution to knowledge and is an acceptable piece of scholarly writing; (b) determine the appropriateness of the candidate's dissertation as a basis for issuing a warrant for the Final Examination; (c) approve the candidate's dissertation and; (d) sign two original Signature Pages that are placed within the dissertation after all revisions are completed. The entire Supervisory Committee is expected to read the dissertation, attend the defense, and sign the Signature Pages.

The dissertation may be of the traditional type with a series of closely connected chapters addressing a single research problem or theme. Alternatively, it may consist of a series (usually three) of analytical papers on related themes designed for eventual publication. In this case the dissertation should also include concise introductory and concluding chapters positioning the papers and explaining their connections, as well as the broader implications of the student's analyses. In either case the content of the dissertation must be solely authored by the student and represent significant independent work. The optimal form for the dissertation will be decided by the student and his or her Supervisory Committee working closely together.

### **Final Examination – Dissertation Defense**

The final step in the Ph.D. program is the formal presentation and defense of the dissertation before the Supervisory Committee. This process follows the normal protocol as set by the Graduate School. A Final Examination may be scheduled if: (a) the student passed the General Examination in a previous quarter; (b) a Reading Committee is officially established with the Graduate School; (c) the Reading Committee has read an entire draft of the dissertation and; (d) the entire Supervisory Committee has agreed that the student is prepared and has approved the student to schedule a Final Examination. At least four members of the Supervisory Committee (including the Chair, Graduate School Representative, and one additional Graduate Faculty member) must be present at the examination.

The Final Examination is open to the public by Evans School practice. Committee chairs should notify the faculty and other Ph.D. students of the scheduled date and time well in advance.

Prior to the Final Examination, the student or the student's committee chair should print out the "Warrant for Final Examination for the Doctoral Degree" (available in MyGrad program under "Doc Exam Requests" and then the specific request for the exam in question). This document must be signed by all members of the committee at the Final Examination (including the GSR) and the returned to the Ph.D. Program Coordinator in Parrington 109 after the exam.

The student is also responsible for obtaining the signatures of all committee members on the [Doctoral Dissertation Reading Committee Approval Form](#), either at the Final Examination or afterwards. The student must upload a formatted, electronic copy of their dissertation, along with the signed form, to the UW's [ETD Administrator site](#) by 11:59 p.m. PST on the last day of the quarter in which they are graduating.

## Section II: Forms and Administrative Information

### Record of Academic Milestones

The Record of Academic Milestones (RAM) is designed to help students, faculty advisors, and the School's Student Services Office plan and track students' progress toward the Ph.D. degree. It also provides useful information for documenting students' professional credentials and accomplishments. The RAM covers the courses a student has taken (or will take), as well as the other academic milestones to fulfill all the requirements of the degree. Through periodic meetings with his or her advisor to discuss the RAM, each student can reflect upon the timing and coherence of their course of study.

The RAM form, together with a current CV and appropriate faculty signature, must be submitted to the Ph.D. Program Coordinator in Parrington Hall 109 by May 15 of each year. Students in their sixth year in the program and beyond must additionally provide a narrative paragraph of their progress on their dissertation in the past year and their timeline for dissertation work for the year ahead. This narrative paragraph must be approved by their faculty advisor and submitted to the Ph.D. Program Coordinator, along with their RAM form and CV, by May 15. Failure to submit an approved narrative paragraph will result in the student being placed on formal probation in the following quarter. If not addressed, formal probation would normally be followed by final probation the following quarter, and possible severance from the program subsequently.

Students can access the RAM form on the Evans School website under the Current Students page and then by clicking on the Ph.D. Student Resources link: <http://evans.uw.edu/myevans/students/phd/phd-student-resources>.

### Travel Award Request Form

The School recognizes the value of attendance at scholarly conferences for Ph.D. students. According to the School's Ph.D. student travel policy, to receive Evans School funding the student must have a paper or poster accepted for presentation at a scholarly conference (documented). Students should submit the [Travel Award Request Form](#) to the Ph.D. Program Coordinator by the appropriate deadline indicated on the form.

Travel award funding will generally be limited to \$600 total for domestic travel and \$800 total for international travel. Travel award funding generally follows guidelines followed by the Graduate School (e.g., current enrollment is required for funding to be awarded).

## **Academic Calendar**

Quarterly schedules, dates of instruction, registration deadlines, deadlines for adding or dropping a course, tuition and fee deadlines, final exam schedules, grade deadlines, and holidays can all be found at the University of Washington's Academic Calendar website: <http://www.washington.edu/students/reg/calendar.html>

## **Independent Study**

Students may register for independent study credits for an independent project with a faculty member, or for readings related to preparing the Major Area Paper (up to 4 credits). Students should complete the online [Ph.D. Independent Coursework Contract](#). After the form is submitted, it will be reviewed by the selected Evans School faculty member for approval and, if approved, the student will receive an add code for registration.

Students should also use the [Ph.D. Independent Coursework Contract](#) to register for dissertation credits. Dissertation credits are generally taken credit/no credit.

## **On-Leave Status**

Students must be accounted for (i.e., either registered or officially on-leave) during every term except Summer Quarter, from the time they matriculate at the Evans School until they complete their Ph.D. degree. Any student who does not apply for on-leave status before going on-leave for one or more quarters during the academic year will be dropped from the UW Graduate School roster and will need to request reinstatement to the UW before returning. There is a substantial fee involved in being reinstated (see below).

If it is necessary to take a leave of absence from the University for professional or personal reasons, a student must submit an on-line request to go on-leave. Students can only apply for on-leave status one quarter at a time. Students must have completed at least one quarter of graduate study at the UW prior to filing an on-leave petition. In order to get approval, students must first contact their faculty advisor to let them know of their intention to go on leave and the reasons. Second, the student must submit an online request (<https://grad.uw.edu/for-students-and-post-docs/mygrad-program/>) as early as two weeks prior to the start of the quarter prior to the leave, but no later than 5 p.m. PST of the last day of instruction of the prior quarter. Once the student has submitted the request and paid a nonrefundable fee (\$25.00 per quarter), the Graduate Program Coordinator (GPC) will approve or deny the request. This process must be repeated each quarter if the student seeks to go on leave for multiple quarters consecutively (excluding

Summer Quarter). When possible, students should provide advance notice of their intention to go on leave to the Ph.D. Program Coordinator or Faculty Coordinator.

Further information for filing for on-leave status is available at:

<https://grad.uw.edu/policies-procedures/general-graduate-student-policies/graduate-on-leave-status/>.

### **Returning from On-Leave Status**

Graduate students who have completed a quarter on leave must either register during Registration Period II, or submit another on-leave request. If a student does not register or file for on-leave status they will be dropped from the University and will have to submit a reinstatement petition and pay the \$250 reinstatement fee.

### **Reinstatement to the Graduate School and Program**

Students previously registered in the Graduate School who have failed to maintain graduate student status (i.e., on-leave status was not secured and registration was not maintained), but wish to resume studies within the same degree program must file a request for reinstatement to the Graduate School. Requests will first be reviewed and approved by the department (here the Evans School). If and when the department has approved the request and the Graduate School has confirmed the student's eligibility for reinstatement, the student will be notified to pay a nonrefundable \$250.00 reinstatement fee before registering for the requested quarter of reinstatement. Reinstatement petitions can be submitted on-line at <https://grad.uw.edu/for-students-and-post-docs/mygrad-program/>.

### **Withdrawing from UW; Adding, Dropping, and Auditing Courses**

Withdrawal	<p>Students withdrawing from UW (i.e., dropping <i>all</i> of their courses) once a quarter's work is in progress MUST obtain a withdrawal form from the Withdrawal Office in Schmitz Hall. Students who do not submit the on-leave form will be dropped by the UW Graduate School and must re-apply before returning.</p> <p>Students should keep the Evans School office informed of their current mailing address, phone number, and email address.</p>
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Dropping a Course	<p>Graduate students withdrawing officially from a course during the first two weeks of a quarter shall have no entry on their academic record. No drops will be permitted after the second week of the quarter. (Exception: Each student will be permitted to drop one course between the beginning of Week 3 and the end of Week 7 of any one quarter each year September-August, i.e. one such drop per year. If a student uses this drop option, the grade "W" shall be recorded by the Registrar's Office for the dropped course.) <b>The Registrar's Office will charge a late fee for courses dropped after the first week of the quarter.</b></p> <p>The grade "W" shall count neither as completed credit nor be computed into grade point averages.</p>
Hardship Withdrawal	<p>Students may submit a written petition to the Office of the Registrar for a hardship withdrawal after the 14<sup>th</sup> day of the quarter. Approved hardship withdrawals will be entered on the transcript with a grade of "HW." A \$20 change-of-registration fee will be assessed, plus any tuition forfeiture.</p>
Auditors	<p>Students must first register for the class they wish to audit, and then go to Schmitz Hall in person to select the audit grade option. No entry is made on the permanent record for courses audited.</p>
Adding a Course	<p>Graduate students may add courses through the third week of the quarter. A late fee will be charged by the Registrar's Office for all courses added after the first week of the quarter. A special petition process exists for adding courses through the end of the quarter.</p>

**UW Graduate School Memorandum No. 19: Grading System for Graduate Students**

This document is available online through the Graduate School:

<https://grad.uw.edu/policies-procedures/graduate-school-memoranda/memo-19-grading-system-for-graduate-students/>.

**Please Note:** In addition to the UW Graduate School minimums above, the Evans School Ph.D. program requires a minimum cumulative grade-point average of 3.0 for graduation. The Evans School also requires a minimum of 3.0 in each course that is counted toward a Ph.D. degree and a cumulative grade-point average of 3.0 is required for continuation in good standing.



## Evans School Guidelines for Course Grades

This statement describes the guidelines for numerical grades for courses taken at the Evans School.

4.0	Excellent and exceptional work for a graduate student. Work at this level is unusually thorough, methodologically sophisticated, and well written. Work is of good professional quality, shows an incisive understanding of the major policy and management issues and demonstrates a clear recognition and mastery of the appropriate analytical approaches to address the problems and questions.
3.7	Strong work for a graduate student. Work at this level shows signs of creativity and is thorough and well reasoned. It indicates a strong understanding of appropriate methodological or analytical approaches and demonstrates a clear recognition and good understanding of the salient policy and management issues and problems.
3.4	Competent and sound graduate student work. Work is well reasoned and thorough and methodologically and analytically sound, but is not especially creative or insightful, nor technologically or analytically sophisticated. It shows adequate understanding of the policy and management issues and problems, although that understanding may be somewhat incomplete. This grade indicates neither unusual strengths nor exceptional weaknesses.
3.2	Adequate graduate student work. Basically competent performance, although the work shows some weaknesses. Work is moderately thorough and well reasoned, but there is some indication that the understanding of important policy or management issues is less than complete. It may also be inadequate in other ways, such as quality of reasoning, writing, or incomplete analysis. Methodological or analytical approaches are generally adequate but have one or more weaknesses or limitations.
3.0	Borderline graduate student work. This work barely meets the minimal expectations for a graduate student in the course. The understanding of basic policy or management issues is incomplete and the methodological or analytical work performed is minimally adequate. The writing and reasoning barely qualify for professional quality work. Overall performance, if consistent in graduate courses, would barely suffice to sustain graduate status in good standing and does not reflect long-term professional quality work.
2.6	Deficient graduate work. This work does not meet the minimal expectations for a graduate student in the course. Work is inadequately developed and flawed by numerous errors and misunderstandings of important issues. Methodological work or analysis is weak and fails to demonstrate knowledge or basic skills competence expected of graduate student work. May also reflect unprofessional level of writing, organization, or reasoning skills. This grade means that the course will not count towards graduation.

## **Evans School Guidelines for Satisfactory and Unsatisfactory Academic Performance**

These guidelines stipulate the conditions for satisfactory and unsatisfactory academic performance in the Evans School and expectations for progress through program milestones. The purpose of the guidelines is to specify the rules and expectations clearly in order to avoid confusion and misunderstanding. Student Services staff, the Ph.D. faculty coordinator, the graduate program coordinator, and the faculty are available to assist all students in maintaining satisfactory academic performance at the Evans School. Tutoring help may also be available for specific courses in certain cases; please consult with the Ph.D. faculty coordinator for more information on tutoring availability.

Students who fail to meet the requirements for satisfactory academic performance will be notified in writing of their unsatisfactory performance by the graduate program coordinator.

### **Expectations Regarding Progress through the Program**

Ph.D. students are normally expected to complete all the scheduled core courses during their first year in the program and the Data Analysis Practicum (PPM 512); Organizations, Management, and Theory (PPM 514); and three quarters of Proseminar (PPM 500B) during the second year. Special case exceptions will be considered by the Ph.D. program faculty coordinator in consultation with the student's faculty advisor. Students must pass the qualifying examination at the end of the first year to be eligible to continue in the program. Students should normally complete all course work by the end of the second year but exceptions are permitted with the approval of the student's advisor. In any case, course work should be complete by the end of the third year. Students should complete a full draft of the Major Area Paper by June of the second year and the MAP should be finalized and approved by the student's advisory committee as soon as practicable thereafter and not later than December of the third year. Students are normally expected to complete the General Examination during the third year in the program and to begin dissertation work immediately thereafter. The program's goal is that students complete the Ph.D. in 4 years. Advising, progress reporting, and financial support policies are designed to encourage timely completion.

Per Graduate School Memorandum no. 9, "The Graduate School allows six years to complete requirements for a master's degree and ten years for a doctoral degree. Periods spent On-Leave or out of status are included in these limits." Students in year six of the Ph.D. program and beyond are expected to provide annual updates of their progress on their dissertation in the past year (via the Record of Academic Milestones form). Failure to submit an approved narrative paragraph by the RAM due date will result in the student receiving an initial warning regarding academic progress for the following quarter. If

progress is not made during that quarter, it may then result in being placed on formal probation at the start of the subsequent quarter. If not addressed, formal probation would normally be followed by final probation the following quarter, and possible severance from the program subsequently.

**Satisfactory Performance:**

1. A cumulative grade point average (GPA) of 3.0 or higher.
2. A grade of 3.0 or higher in each core course [PPM 502, 504, 506, 508, 510, 512, 514, SOC 505 and 506 (or approved alternatives)].

**Unsatisfactory Performance:**

1. A cumulative grade point average (GPA) below 3.0: low scholarship.

WARN	Recommended for <i>beginning</i> students whose <i>quarterly</i> GPA and <i>cumulative</i> GPA are below 3.0 but whose grades in all core courses are at least 3.0; full-time students must be in their first quarter at the Evans School, and part-time students must have accumulated fewer than 12 total credits to be eligible.  Also recommended for <i>continuing</i> students whose <i>quarterly or cumulative</i> GPA falls below 3.0.
PROBATION	Recommended for continuing students whose <i>quarterly</i> GPA and/or <i>cumulative</i> GPA are below 3.0 <i>for two successive quarters</i> .
FINAL PROBATION	Recommended for students whose <i>quarterly</i> and/or <i>cumulative</i> GPA is below 3.0 <i>for three successive quarters</i> . Final probation is used to warn students that they will be <u>dropped</u> at the end of the next quarter unless they improve their performance.
DROP	Recommended for students whose <i>quarterly</i> GPA is below 3.0 and whose <i>cumulative</i> GPA has been below 3.0 for three successive quarters (excluding the first quarter in the School for full-time students, or the first two or three quarters for part-time students whose total credits are fewer than 12).

2. A core course grade below 3.0: low scholarship.

PROBATION	Recommended for students with a grade below 3.0 in any core course.
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DROP	<p>Recommended for students with a grade below 3.0 in a core course that has been retaken <u>once</u>. This means that students who receive a grade below 3.0 in a core course must retake the <u>same</u> core course and must receive a grade of 3.0 or higher on the first retake, or they will be <u>dropped</u> from the Evans School.</p> <p>Recommended for students who have received grades below 3.0 in two core courses.</p>
NOTIFICATION	<p>According to UW procedures, students must receive written notification from the graduate program coordinator of unsatisfactory performance (probation, final probation) prior to being <u>dropped</u> from the Evans School. The notification must include the steps required in order for the student to return to satisfactory performance.</p>
APPEAL	<p><u>Drop</u> actions can be appealed to the Evans School. After hearing the appeal, the Appeals Committee will make a recommendation to the dean of the Evans School and the dean of the UW Graduate School. Appeals beyond this point should follow the process outlined in Graduate School Memorandum No. 33, Academic Grievance Procedure.</p>

**The Evans School follows the UW Graduate School’s rules about continuation, review, and termination of students based on their academic performance relative to the Evans School’s guidelines outlined here.** For information on the Graduate School’s rules, please see: <https://grad.uw.edu/policies-procedures/graduate-school-memoranda/memo-16-unsatisfactory-performance-and-progress/>.

UW Graduate School Memorandum No. 33: **Academic Grievance Procedure**

This document is available online through the Graduate School:

<https://grad.uw.edu/policies-procedures/graduate-school-memoranda/memo-33-academic-grievance-procedure/>

**Financial Awards, Teaching/Research Assistantships, and Work Permissions**

At the Evans School, financial awards are made by the Ph.D. admissions committee when offers of admission are made. The availability of awards varies from year to year, however, it is the policy of the School to provide at least five years of guaranteed financial support to Ph.D. students making satisfactory progress. After the first (research mentorship) year, students will be expected to serve as Teaching Assistants in MPA and undergraduate courses unless otherwise assigned. Ph.D. students may apply for Research Assistantship (RA) positions or other external support and are encouraged to assist faculty in preparing grant proposals that include such positions. Because alternative funding arrangements may have financial implications for the School, prior approval from the Ph.D. program

Faculty Coordinator and Associate Dean is required. (In cases of certain fellowships and dissertation grants, students may take the lead.) Following their years of guaranteed support, Ph.D. students may apply for TA positions through the normal application process. The Associate Dean will assign them to remaining open TA positions based on the following criteria:

1. Priority to students who have been funded the fewest numbers of quarters beyond their promised funding, all else equal.
2. Teaching evaluations for courses, expertise for teaching a specific course, or a combination of both criteria.

Students who receive funding from the Evans School will receive, as part of the appointment, a monthly stipend and tuition waiver during Autumn through Spring Quarters (Summer Quarters are not covered) and health insurance coverage that covers 12 months. Students are responsible for the remaining student fees of approximately \$322 (including the U-PASS for local public transit) per quarter. Graduate student appointments require registration for a minimum of 10 graduate-level credits each term. The appointments stipulate an average of 20 hours of work per week under the direction of a faculty member or course instructor. In the event that a student seeks to work more than 20 hours a week in their appointment or in another capacity (i.e., working for an organization other than the Evans School), the student must receive written (email) approval from their faculty advisor and the Ph.D. Faculty Coordinator.