PhD PROGRAM MANUAL

DEPARTMENT OF PUBLIC ADMINISTRATION AND POLICY
ROCKEFELLER COLLEGE OF PUBLIC AFFAIRS AND POLICY
UNIVERSITY AT ALBANY
STATE UNIVERSITY OF NEW YORK

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THE PhD PROGRAM IN PUBLIC ADMINISTRATION AND POLICY

The PhD program in public administration and policy at the University at Albany consists of a pre-candidacy stage and a candidacy stage. The pre-candidacy stage consists of (1) a series of core courses common to all students in the program; and (2) additional courses and requirements specified by the student’s concentration. The candidacy stage consists of (3) satisfactory presentation of a dissertation prospectus; and (4) satisfactory completion of a dissertation.

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MISSION STATEMENT AND LEARNING OBJECTIVES

Mission Statement: The PhD program in Public Administration and Policy at the University at Albany prepares students for successful research careers, primarily in academia, by providing advanced education and mentoring in theory-driven interdisciplinary social science research. Our doctoral program develops students who create and implement rigorous research designs, use quantitative and qualitative methods, inform the development of theory, contribute to improving practice in the public and nonprofit sectors, maintain high ethical standards in research, and consider public values such as equity and justice. As a faculty we recognize there is the need for scholars who can both produce original research on systemic public problems and train future public service professionals to address practical challenges.

Learning Objectives:

1. Content Knowledge
   a. Demonstrates substantive mastery of the academic literature in public administration and policy
   b. Demonstrates substantive mastery of the academic literature in a specialized area of research within public administration and policy that draws upon the broader social science literature
   c. Shows a foundational understanding and ability to evaluate diverse quantitative and qualitative methods in public administration and policy research

2. Independent Research
   a. Makes an original contribution to the field
   b. Competently and rigorously applies at least one quantitative or qualitative method in public administration and policy research
   c. Articulates a coherent argument in an article-length paper that links research question(s), theory, results and implications for theory and practice
   d. Articulates the relevance of the research
   e. Demonstrates an emerging scholarly identity

3. Engagement in Public Affairs Community
   a. Effectively communicates research results to scholarly, practitioner and student audiences orally and in writing
   b. Involved in the broader public administration and policy scholarly community
STRUCTURE OF THE PHD PROGRAM

The pre-candidacy phase of the PhD program in public administration and policy at the University at Albany consists of: (1) six four-credit courses and four one-credit professional development seminars that are common to all students in the program; and (2) a field concentration involving at least eight courses selected in consultation with a field advisor.

Core Courses

Prerequisite knowledge: All students in the PhD program are expected to have a basic proficiency in the areas of study specified in the Master of Public Administration (MPA) core. This proficiency can be acquired by taking the MPA core courses, through comparable prior coursework, or individual study approved by relevant faculty. These MPA core courses include: Institutional Foundations of Public Administration, Public and Nonprofit Financial Management, Principles of Public Economics, Data, Models, and Decisions I and II (two semesters), and Foundations of Public Management.

The doctoral core: All students in the PhD program are required to take the six 4-credit courses and four 1-credit seminars that comprise the core of the doctoral curriculum:

- PAD 702 Politics and Administration
- PAD 703 Economic and Financial Theory
- PAD 704 Research Design
- PAD 705 Advanced Quantitative Analysis
- PAD 708 Organizational Behavior and Theory
- PAD 709 Foundations of Public Administration
- PAD 881-884 Seminars in Doctoral Research and Professional Development

Students may substitute INF 710 for PAD 704 and POS 517 for PAD 705 if the Department is not offering these courses. Please consult with the PhD Director before substituting for any core course. In general, three or four of the core courses will be offered each year, thus it is expected that the core will be completed in the first two years of full time study. The six core courses must be attempted during the first 12 courses taken as a PhD student. Any electives taken during the first year must be approved by the faculty advisor.

In addition to the six required 4-credit courses, students are required to register for the PAD 881-884 Series: Seminars in Doctoral Research and Professional Development. This series of one-credit courses is designed to familiarize doctoral students with the ongoing research streams in the Department and the norms and practices of the academy. Students are required to make one presentation on a research topic of their choice while registered for this Series. The presentation requirement is usually fulfilled in the second year (i.e., when the student is registered for PAD 883 or 884). Students normally complete this requirement during their first and second year of study. These seminars are generally held every other week, and are scheduled before the term begins by the instructor.

After satisfactory completion of the core courses, students will be subject to a comprehensive review that will determine whether the student will be allowed to attempt requirements for
candidacy. Both reviews are conducted by the “core faculty” (i.e., the instructors of record for the six core courses). See the section on “Tracking Students’ Progress” in this manual.

Field Structure

The Department of Public Administration and Policy offers five fields of concentration for the PhD:

- Public Management
- Public Finance
- Public Policy
- Organizational Behavior and Theory (under reconstruction)
- Politics and Administration (under reconstruction)

Each student concentrates in one of these fields and must meet the requirements specified by the Department for that field (see pages 21-39). Each student is expected to take at least eight graduate courses in the major field, including courses that specifically emphasize student development of significant research skills in the major field. Requirements for achieving candidacy may vary by concentration.

Length of Program

The PhD program in public administration and policy involves six courses in the core, four one-credit professional development seminars, and at least eight courses in the field concentration. Given a full-time load of three courses a term without summer courses, the course work takes five semesters—about two-and-a-half-years. Adding time for the field comprehensive requirements and the dissertation, the program takes a minimum of three-and-a-half to four years. Students must complete their degree within the “statute of limitations” (see next page), which is eight calendar years, as calculated from the date of initial registration in the program and excluding approved leaves of absence.

Continuous Registration of Doctoral Students

All students must maintain continuous registration for each fall and spring session (except for approved leaves of absence) until they have completed all program requirements. Minimum registration consists of 3 credits of approved work, unless the student has advanced to candidacy. PhD candidates may fulfill the continuous registration requirement by taking one credit hour of PAD 899 during the fall term and another credit hour of PAD 899 during the spring term. Summer sessions cannot be accepted in lieu of registration for fall and spring sessions.

The continuous registration requirement applies to students working on their degrees away from the University at Albany campus. As long as the student is making progress toward the degree by, for example, collecting or analyzing data or writing dissertation chapters, the University requires continuous registration as defined above.

A student who fails to register for a fall or spring semester and has not been granted a formal leave of absence is subject to termination. A recommendation to separate a student for failure to maintain continuous registration may be initiated by the PhD Director. The recommendation is forwarded by the PhD Director and/or the Department Chair to the University’s Office of Graduate
Education. The formal decision to terminate a student’s degree program is made by the Office of Graduate Education.

Note. The Office of Graduate Education may separate students who fail to maintain continuous registration without giving prior notice to the Department or the student.

**Part-time/Full-time Status**

Twelve credits per term is considered a full-time load at the University at Albany. A full-time load for students with at least half-time assistantships is 9 credits a term, or 18 credits a year. Since courses in the Department are usually four-credit courses, a full-time load is three courses. Doctoral students with half-time assistantships must take at least two courses; most doctoral students take three.

Since graduate courses in most departments at the University at Albany are only 3 credits, taking field/elective courses outside of the Department of Public Administration and Policy may make registering for a full-time load difficult. For instance, if a doctoral student were to take two 4-credit courses in the Department of Public Administration and Policy and one 3-credit course in the Department of Psychology, that student would only be registered for 11 credits. This has implications for achieving residency (see below) and for international students who must register for 12 credits per semester for visa purposes.

Please speak with your advisor and/or the PhD program director if taking a 3-credit class will create a problem with your full-time course registration. It may be possible to use a 1- or 2-credit independent study to fill the gap. International students must file a Reduced Course Load Authorization Form with the International Student and Scholar Services (ISSS) office in any case that may require them to be registered for less than 12 credits (including taking 3 credits of PAD 897 during pre-candidacy).

**Statute of Limitations**

All requirements for a doctoral degree must be completed within eight years of the date of initial registration in the program. These statutes apply equally to students who enter with or without advanced standing and to students who formally change their areas of specialization after admission and study in one advanced program.

A student may apply to the PhD Director for an extension of the statute of limitations. The application should include a realistic plan and time line for finishing the degree and be signed by the student and the student’s advisor and dissertation chair. Extensions of the statute must be approved by a majority vote of the Departmental faculty.

Periods of authorized leave of absence prior to candidacy are not counted as part of the statute of limitations for completion of degree requirements.

**Residency and Advanced Standing**

Each student must engage in full-time study beyond the master’s degree or equivalent at the University for at least one academic year after admission to the program. A year of full-time study in residency is required in order to insure a sustained period of intensive intellectual growth. For this purpose a student will enroll in a minimum of 24 registered course credits taken in two regular
semesters (12 course credits per term), not necessarily in consecutive terms, which must be completed satisfactorily. The requirement for 24 course credits may be relaxed in two situations:

Students authorized by their department to register for work on a dissertation during the residency year may substitute satisfactory completion of at least 16 registered course credits (at least 8 course credits each term) plus formal registration for and work on the dissertation totaling at least 8 credits (4 per term), for a total of at least 24 credits for the year.

Graduate assistants holding a full assistantship may substitute for this condition one academic year in such a position, including the satisfactory completion of a minimum of 15 registered course credits each year plus satisfactory completion of assigned duties.

The requirement for one year of full-time study in residence may be waived in special cases. The Department of Public Administration and Policy considers a waiver only for those PhD students (i) who are currently engaged in a program of research in public administration or public policy, as evidenced by preparation of research reports, presentations at professional meetings, or other scholarly activities; (ii) who have maintained a consistent effort to involve themselves in meetings and activities of the doctoral program over the course of at least a year, including such activities as the Thursday Policy Lunch or similar activities within the student’s field concentration; and (iii) who have established and maintained a mentoring relationship with a Department faculty member for at least two years. Waivers must be approved by a majority vote of the Departmental faculty.

Of the required 60 credits beyond the baccalaureate and before the one-year (minimum) devoted to final dissertation research and writing, at least 30 must be completed in residence at this University.

Applicants who have completed graduate courses or programs elsewhere may apply for admission with advanced standing and be allowed a maximum of 30 transfer credits for courses applicable to a PhD.

Students who have been admitted with the maximum advanced standing permitted must complete the remaining advanced course work, seminars, and research in residence study at Albany including at least one year in full-time study.
ACADEMIC HONESTY, CODE OF CONDUCT, AND GRIEVANCES

Statement on Academic Integrity

Academic honesty is something this Department takes very seriously. Violations of academic integrity in any form will not be tolerated and can result in course failure or even dismissal from the program. These violations include but are not limited to plagiarism, cheating on examinations, multiple submissions, and unauthorized collaboration. Students are required to be familiar with the university’s academic honesty policies (found in the University’s Graduate Bulletin: http://www.albany.edu/graduatebulletin/requirements_degree.htm#standards_integrity). Students are also required to comply with course-specific guidelines and requirements, as outlined in course syllabi. Ignorance does not excuse dishonest behavior.

Code of Conduct

In all matters, faculty and graduate students will communicate and otherwise deal with one another and with staff members in a manner that is appropriate for a professional academic program. Students are expected to exhibit due respect for their fellow students’ and professor’s dignity, sensibilities, responsibilities and authority. Behavior and communications of any type that can reasonably be interpreted to constitute an abuse of authority, egregious nuisance or intimidation, or that systematically interfere with the fair opportunity for others to express their views, or that persistently disrupt the educational process, are not acceptable and will be subject to sanction by the Department of Public Administration and Policy and/or the University at Albany. Offensive behavior or communication that in a single instance may not rise to the level of being actionable can do so if it is persistent.

Specifically, the Department of Public Administration and Policy expects students to practice:
- Respect for all members of our community and for the space we share.
- Professionalism in all things, including the pursuit of intellectual and academic excellence.
- The recognition of the value of different opinions in our "free marketplace of ideas."
- Individual accountability for actions inconsistent with this Code of Conduct.

Members of the Rockefeller College community have a personal responsibility to integrate this code into all aspects of their experience.

Procedure for Grievances

The Rockefeller College has established a grievance procedure to handle disputes between members of our academic community. “Grievances” are complaints made by students against faculty or against other students, complaints by faculty against other faculty or against students, and complaints by students or faculty against administrative officers of the college or its constituent departments and units.

A “grievance” shall include, but not be limited to: matters of academic honesty (such as plagiarism and cheating) and professional ethics; grades assigned for courses; and improper treatment on the grounds of age, color, creed, disability, marital status, veteran status, national origin, race, sex, or sexual preference.
The Rockefeller College grievance procedures are available from the College website (http://www.albany.edu/rockefeller/gateway_docs/2016/Grievance%20procedures_FINAL%20fall%202014.pdf)
TRACKING STUDENTS’ PROGRESS

Academic Standards and Good Academic Standing

Doctoral students must earn a minimum grade point average of 3.0 in all resident graduate courses to maintain good academic standing during the course of study.

A passing grade for a core course is a grade of “B” or higher. Students earning less than a “B” in a core course are permitted to retake the course once. Students taking resident graduate courses graded as Satisfactory/Unsatisfactory must receive a grade of “S” for the course to count towards the degree. Concentration courses completed with grades of “A”, “A-”, “B+”, “B”, “B-”, “C+”, “C”, or “S” may be applied to doctoral course requirements.

Student Review Procedures

PhD students are subject to two forms of review as they progress in the program:

Annual review. All PhD students are reviewed each spring by the entire faculty and issued a progress letter indicating the sense of the faculty regarding their progress in the program. Students must demonstrate adequate annual progress in the program each year (except for periods of approved Leave of Absence) in order to remain affiliated with the program.

Comprehensive review. PhD students are subject to comprehensive review only once: upon completion of all six core courses. Comprehensive review is used to determine whether a student has demonstrated sufficient facility with the key concepts in public affairs to merit continuation in the program. The full procedure is outlined below.

Comprehensive Review

Upon completion of all six core courses in the PhD program in Public Administration and Policy, each student is subject to comprehensive review by the core faculty. This review will determine whether the student has shown sufficient promise in their core coursework to merit continuation in the program. The review process is governed by grade point average (GPA) in the six core courses outlined on page 3 of this manual (the “core GPA”). The highest grade earned in a core course will be used to calculate the core GPA. The table below summarizes the core GPA cutoffs and their implications:

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<td>GPA &lt; 3.00</td>
<td>Student has conclusively failed the core and is administratively dismissed from the program with no right to appeal.</td>
</tr>
<tr>
<td>3.00 &lt; GPA &lt; 3.25</td>
<td>Student has presumptively failed the core. The student will be automatically referred to the Departmental faculty for dismissal unless 4 of 6 core faculty members vote to retain the student in the program.</td>
</tr>
<tr>
<td>3.25 &lt; GPA &lt; 3.5</td>
<td>Student has presumptively passed the core. The student will be automatically retained in the program unless the 4 of 6 core faculty members vote to refer the student to the Departmental faculty for dismissal.</td>
</tr>
<tr>
<td>GPA &gt; 3.5</td>
<td>Student has conclusively passed the core and is automatically retained in the program</td>
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Review of Students with Core GPAs between 3.00 and 3.50

The core faculty will review the student’s core coursework, their Annual Progress Report (see the next page of this manual for a description of the progress report), and any other supporting documentation the student may wish to provide. It is strongly suggested that each student up for review provide a 1-2 page summary of their research interests, methodological interests, and plan for remaining field courses when they submit their Annual Progress Report for the year in which they are reviewed. Any support materials must be submitted no later than the last day of classes for the term in which the student completes the core courses. The following are the criteria by which students in this core GPA range will be reviewed, in order of importance. (Lack of evidence for any of these factors will also be considered.)

1. Performance in the core courses and factors that may have affected performance adversely.
2. Evidence of the focus and discipline necessary to complete a PhD dissertation of average or better quality (e.g. participation in research inside or outside the department on a sustained basis).
3. Evidence of connection to PAD or PAD-affiliated faculty with the prospect that such faculty will become the student’s dissertation chair (e.g., a brief note from the concerned faculty member that states their interest in working with the student).
4. Evidence of connection to non-PAD faculty that may play a role in the student’s dissertation committee (e.g., a brief note from concerned faculty that states their interest in working with the student).
5. Evidence of participation in the life of the Department, College, and University (e.g., participation in the Thursday Policy Lunch series, or other regular intellectual exchanges).
6. Possession of external funding from a source that awards such funding on a competitive basis.
7. Participation in professional meetings.
8. Publication of articles in academic journals.
9. Service to the Department, College, or University (e.g., participation in Departmental, College, or University committees, the Rockefeller Review, coordination of a brown bag series, etc.).
10. Other factors that the core faculty may note in the student’s preparation for, approach to, and success in the core courses.

Core faculty members will vote on each student in this core GPA range regarding their retention or dismissal from the program. Dismissal may only occur with the concurrence of a simple majority of the Departmental faculty.

Review will occur twice each year: in late May and early January. Referrals for dismissal will be handed down no later than May 31 and January 10 of each year. Final decisions by the full faculty will be made as soon as possible and no later than the first day of classes for the next regular academic term.
Annual Departmental Review

In the Department of Public Administration and Policy, the progress of all doctoral students is evaluated annually in a meeting of the full faculty. A letter is sent by the PhD Director to each doctoral student reflecting the faculty’s evaluation of their progress in the previous calendar year. The purpose of the annual review and follow-up letters is to help students stay on a timely path leading to successful completion of the degree.

Annual report: To facilitate the process of evaluating students in the program, each student is required to submit an annual report in the approved form. Instructions on the annual report process will be emailed to students.

The annual report is a cumulative record of the student’s efforts to complete the PhD Program, a summary of their efforts during the preceding year, and a roadmap to completing field and program-wide requirements in order to complete their PhD. Both the student and advisor must sign the Progress Report in order for it to be valid. Annual reports are usually due at the end of the spring semester. The PhD Director will announce the due date each year.

Students are advised that the information in the annual report will be discussed by the full faculty. If there are issues the student does not wish to share with the full faculty, the student should communicate them to the PhD Director or the Director of Student Affairs in a separate communication.

The annual report will become part of the student’s permanent record. For this reason, students are advised that knowing omissions or falsifications in the annual report constitute academic misconduct and will be subject to Departmental and/or University sanctions.

Criteria Used for Review:

Annual progress will be evaluated on the following criteria, in order of importance:

1. Efforts to complete the core and field courses.
2. Progress toward completion of field requirement (i.e., literature review, publishable paper, etc.) as appropriate to their tenure in the program.
3. Progress toward completion of the dissertation, as appropriate to the student’s tenure in the program.
4. Participation in the life of the Department, College, and University (i.e., in brown bags, seminars, workshops, symposiums, study groups, dissertation review groups, etc.).
5. Participation in conferences and professional meetings, as deemed appropriate for their tenure in the program.
6. Publication in appropriate professional journals and outlets, as deemed appropriate for their tenure in the program.
7. Experience with teaching (both inside and outside the University), as appropriate to their tenure and teaching opportunities in the program.
8. Service to the Department, College, and University.
Grounds for Formal Termination of a Student’s Degree Program:

There are at least six grounds for dismissal from the PhD program after the comprehensive review:

1. Failure to maintain good academic standing, which is defined as an average of B (GPA = 3.00) in all graduate courses.
2. Failure of field qualification and review requirements.
3. A grade of U or Z in dissertation load credits (PAD 899) or pre-dissertation load credits (PAD 697, PAD 897).
4. Failure to maintain continuous registration for fall and spring terms until completion, except for formally granted leaves of absence.
5. Exceeding the statute of limitations of the degree (eight years plus formally granted leaves of absence).
6. Failure to make sufficient yearly progress toward completion of the degree, as assessed by the faculty each year.

A recommendation to separate a student formally from the program may be initiated by the PhD Director upon her or his assessment that one or more of the grounds for dismissal can be established from the student’s record. To separate a student, the PhD Director will make a formal motion to the Faculty, which is then automatically tabled until the next faculty meeting. The student will then be given at least one month to respond to the motion and provide any documentation deemed appropriate to rebut the PhD Director’s motion. A motion for separation carries if at least half of the faculty votes in the affirmative. The recommendation of the faculty is forwarded by the PhD Director and Department Chair to the University’s Office of Graduate Education. The formal decision to terminate a student’s degree program is made by the Office of Graduate Education.
ADMISSION TO CANDIDACY

Tentative Degree Program (TDP)

All students must submit a Tentative Degree Program for approval by the Department upon completion of eight or more courses. The TDP is an essential planning document for a student’s program, mapped out with the assistance of the advisor, field chair, and Director of the PhD program. The Program will be developed in consultation with the student’s advisor and members of the faculty committee for the student’s field. The initial version is subject to later revisions as approved by the Department. There is a standard form for submitting the tentative degree program available online.

The Tentative Degree Program is intended to confirm a mutual understanding between the student and the faculty with respect to how the student’s individual needs will be met in conformity with the requirements and guidelines established for the doctoral program. Any instance in which the waiver of a requirement by petition to the faculty has been granted or will be sought should be indicated specifically in the Tentative Degree Program.

Department approval of the Tentative Degree Program (and changes therein) will be based on the recommendation of a committee including the student’s advisor as a chair and one faculty member from the student’s field. They will constitute the student’s advisory committee during the student’s course of study and preparation for the field examination. (Another committee will be formed to provide guidance in the dissertation stage.)

Upon final signature of the Tentative Degree Program by the Department chair, one copy is maintained in the student’s permanent file, one copy is provided to the PhD Director, one copy is returned to the student’s advisor, and one copy is kept by the student for their personal records.

Completed Degree Program (CDP)

After the completion of the core and field requirements and before nomination for admission to candidacy, each student must submit a Completed Degree Program for approval by the Department. The CDP form is available online.

The CDP lists all courses the student has taken in the program and details the courses, papers, and other requirements completed to meet the student’s field requirements. The CDP must be signed by the student’s advisor and the field chair, as well as by the PhD Director and Department chair. The CDP ensures that students have fulfilled their field requirements before being admitted to candidacy and is used by the University to clear the student for their degree.

Research Tools

The University at Albany requires demonstrated competence in appropriate quantitative research tools for all doctoral degrees. The basic requirement for demonstrated competence in quantitative research tools in public administration and policy usually will be met by satisfactory completion of PAD 704 (or approved substitutes), PAD 705 (or approved substitutes), and the field research requirement. There is no foreign language requirement.
Minimum Credits Required

Students must complete a minimum of 60 credits of coursework before advancing to candidacy. These courses may be either letter-graded or graded Satisfactory/Unsatisfactory, but may not be graded “Load.” Students may transfer no more than 30 credits. Advisor approval is required to count a 500-level course towards the required 60 credits.

Admission to Candidacy

A student will be admitted to candidacy for the PhD degree in public administration and policy by:

1. Maintaining a satisfactory record in courses and research study;
2. Completing the residency requirement;
3. Fulfilling all research tool requirements;
4. Completing at least 60 credits of coursework; and
5. Fulfilling all qualifications and requirements in the doctoral core and the student’s field (see pages 21-39).

Only upon admission to candidacy can a student register for doctoral dissertation load credit (PAD 899). The University requires a doctoral student to be admitted to candidacy at least one term before acceptance of the dissertation and completion of the degree. Thus, if a student plans to graduate in December, admission to candidacy must occur by the end of the previous spring semester.

As students complete requirements for candidacy, they must file a “Completion of Candidacy Requirements” form. The form must be signed by their academic advisor and must be filed with Director of Student Affairs for inclusion in the student’s record. Students are encouraged to keep copies of these forms for their own records.

Admission to candidacy is approved officially following nomination by the student’s faculty advisor, field chair, PhD program director, and the department chair. When the student has completed all of the requirements for candidacy, they must file a Nomination of Doctoral Student for Admission to Candidacy form with the Director of Student Affairs.
THE DOCTORAL DISSERTATION

Each doctoral student shall be required to write a dissertation after advancement to candidacy. The dissertation requirement will be satisfied by the formulation and completion of a major piece of original research.

The Dissertation Committee

Doctoral students must have a dissertation or research committee to guide their dissertation project or research and to approve each stage of project. Ordinarily each dissertation committee must have a University at Albany, State University of New York, full-time faculty member as chair. The Department strongly encourages students to select a member of the Departmental faculty to be their dissertation committee chair. The University at Albany requires that the dissertation committee consists of a minimum of three members, two of which must be from the student’s school/college (in this case, the Rockefeller College of Public Affairs and Policy), and at least one of these must be from the student’s major department (Public Administration and Policy). Departments are encouraged to include at least one committee member external to the Department. Ordinarily, only those with an earned doctorate and/or those who hold a full professorship are eligible to participate formally in dissertation advisement and the approval of a dissertation.

When the student has a topic and research design ready for consideration by the faculty, the student chooses the membership of the dissertation committee and fills out the Dissertation Committee Declaration form (available online). In practice, the student will be working with one or more faculty members already, who will form the core of the student’s committee, provided its composition conforms to the University requirements stated above.

Presentation of a Prospectus

The candidate presents the proposal at the Prospectus Defense, a formal meeting of the dissertation committee, for criticism and agreement. In order to encourage student and faculty attendance, at least ten days prior to the Prospectus Defense the dissertation proposal must be made available to the faculty, and the time and place of the defense of the prospectus must be posted by the chair of the committee. Normally the Director of Student Affairs works with the student and committee chair to publicize the time and date of the defense.

The purpose of the oral Prospectus Defense is to assure the Department that: (a) the approach to the dissertation topic is sound, (b) the student is academically prepared to research the topic, (c) the topic is significant for the field of public administration and policy, and (d) the candidate can demonstrate a sophisticated grasp of the theoretical and substantive issues involved while defending the research orientation and the candidate’s professional identity. Once the oral examination has been passed, the candidate is considered a departmental scholar involved in significant research and dissertation development.

Depending upon the criticisms, the committee may authorize the student to proceed with the dissertation. A majority vote of this committee is sufficient to permit a student to proceed. If it is agreed that the topic or method proposed is not feasible, the student must satisfy the committee with another or a modified proposal. If the student changes the topic, a new committee may be appointed.
The committee that evaluates the dissertation proposal becomes the dissertation committee for the student. The chair of the dissertation committee becomes the student’s principal advisor.

**Functions of Dissertation Committee, Chair, and Student**

The dissertation committee will supervise the research and writing of the dissertation. It is the student’s responsibility to keep the dissertation chair informed of all progress. It is the committee chair’s responsibility to be accessible to the student, to keep other members of the committee informed of the student’s progress, and to arrange for on-going evaluations of the student’s work at those points of completion which in the chair’s judgment require such evaluation. It is desirable that serious objections be raised and communicated to the student during development of the project and research. However, final approval can be given only to a complete document.

When the candidate has completed a final draft of the dissertation that has been approved by the committee of three, the candidate requests the Department chair to announce the dissertation defense. The candidate must provide each of the members of the committee with a copy of the dissertation sufficiently in advance of his oral defense for it to be read—normally at least two weeks.

**General Regulations Governing the Submission of a Doctoral Dissertation**

Detailed guidelines and procedures governing the PhD dissertation at the University at Albany are contained in a publication called “General Regulations Governing the Submission of a Dissertation in Partial Fulfillment of the Requirements for a Doctoral Degree.” Each student entering the dissertation process should review these guidelines and download a copy of the publication from the Graduate Education Website: [http://www.albany.edu/graduate/dissertation-thesis-submission.php](http://www.albany.edu/graduate/dissertation-thesis-submission.php).

It is important to remember that dissertations—in fact all research involving human subjects—must be approved by the University’s Institutional Review Board (IRB). Copies of University guidelines for such approval are available in the department office or from the PhD Director. Failure to abide by the IRB guidelines can lead to the rejection of your dissertation by the Dean of Graduate Education and/or Provost.

The doctoral dissertation is subject to the general regulations outlined in the current graduate bulletin of the University, as well as the “General Regulations” pamphlet. The following paragraphs summarize these more detailed and more official University guidelines.

The University’s “General Regulations Governing the Submission of a Dissertation” pamphlet states that the doctoral dissertation must conform to accepted scholarly standard for format, style and general writing procedure. It goes on to prescribe specific standards for the abstract, margins, pagination, and so forth. It is imperative that students follow these guidelines closely. The committee and student should establish clear guidelines for the reference style to be used in the dissertation.
Research Away from Albany Campus

Research conducted away from the Albany campus will be performed under the procedures outlined above. If for some unusual reason exceptions are essential, as in a research project requiring supervision or participation of another academic institution, a petition must be submitted to and approved by the Department that specifies the alternate procedures for which approval is being sought. In all instances, a member of the University faculty must be involved in guiding the project.

It should be noted, however, that research away from the University at Albany does not qualify for a leave of absence. As long as a student is making progress toward the degree, by, for example, collecting data or writing, the student is required to be registered for a minimum of three credits per term for the fall and spring semesters, if admitted to candidacy, one credit per term. See the section of this Handbook on Continuous Registration, Residency, and Statutes of Limitation.

Defense of Dissertation

The completed dissertation must be presented and defended at a public meeting of the dissertation committee. In order to encourage student and faculty attendance, the time and place of the defense must be posted by the chair of the committee at least ten calendar days in advance of the presentation. Normally the Director of Student Affairs works with the students and committee chair to publicize the time and date of the defense.

Final approval of the dissertation is the jurisdiction of the dissertation committee before which the candidate defends the dissertation. It is not necessary that this committee be unanimous. An affirmative vote of a majority of the committee and a majority of members from the Department is necessary for approval.

It is wise to have prepared in advance of the defense the required dissertation signature page (see “General Regulations Governing the Submission of a Dissertation”) and to have it at the defense so the committee, if it is ready, can sign at that time.

Final Approval and Submission of the Dissertation

Upon approval of the dissertation by the committee, the student prepares and submits two error-free and clean copies as required in the University’s pamphlet “General Regulations Governing the Submission of a Dissertation.” Forms for submission of the dissertation and supporting documents are available from the PhD Director and from the Rockefeller College website. The Rockefeller College of Public Affairs and Policy receives one of these copies, bound by the University, for its Departmental collection.

Applying for Graduation

A student nearing completion of the dissertation must apply for graduation during the session in which the degree is expected. Degree applications are filed online through the MyUAlbany web portal and must be filed before the deadline established for each graduation conferral—either May, August, or December of each year. If a degree is not awarded, a new Application must be filed during registration for the session in which the degree award is expected.
OTHER RESOURCES

PhD Forms

All forms may be downloaded from the Rockefeller College website at http://www.albany.edu/rockefeller/user_current_graduate_students_3tabs.shtml.

Frequently Asked Questions

Students are encouraged to consult the Frequently Asked Questions section of the website at http://www.albany.edu/rockefeller/pad_faq_phd.shtml for answers to their routine program- and department-related questions.

Electronic Communications with the PhD students

While official notices of administrative and academic actions will be delivered to students by postal mail to their current mailing address, the vast majority of communication will occur via electronic mail. To facilitate communication with PhD students, the Department maintains the PADOC LISTSERV. Students are expected to be subscribed to this LISTSERV during their tenure in the PhD program. Students are strongly urged to subscribe their most regularly used e-mail address to this list. Contact the PhD Director for subscription instructions. Please note that most notices of deadlines and program changes will be made via the PADOC LISTSERV and will not be made via postal mail.

All official University communication (including registration deadlines, financial aid information and emergency notifications) will occur through the student’s UAlbany email address. Students are encouraged to check this email address often.

Travel Support for Conference Attendance

Each year the Department makes available a limited pool of funding for student attendance at conferences. Funds are awarded competitively, with preference given to students who present papers at so-called “high-leverage” conferences, which include the Association of Public Policy Analysis and Management (APPAM), the Academy of Management (AoM), Association for Research on Nonprofit Organizations and Voluntary Action (ARNOVA), the American Society of Public Administration (ASPA), the Public Management Research Conference (PMRC), and the Association on Budgeting and Financial Management Annual Conference (ABFM), though funding for attendance at other scholarly conferences is always considered. To receive funding, students must apply for funding before they travel and conform to the University’s strict rules governing accounting procedures and use of approved travel agents. The application for travel support is available online; specific instructions and deadlines will be sent at the start of each academic year.
Official Leave of Absence/Medical Withdrawal from a Graduate Program

Students may be granted an official leave of absence for an appropriate academic or personal reason. A leave of absence must be approved by the Department. Normally, a leave of absence will be granted for a period of up to one year. Under compelling justification, a leave may be extended for another year. The period of authorized leave of absence is not counted as part of the statute of limitations for the completion of degree requirements.

Students who are on leave of absence are not entitled to use university facilities and faculty resources exclusively afforded to students.

A student making progress toward the doctoral degree, by, for example, collecting or analyzing data away from the University at Albany campus, is not eligible for a leave of absence (see Continuous Registration, pg 5).

Withdrawals from the University due to medical/psychological reasons must be recommended by the University Health Center or University Counseling Center upon review of documentation supplied by a licensed health care practitioner or treatment facility. In order for action to be taken on an application for readmission submitted by a student who withdrew for medical/psychological reasons, clearance must be granted by the University Health Center or University Counseling Center.

Applications for Leave of Absence and Medical Withdrawal can be found on the Graduate Education website at http://www.albany.edu/graduate/graduate-forms-publications.php.
FIELDS OF CONCENTRATION
Faculty and Interests

Mitchel Y. Abolafia - organization theory, bureaucratic politics, regulatory systems
Jennifer Dodge - nonprofit organizations and democratic governance, public and social change leadership, environmental policy and politics
Mila Gasco-Hernandez - government information strategy and management, transparency and open government, co-production and collaboration
J. Ramon Gil-Garcia - government information strategy and management, inter-organizational collaboration and information sharing, smart cities and smart governments, adoption and implementation of emergent technologies, information technologies in organizations, digital divide policies
Stephen Holt - performance management, representative bureaucracy, and public service motivation
Luis Lunas-Reyes – dynamic modeling and simulation of socio-technical systems, government information strategy and management
Theresa A. Pardo - government information strategy and management, information science, technology and policy
R. Karl Rethemeyer - social and organizational networks, network management, government information strategy and management
Ellen V. Rubin – public human resource management, workplace fairness, performance management
Elizabeth Searing - nonprofit organizations and management, financial management
Edmund Stazyk - bureaucracy, employee motivation and performance, public human resource management
Jeffrey D. Straussman - governance, leadership, management of public policy

Overview of Concentration

Public and nonprofit management draws on multiple fields of knowledge and methodological approaches to understand how public policies are implemented effectively, efficiently, and equitably through institutions across multiple sectors. Public and nonprofit management considers how managerial techniques and technological innovations can be applied to achieve policy goals. Furthermore, public and nonprofit management evaluates how organizations work with partners, stakeholders, and networks to influence policy outcomes. Larry Lynn (2005, pg 28), who has written extensively on the development of the sub-field of public management, defines its study in the following way: “[Public management] broadly encompasses the organizational structures, managerial practices, and institutionalized values by which officials enact the will of the sovereign authority, whether that authority is prince, parliament, or civil society.”

Increasingly, scholarship in public and nonprofit management is taking on a comparative perspective, assessing results, stakeholders, and partnerships across multiple national settings.

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Doctoral students in public management at UAlbany study the management challenges within public and nonprofit organizations and the challenges and opportunities presented by multi-sector policy implementation. We aim to prepare future scholars who will use theory-informed empirical research to advance academic inquiry and practice. Our orientation to public and nonprofit management assumes that public organizations operate in an environment that is distinct from private, for-profit organizations. The interdisciplinary character of public and nonprofit management is reflected in the diverse theories and methods used by our faculty and students. Research conducted here is intentionally built on foundations from the fields of political science, sociology, psychology, economics, organization behavior and theory, and information sciences.

Course Requirements

There are currently no prerequisite courses.

Required Field Courses

Students are required to take one research methods course in addition to PAD 704 and 705. The course can be offered in our department or anywhere else in the university. Students should consult with their advisor to identify a course that best fits your research interests. See the research methods courses listed under the public policy concentration for available options.

Field Electives and Tracks

Students must complete at least seven field electives. Within these seven electives, students are strongly encouraged to take an additional (fourth) methods course.

The following tracks exemplify the strengths of our department’s faculty. Students should work closely with their advisers to select appropriate electives, even beyond those listed here. Because of the interdisciplinary nature of public and nonprofit management students are encouraged to take courses in other schools or departments around the university, including, but not limited to: political science, sociology, psychology, information systems, and economics.

In addition to the tracks listed in detail below, students may develop other tracks in close consultation with their advisers that fit their research interests in public and nonprofit management. Some possibilities include, but are not limited to:
• Leadership in public and nonprofit organizations
• Organizational performance management
• Public health management
• Homeland security management
• Local government management
• Intergovernmental management

Public Sector Management

PAD 636  Cultural Analysis of Organizations
PAD 671  Managing Public Sector Performance
PAD 737  Contemporary Organizational Theory
PAD 739  Contemporary Organizational Behavior
PAD 637  Social and Organizational Networks
PAD 625  Bargaining and Negotiation
PAD 614  Managerial Leadership in the Public Sector
PAD 615  Strategic Planning and Management
PAD 618  Public Personnel Administration
POS 513  Field Seminar in Public Policy (cross-listed as PAD 526)
ECO 530  Economics of the Public Sector
PSY 730  Attitudes and Social Cognition
PSY 751  Work Motivation
PSY 641  Survey of Organizational Psychology
PSY 753  Psychometric Theory and Research
SOC 654  Complex Organizations and Bureaucracy
SOC 642  Sociology of Work

Nonprofit Management and Policy

Note: The nonprofit faculty recommend that students in this track balance course selection between theoretical foundations and substantive knowledge. They have a longer list of recommended courses. Please consult with your adviser.

PAD 720  Theory and Research on Nonprofit Organizations and the Nonprofit Sector (Required)
PAD 612  Nonprofits and Public Policy
PAD 607  Nonprofit Governance
PAD 640  Financial Management for Nonprofits
PAD 604  Inequality and Public Policy (cross-listed with RPOS 604)
PAD 636  Cultural Analysis of Organizations
PAD 737  Contemporary Organizational Theory
PAD 739  Contemporary Organizational Behavior
POS 513  Field Seminar in Public Policy (cross-listed as PAD 526)
POS 509  Citizen Participation and Public Policy
SOC 654  Complex Organizations and Bureaucracy
SOC 661  Political Sociology
SSW 790  Human Service Orgs in a Changing Environment
SSW 791  Managing Systems in Human Service Organizations
SSW 793  Leadership in Human Service Organizations
SSW 792  Community Building
Our Government Information Strategy and Management (GISM) specialization focuses on public policy and management innovations that are the consequence of rapidly changing information and communication technologies (ICTs) and dramatic changes in the nature, amount, and availability of information in government and society.

PAD 750 Seminar on Social Perspectives of Information Technology in Public and Private Organizations (Required)
PAD 550 Foundations of Government Information Strategy and Management
PAD 570 Government Information Strategy and Management: Comparative and International Perspectives
PAD 650 Building a Case for IT Investment in the Public Sector
PAD 652 Seminar on Government Information Strategy and Management
PAD 699 Information Technology Innovation and Change Management in the Public Sector
PAD 545 Principles and Practices of Cyber Security
PAD 569 Cyber Threats and Intelligence
PAD 614 Managerial Leadership in the Public Sector
PAD 615 Strategic Planning and Management
PAD 624 Simulating Dynamic Systems
PAD 637 Social and Organizational Networks
PAD 671 Managing Public Sector Performance
PAD 737 Contemporary Organizational Theory
PAD 739 Contemporary Organizational Behavior
INF 720 Managing Information and Technology in Organizations
INF 721 Information and Society
INF 724 Information Policy
SOC 654 Complex Organizations and Bureaucracy
COM 520 Theories and Research in Political Communication
MGT 750 Seminar in Leadership and Managerial Skills
POS 513 Field Seminar in Public Policy (cross-listed as PAD 526)
Public Human Resources Management

PAD 618 Public Personnel Administration
PAD 651 Labor Relations in the Public Sector
PAD 636 Cultural Analysis of Organizations
PAD 671 Managing Public Sector Performance
PAD 737 Contemporary Organizational Theory
PAD 739 Contemporary Organizational Behavior
PAD 625 Bargaining and Negotiation
PAD 614 Managerial Leadership in the Public Sector
PAD 615 Strategic Planning and Management
POS 513 Field Seminar in Public Policy (cross-listed as PAD 526)
PSY 751 Work Motivation
PSY 752 Personnel Psychology
PSY 753 Psychometric Theory and Research
PSY 754 Training and Development in Organizations
PSY 757 Performance Appraisal
PSY 641 Survey of Organizational Psychology
SOC 654 Complex Organizations and Bureaucracy
SOC 642 Sociology of Work

Admission to Candidacy

In addition to course work described above, students concentrating in Public Management must complete two requirements prior to admission to candidacy for the PhD: a literature review paper and an original research paper appropriate for publication.

1. **Literature review paper.** Each student is required to write an original literature review that demonstrates command of the literature within a topical area of special interest. The paper may focus on either methodological or substantive issues. The purpose of this paper is to demonstrate that the student a) has developed a command of the relevant literature in a recognized field of academic inquiry, b) can critically analyze the existing literature, and c) can identify opportunities for advancing research on that topic.

   This literature review may serve as the literature review for the dissertation, but is not required to do so.

2. **Original research paper appropriate for publication.** Each student is required to write an original empirical research paper appropriate for publication in a peer-reviewed academic journal. The purpose of the paper is to demonstrate that the student has developed the ability to independently conduct significant academic research within a chosen field of inquiry. This paper should make a contribution to the relevant literature within a topic area of special interest. To explore this topic, students should acquire and systematically analyze quantitative or qualitative data using appropriate methodologies.

   Note: if the student has an original research paper accepted for publication in an academic journal, the student will be assumed to have met this requirement if 1) the paper underwent peer review and 2) the journal is listed in the Thompson Reuters Social Science Citation Index (SSCI).
The original research paper may serve as one chapter of the dissertation, but is not required to do so.

**Procedures:** Completion of this requirement is contingent upon approval of both papers by a committee of three faculty members, two of whom must be members of the Department of Public Administration and Policy. This committee does not necessarily need to be the same as the dissertation committee.

These requirements will ordinarily be satisfied during the third year of the doctoral program. Students should assume they will undergo multiple rounds of revisions with their committee Chair, and at least one round of revision with their full committee before the papers are officially submitted to the committee for final approval. Once revisions are completed, committees will review submissions and by majority vote assign one of three grades: accept as written, revise, or reject. Failures to accept either paper on the second submission will result in dismissal from the program.

As each requirement is finished, the student must file a “Completion of Candidacy Requirements” form with the Director of Student Affairs. Once all candidacy requirements are completed, students must complete the “Admission to Candidacy” form.
Faculty and Interests

Gang Chen – public budgeting and finance
David Matkin – public budgeting and financial management
Elizabeth Searing – nonprofit financial management and social enterprise
Jeffrey D. Straussman — public expenditure management
Stephen E. Weinberg — public finance, health economics, psychological economics

Public finance can be broadly understood as the application of theories, concepts, and methods from a variety of disciplines to the evaluation of the operations and outcomes of government and nonprofit programs and the understanding of major public sector and organizational resource allocation processes. In the managerial finance subfield, it also includes the study of how public and nonprofit managers plan for, acquire, and manage resources. Specific disciplines important to the field are economics, finance, accounting, and political science.

Research in this area typically is published in applied economics, government finance, nonprofit and policy analysis journals such as the National Tax Journal, Public Budgeting and Finance and the Journal of Policy Analysis and Management and in specialized policy-oriented journals such as The Journal of Education Finance and The Journal of Health Politics, Policy, and Law. Albany faculty are drawn from a number of disciplines and conduct research in a broad range of areas, including health, education and welfare policy, public budgeting, nonprofit financial management, the role of financial markets in public and nonprofit management, performance-based incentive systems, and technology policy.

Doctoral study in public finance is oriented towards the acquisition of both substantive expertise and appropriate methodological and analytical skills. Students will acquire basic competence in microeconomics and econometrics. Additional skills may be required for some substantive areas.

For the dissertation, students may choose to apply economic and financial theories and methods to the study of major public policy problems or they may choose to examine major public resource allocation processes, including budgeting and policy implementation. Current faculty research interests are in education finance, income security policy, health care finance and policy, nonprofit finance, financial markets, and government performance systems. Current or recent doctoral dissertations in this area have investigated such topics as equity issues in the allocation of resources to individual schools in the New York City school system, Medicaid spending for home care services, nursing home reimbursement under Medicaid, the implementation of welfare reform legislation, and the consequences of Medicaid growth for state finances.

Career Opportunities in Public Finance. Public Economics and Finance graduates are generally in high demand as faculty in public administration programs. Our graduates hold academic appointments at Indiana University-Bloomington, the University of Arizona, the University of Minnesota-Minneapolis, the University of Nebraska-Omaha, the University of Maine, Cal State-Bakersfield, and Yonsei University in South Korea, among others.
Course Requirements

The two basic prerequisites for doctoral study in this area are intermediate statistics and economics through intermediate microeconomics. Students who choose to focus on the more technical aspects of public economics or market finance will also find quantitative coursework to the level of linear algebra and calculus-based optimization helpful. In addition, people choosing to concentrate their studies on financial management will need an understanding of managerial finance at the level of PAD 501 to prepare them for advanced study. Students without this level of preparation may acquire it through independent study, by auditing courses, or by registering for courses. Appropriate courses may be taken at the University or elsewhere prior to beginning doctoral study or as early as possible in their graduate career. Students with limited background in areas relevant to their course of study will be expected to complete appropriate masters-level course work in these areas prior to undertaking more advanced study.

Because not all courses are offered every year, students must consult with their advisors while planning their schedules.

Required Field Courses

All students are required to complete coursework in the following areas:

**Quantitative Methods:** (one or more of the following) Because of differences in course content and overlaps in material across schools, we strongly advise each student to meet with an advisor prior to starting their quantitative-course sequence.

- ECO 520/521 Quantitative Methods (these courses must be taken together)
- ECO 620/621 Quantitative Methods (with sufficient training in economics these courses may be taken in lieu of ECO 520/521)
- ECO 525 Time Series and Forecasting
- CRJ 687/690 Statistical Techniques in Criminal Justice Research II and III (CRJ-687 may be taken alone but the course combination must be taken in sequence)
- SOC 609 Multivariate Analysis

**Public Economics:** (one of the following courses)

- ECO 530 Economics of the Public Sector
- PAD 643 Governmental Finances
- PAD 648 Economics of Government Revenues

Field Electives

Doctoral students in this area, in consultation with an advisor, develop a further plan of study that provides expertise in a chosen substantive area. This plan may include independent readings courses and appropriate graduate courses in other departments or schools such as economics, political science, business, social welfare, and public health. The public-finance specialization at Rockefeller College offers two major areas of study – public economics and managerial finance. Students will typically focus their elective course work within one of these areas but may, with the approval of their advisors, combine elements of each to form a customized field of study.
Public Economics courses may include:

- PAD 642 Public Budgeting
- PAD 644 Health Care Finance
- PAD 645 Psychological Economics in Public Policy
- PAD 654 Economics of Health Policy: Your Money or Your Life
- PAD 658 Readings in Public Finance
- PAD 669 Economics of Education II
- HPM 500 Health Care Organization, Delivery, and Financing

Managerial Finance courses may include:

- PAD 631 Cost Management for Government and Nonprofit Organizations
- PAD 640 Financial Management for Non-profits
- PAD 641 Government Accounting
- PAD 642 Public Budgeting
- PAD 644 Health Care Finance
- PAD 647 Capital Markets, Risk & Governments
- PAD 658 Readings in Public Finance
- PAD 659 Managing Public Service Organizations
- FIN 608 Capital Markets, Financial Intermediation, and Investment Analysis

Residency

In addition to these formal course requirements, students are expected to be active in research through increasingly responsible participation in faculty research projects, attendance and presentations at professional meetings and other forums, and publications in scholarly journals.

Admission to Candidacy

In addition to the course work described above, students must complete two requirements prior to admission to candidacy for the PhD

1. Literature review paper. Each student is required to write a major literature review that will demonstrate mastery of current theory and research in a major area of the discipline relevant to his or her long term research interests. This review will define a significant subfield within public finance and review and critique existing literature in this area. The dissertation will typically be written on a particular topic within this subfield.

2. Research paper appropriate for publication. Each student also writes an original research paper suitable for publication in a peer-reviewed journal or similar outlet. This paper will involve the acquisition and analysis of data by some methodology, whether quantitative or qualitative, appropriate to the topic. Acceptance for publication of a research paper in an appropriate peer-reviewed journal ordinarily will be taken as evidence that this requirement has been satisfied.

Procedures: These requirements normally will be satisfied during the third year of a student’s residency after all course work has been completed. Normally, the literature review will be completed first.
Each paper will be overseen by a separate committee of three faculty members, at least two of whom must be members of the Department of Public Administration and Policy. The student’s advisor may chair one of these committees but not both. Students will prepare a prospectus for each paper that must be approved by these committees.

Committees will review completed submissions and by majority vote assign one of three grades: accept as written, revise, or reject. Failure to accept either paper on the second submission will result in dismissal from the program.

As each requirement is finished, the student must file a “Completion of Candidacy Requirements” form with the Director of Student Affairs. Once all candidacy requirements are completed, students must complete the “Admission to Candidacy” form.
The Public Policy field is concerned with appropriately using substantive quantitative and qualitative analyses to support decision making on important applied public policy issues. Due to its close proximity to one of the largest U.S. government centers, Rockefeller College provides an ideal laboratory setting for doctoral students to study critical public policy issues and work with government clients and data. Research methods include multivariate statistics, judgment and decision analysis, simulation modeling, program evaluation, network analysis, operations research, economic analysis and interpretive policy analysis. Students electing this concentration are expected to gain familiarity with research design and relevant computer applications, and to develop special competency in at least one method, a disciplinary area, and a substantive policy area. Students are strongly encouraged to work closely with affiliated research centers (including Rockefeller Institute of Government, Center for Technology and Government, Center for Policy Research, and the Initiative for System Dynamics in the Public Sector) to gain practical experience in applied policy research projects. Students will be trained to design and manage applied policy research projects in academic, private, or government settings.
Course Requirements

In addition to the core doctoral courses, students should take 32 additional credits, divided into one required public policy field seminar, at least 14 credits of advanced methods courses, and additional courses in a substantive and disciplinary area. Through the advanced methods courses, students must develop an advanced proficiency in at least one methodology. Students are strongly encouraged to take methods and/or substantive courses in a disciplinary area (sociology, economics, or political science) to become grounded in that orientation. In addition, students are strongly encouraged to participate regularly in the Thursday Policy Lunch (TPoL) brown bag seminar and keep a lab notebook detailing their TPoL activities.

In planning their programs of study, students should prioritize scheduling the core PhD courses, as many are offered on an every-other-year basis. Students should be careful to count their total credit hours to ensure they have met the minimum requirements. As described in more detail below, some courses may count toward multiple categories (methods, discipline, or substantive area) although taking those courses would not reduce the total number of credit hours. Students should also note that although many Rockefeller College courses are 4 credits, semester-length courses in other departments may be 3 credits.

To proceed to candidacy, students must complete the relevant coursework, original literature review paper, and original research paper.

Required Field Courses

RPAD 688 Statistical Programming Workshop (1 credit satisfactory/unsatisfactory)
RPAD 725 Applied Quantitative Methods (prerequisites: RPAD 688, RPAD 705)
RPOS 513 Field Seminar in Public Policy (also cross-listed as RPAD 526)

Field Electives in Research Methods

Students must complete at least 14 credits of advanced methods courses, beyond the PhD core courses. RPAD 688 and RPAD 725 will fulfill 5 of these credits. At least two of the advanced methods courses must be in a sequence (such as social network analysis, applied statistics, simulation modeling or interpretive policy analysis). Students are encouraged to broaden their methodological skill set by taking courses on research methods outside their primary methodological focus. For example, students with a primary focus in econometric modeling could take a course on qualitative research methods, or students interested in health policy could take a two-course epidemiology sequence. An applied content course that makes heavy use of research methods may be suitable as a secondary methods course with the adviser’s permission. Students must consult with their advisers before enrolling in courses to ensure they fulfill requirements.

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2 The MPA introductory core courses on data analysis (PAD 504 and PAD 505) or other introductory statistics courses will not count toward this requirement because the knowledge is assumed to be prerequisite for PAD 704 and PAD 705. However, some introductory masters-level courses may be appropriate if they teach research methods skills not covered in the PhD core curriculum, such as the use of specialized software. Course content may vary across semesters, so depending on the specific content being taught a course may count in some semesters but not in others. Students should solicit a current syllabus for courses to discuss with their advisors. The field chair should be consulted for questions about whether a course would count towards the methods requirement.
Research Methods courses may include:

**Statistical Techniques**
- AECO 529  Forecasting in the Public Sector
- AECO 620  Econometrics I
- AECO 621  Econometrics II
- AECO 525  Time Series and Forecasting
- APSY 511  Statistics and Experimental Methods II
- APSY 613  Multivariate Analysis
- ASOC 602  Research Issues in the Sociology of Crime and Punishment
- ASOC 622  Selected Topics in Multivariate Analysis
- ASOC 708  Selected Topics in Methodology
- HEPI 601  Topics in Epidemiologic Methods
- RCRJ 689  Statistical Techniques in Criminal Justice Research II
- RCRJ 690  Statistical Techniques in Criminal Justice Research III
- RCRJ 788  Special Methods Seminars

**Social Network Analysis**
- RPAD 637  Social and Organizational Networks in Public Policy, Management, and Service Delivery: Theory, Methods, and Analysis
- RPAD 777  Advanced Topics in Social Network Analysis

**GIS and Spatial Analysis**
- AGOG 596  Introduction to Geographic Information Systems (cross-listed with APLN 556)
- AGOG 597  ARC/INFO Practicum (advanced GIS, after AGOG 596)
- AGOG 692  Seminar in Geographic Information Systems (cross-listed with APLN 656)
- HEPI 621  GIS and Public Health
- RCRJ 693  Geographic Information Systems in Criminal Justice
- RCRJ 694  Spatial Data Analysis in Criminal Justice

**Mathematical Modeling**
- AGOG 518  Ecological Modeling (cross-listed with IINF 508)
- RPAD 624  Business Dynamics: Simulation Modeling
- RPAD 615  Strategic Planning
- RPAD 724  Simulation for Policy Analysis & Design
- RPAD 824  Advanced Topics in System Dynamics

**Other Quantitative Methods and Research Design**
- AECO 519  Economic Surveys and Forecasting
- ASOC 626  Survey Design and Analysis
- HEPI 501  Principles and Methods of Epidemiology I (a 2-course sequence with HEPI 502)
- HEPI 502  Principles and Methods of Epidemiology II
- HEPI 514  Computer Programming for Data Management
- HHPM 635  Economic Evaluation in Health Care
- RCRJ 688  Research Design in Criminal Justice II

**Qualitative Analysis**
- AANT 624  Seminar in Linguistics
- ASOC 535  Qualitative Research Techniques
- ETAP 777  Qualitative Research Methods
Field Electives in Disciplinary Areas

Students will take two or more courses in one disciplinary area to ground themselves in the general concepts of a discipline used to study their policy area. Currently supported disciplinary areas are: economics, political science, and sociology. Students should consult with their advisers before enrolling in courses.

Economics courses may include:
- AECO 505  Game Theory
- AECO 510  Mathematics for Economists (or else ECO 610)
- AECO 600  Microeconomics
- AECO 700  Microeconomics II

Political Science courses may include:
- RPAD 604  Inequality and Public Policy (cross-listed with RPOS 604)
- RPOS 509  Citizen Participation and Public Policy
- RPOS 541  Field Seminar in Public Law
- RPOS 550  Field Seminar in Comparative Political Systems
- RPOS 570  Field Seminar in International Relations

Sociology courses may include:
- ASOC 510  Sociological Theories I (a 2-course sequence with ASOC 511)
- ASOC 511  Sociological Theories II

Field Electives in Substantive Areas

In consultation with an advisor, students will develop an expertise in a substantive policy area (such as health policy, environmental policy, information policy, or security policy), which will become the area of study for the dissertation. The original literature review and research papers must be related to the substantive area. Students are encouraged to take graduate courses in other departments and schools to fulfill this requirement. Courses taken in other departments may be counted toward multiple methods, disciplinary, and substantive requirements. For example, a political science course on homeland security policy could count toward the disciplinary focus (political science) and substantive area (homeland security), or else a two-course epidemiology sequence could count toward the methods requirement (observational studies) and substantive area (health). Note that courses that count toward multiple areas (methods, discipline, or substantive) do not reduce the total credit requirement.

Thursday Policy Lunch (TPoL)

TPoL is an informal (bring-your-own) brown bag lunch on methods-based public policy research that meets on Thursdays at noon. TPoL features: presentations by faculty and other researchers, describing current projects and discussing practical challenges of methods-based research; presentations by doctoral students doing their own research; and occasional discussions of professional development topics. TPoL attendees will be exposed to different policy areas and
methodological tools, receive feedback on work-in-progress, and have opportunities to network with policy researchers within and outside of Rockefeller College. The TPoL presentations tend to focus on quantitative, and sometimes mixed, methods. Students who will concentrate on qualitative or interpretive methods are encouraged to seek out and attend lectures and presentations in other departments in which qualitative work is being presented to gain an understanding of the diversity of approaches and to enhance their ability to understand and critique qualitative research.

Public Policy students are strongly encouraged to attend regularly (both before and after achieving candidacy) and keep a TPoL lab notebook to organize notes. The lab notebook may be either electronic (such as an iPad) or else paper-based (such as a composition book or three-ring binder). In the TPoL lab notebook, students may jot down notes, questions for speakers, copies of PowerPoint slides, feedback received from presentations, and other ideas inspired by TPoL presentations.

The suggested participation is below:

- **Attend TPoL each week**: “Attendance” includes both a physical presence and a mental presence (asking questions, jotting notes, and reading papers in advance if they are made available).
- **Present once per year, starting in second year**: Students may present research ranging from nascent project ideas to work-in-progress to completed work. Although ideas do not need to be polished, presentations should be polished and professional. This includes clean and rehearsed PowerPoint slides with minimal typographical errors, dressing in business attire appropriate for a research conference, and for work-in-progress, adding slides that detail specific areas where audience feedback would be helpful. Students are strongly encouraged to invite other students and faculty to attend their presentations.
- **Present before attending conferences**: As scheduling permits, students should deliver a dress rehearsal practice presentation before all conferences in order to receive feedback and practice their timing. TPoL is also an appropriate forum for practice job talks.
- **Host two presenters per semester**: Hosting entails meeting with the speaker (whether outside speakers, UAlbany faculty, or graduate students) for 30 minutes before or after the talk, depending on the speaker’s time preference and availability. During these meetings, students should talk to the presenter about research. Appropriate topics include: how the presenter came up with the research idea, unexpected pitfalls, data collection, and current projects. Student hosts may also discuss their own research. For speakers that are not regular TPoL attendees, hosting also entails arriving 15 minutes early to unlock the room and help the speaker set up PowerPoint slides, sending a follow-up thank-you email within 24 hours of the talk, and encouraging other students to attend the talk. Multiple students may host the same speaker.

**Student Profile Sheet**

Students are strongly encouraged to complete the student profile sheet of skills and interests as part of the Annual Progress Report to the PhD Director. The purpose of this document is to facilitate matching students to research assistantships with faculty and research centers. It is also an advising tool to identify areas of weakness that could be addressed through future coursework and applied research projects.
**Admission to Candidacy**

To achieve candidacy, students must successfully complete the field courses and the following two requirements:

1. **Literature review paper.** Students will write an original literature review that demonstrates mastery of the current theory and research in the student’s selected substantive policy area. The literature review will define a significant subfield within the substantive area and review and critique the existing literature. The paper should be a stand-alone piece of sufficient quality for submission to an academic peer-reviewed journal. The paper may be a policy retrospective (for examples, see policy reviews and retrospective articles for public administration and policy field journals such as *Journal of Policy Analysis and Management* or *Public Administration Review*, or else policy retrospectives in substantive area journals such as *American Journal of Public Health* or *Journal of Health Policy, Politics, and Law*). Alternatively, the paper may be a systematic review or meta-analysis; students selecting this option are strongly encouraged to follow rigorous procedures such as those prescribed by the Preferred Reporting Items for Systematic reviews and Meta-Analyses (PRISMA) Statement. Students will normally format their literature review papers for a specific journal and submit them for peer review upon consultation with their advisers. Typically this will be the first of the four chapters of the dissertation.

2. **Original research paper suitable for publication.** In addition to the original literature review paper, each student will write an original empirical research paper suitable for publication in a peer-reviewed academic journal. Appropriate journals may be public policy and administration field journals, or else field journals in the substantive area. This paper will involve the acquisition and systematic analysis of data using an appropriate methodology. Acceptance for publication in an appropriate peer-reviewed journal ordinarily will be taken as evidence that this requirement has been satisfied. Typically this will be the second of the four chapters of the dissertation.

**Procedures:** Completion of the two paper requirements is contingent upon approval by a committee of three faculty members, two of whom must be members of the Department of Public Administration and Policy. These requirements will ordinarily be satisfied during the third year. Committees will review completed submissions and by majority vote assign one of three grades: accept as written, revise, or reject. Failures to accept either paper on the second submission will result in dismissal from the program. This committee does not necessarily need to be the same as the dissertation committee.

As each requirement is finished, the student must file a “Completion of Candidacy Requirements” form with the Director of Student Affairs. Once all candidacy requirements are completed, students must complete the “Admission to Candidacy” form.

**Prospectus and Dissertation (Post-Candidacy)**

Pages 16-18 of the manual contain general details on the prospectus and dissertation process. The guidelines below are specific to Public Policy concentrators.

Due to the applied empirical focus of this concentration, students are strongly encouraged to follow a collected paper dissertation model, which normally include: a publishable literature review paper, three publishable stand-alone empirical papers, and introductory and discussion
chapters that describe how the four papers are related, synthesize main findings and their importance to the public policy analysis and practice, and discuss future directions. All papers must be first-authored, although depending on the nature of the research (such as using an existing secondary data source or else a systematic literature review for a health journal that requires two independent reviewers as part of the research protocol), it may be appropriate to include coauthors. The literature review and empirical papers must be related in a cohesive, coherent, and integrated body of work, and the collected paper option does not imply that any combination of papers would be acceptable.

In most cases, the written prospectus should be in a similar style to a grant proposal, using the following format. This particular format is adapted from NIH guidelines (which have generalizable components), and students are encouraged to adapt their prospectuses to apply for external funding in consultation with their advisers. In some circumstances, this format may be modified upon consultation with advisers.

1) **Title Page**: Include the working title and a four-sentence abstract that can be understood by researchers outside of the field.

2) **Specific Aims**: Briefly describe the project background in approximately one paragraph. Then state concisely the goals of the proposed research, and the expected impact that the results of the proposed research will have on the research field(s). List the specific objectives (aims) of the proposed research, such as to test a stated hypothesis, to create a novel research design, to solve a specific problem, to challenge an existing paradigm, to address a critical barrier to progress in the field, or to develop a new methodological tool. Clearly articulate the research question(s).

3) **Research Strategy**: This section should include the significance, innovation, and approach. In the *significance* sub-section, students should explain: the importance of the problem that the proposed project addresses, and how the proposed project will advance scientific knowledge, research methods, or practice in one or more broad fields. The *innovation* sub-section will explain how the proposed research seeks to shift current research or policy practice paradigms; the development, refinement, or application of theoretical concepts to new areas; the development, refinement, or application of research methodologies to new areas; and/or the development, refinement, or application of policy interventions to new areas. The *approach* sub-section will describe the overall strategy, methodology, and analyses, and how they will meet the project goals. Acknowledge pitfalls and limitations, and suggest alternative strategies where possible.

4) **Timeline**: Include a Gantt chart of the anticipated timeline. Include time for data acquisition, data analysis, writing, and draft revisions in consultation with the dissertation committee. In establishing the timeline, be realistic about other commitments (such as teaching or other research obligations).

5) **References**: Consult with committees about a preferred reference style.

6) **Appendices**: Where appropriate, students may include items such as papers already under review or published, sections of codebooks or questionnaires (for analyses of secondary data), or draft survey instruments. Appendices should not be used to circumvent the page limit, and students should only include items that are directly relevant.

All text (except the title page, references, and appendices) should be between 20 and 30 pages of double-spaced text. The prospectus should be written clearly with minimal jargon, abbreviations, or colloquialisms. Although tables, figures, diagrams, and charts may be used to highlight and clarify key points, they must be included within the 30 page limit.
The department’s previous PhD program concentrations in Organizational Behavior and Theory and Politics and Administration are no longer available as of fall 2017.