

**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 following is a summary of key stages and tasks that a student must fulfill to complete the PhD program in public administration and policy.

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<b>Core course work and comprehensive review</b>		
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## **STRUCTURE OF THE PROGRAM: CORE COURSES AND FIELDS**

The PhD program in public administration and policy at the University at Albany consists of (1) six 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 Knowledge**

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 Economics and Finance (two semesters), 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 courses that comprise the core of the doctoral curriculum:

PAD 702	Politics and Administration
PAD 703	Economic and Financial Theory
PAD 704	Research Methods I
PAD 705	Research Methods II
PAD 708	Organizational Behavior and Theory
PAD 709	Foundations of Public Administration

Full-time students are expected to complete the core courses by the end of their first year.

In addition, 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.

After satisfactory completion of the core courses, students will be subject to a comprehensive review by the “core faculty” (i.e., the instructors of record for the six core courses). This review is mandatory upon achieving a grade in all six core courses. (See page 23 of this manual for a description of the review process.)

## **Field Structure**

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

- Comparative and International Administration
- Decision and Policy Sciences
- Organization Behavior and Theory
- Politics and Administration
- Public Finance
- Public Management

Each student concentrates in one of these fields and must meet the requirements specified by the Department for that field. 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.

## **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, PAD 705, and the field research requirement. There is no foreign language requirement.

## **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. Student must complete their degree within the “statute of limitations,” which is eight calendar years, as calculated from the date of initial registration in the program and excluding approved leaves of absence.

## **Part-time/Full-time Status and Residency**

Twelve credits per term is considered a full-time load at the University at Albany. A full-time load for students with half-time assistantships is at least 7 credits a term, or 15 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.

All doctoral students in the program are required to spend at least two academic terms in full-time residence at the University. The terms *do not* need to be consecutive. The residency requirement must be fulfilled within four calendar years of the date of initial registration in the program.

## **FIELDS OF CONCENTRATION IN THE PHD PROGRAM**

### **COMPARATIVE AND INTERNATIONAL ADMINISTRATION**

Holly Sims, Chair  
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#### **Faculty and Interests**

Victor H. Asal—political violence, political inclusion and exclusion  
Cheng Chen—post communist societies  
Erzsébet Fazekas—non-profit organizations and civil society, post-communist societies  
Erik P. Hoffmann—Russia, post communist societies  
Robert T. Nakamura—legislative development  
Holly Sims—international development environmental policy  
Jeffrey D. Straussman—governance, political economy of transition

Ancient philosophers recognized that knowledge of oneself and one's own society is gained through knowledge of other societies. Comparative and international administration familiarizes students with concepts and theories of comparative analysis and applies them to the study of policy approaches and institutions in key industrialized countries, including Britain, France, Japan and the former Soviet Union. Those societies offer a range of alternatives that may help students understand and address problems in their own society, particularly those related to economic growth, political change, social services, and environmental protection.

The field also considers the challenges of development confronting the majority of the world's population who live in low-income countries. It focuses upon the political and administrative institutions designed to address them, as well as international economic forces and the environmental issues that recognize no borders.

The field aims to prepare professionals to teach and conduct research in comparative and international public administration and to serve in both public and private sector organizations.

A lively and expanding network of scholars of comparative analysis may be tapped through the American Society for Public Administration, the American Political Science Association, and the Association for Public Policy Analysis and Management. Scholarly material also may be found in such journals as *Public Administration Review*, *Administration and Society*, *Public Administration and Development*, *Governance*, *Comparative Political Studies*, *World Development*, *Global Environmental Change*, and the *Journal of Development Studies*.

#### **Course Requirements**

Students must complete eight courses beyond the doctoral core from the following lists of required and elective courses

### ***Required Field Courses***

- PAD 663 Comparative Policy Systems
- PAD 664 Politics in Developing Countries

### ***Field Electives***

Students also take six electives. The choice is flexible, provided that the course in question addresses critical issues of concern to the field of comparative and international administration. Electives include:

- PAD 636 Cultural Analysis of Organizations
- PAD 666 International Environmental Policy
- PAD 667 Politics of Environmental Regulation
- PAD 668 Readings in Comparative and International Public Administration
- PAD 697 Guided Research
  
- POS 550 Field Seminar in Comparative Political Systems
- POS 552 Comparative Communist and Post Communist Systems
- POS 554 Political Violence, Insurgency and Terrorism
- POS 556 Authoritarian and Comparative/Representative Regimes in Latin America
- POS 560 Comparative European Politics
- POS 563 Government and Politics in the People's Republic of China
- POS 564 Domestic Politics of the Soviet Union and its Successor Countries
- POS 576 Globalization, International Cooperation and Violent Global Movements
- POS 623 Africa in World Politics
- POS 787 Seminar in Comparative Political Systems
  
- ECO 540 Comparative Economic Systems
- ECO 541 Theory and Problems of Economic Development
  
- PLN 539 Planning for Jobs, Housing and Community Services in Third World Cities
- PLN 573 Metropolitan Governance and Planning

Others may be chosen in consultation with the student's adviser.

### **Admission to Candidacy**

*Comprehensive Exam.* Students must take a comprehensive examination upon completion of course work required by the field. The examination focuses on questions reflecting students' preparation and mastery of the field. Students prepare a bibliography on which the examination will be based in consultation with the faculty who will evaluate the examination.

Upon successful completion of the comprehensive exam, students must file a "Completion of Candidacy Requirements" form with the Assistant to the Chair.

# DECISION AND POLICY SCIENCES

David F. Andersen, Chair  
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## Faculty and Interests

David F. Andersen—modeling and simulation, government information systems  
R. Karl Rethemeyer—network analysis, policy networks, organizational behavior and theory  
George P. Richardson—modeling and simulation, group decision support, systems thinking in public policy and management  
John W. Rohrbaugh—group decision support, social judgment analysis, organization behavior and theory  
Sandor P. Schuman—group decision support, group facilitation, government information systems  
Thomas R. Stewart—expert judgment, social judgment analysis  
Stephen E. Weinberg—public finance, health economics, psychological economics

The Decision and Policy Sciences field is concerned with the appropriate use of quantitative and substantive analyses to support decision making on issues of importance to public policy, administration, and management. Methods emphasized within the field include multivariate statistics, judgment and decision analysis, systems modeling, evaluation, operations research, and economic analysis. Students electing this concentration are expected to gain familiarity with these methods and to develop special competence in some of them. Proficiency in research methodology and computer applications is also required.

Ordinarily, students concentrate in one of two tracks: (a) Modeling and Simulation, or (b) Judgment and Decision Analysis. The content of these tracks is described in greater detail below.

## Residency

The field expects active involvement in the informal and formal activities of the Decision and Policy Sciences concentration during at least the year of residency, including lunch seminars, management laboratories, appropriate group decision support interventions, and the like.

## Course Requirements

The Decision and Policy Sciences (DAPS) field consists of four required field courses, one specialty track course, and three electives. (An alternative program can be established only with the advice and consent of the student's advisor and the written approval of the Chair of the Decision and Policy Sciences concentration. A complete description of any such plan of study must be placed in the student's Departmental file.)

### ***Required Field Courses (4)***

PAD 620	Normative Decision Making
PAD 624	Simulating Dynamic Systems
PAD 634	Judgment and Decision-Making Behavior

One quantitative foundations course beyond PAD 705

The quantitative foundations requirement is met by a course in advanced multivariate statistical techniques beyond PAD 705, appropriate to the student's interest, e.g., POS 518, SOC 622, SOC 609 PAD 748, ECO 621, CRJ 690 OR by another DAPS quantitative course as approved by an advisor.

### ***Specialty Track Course (1)***

In addition to the four required field courses in the Decision and Policy Sciences concentration, students must choose one specialty course plus three electives as described below. There are two specialty tracks, each of which has an associated 700-level course:

#### Judgment and Decision Making Track

PAD 734	Seminar on Judgment & Decision Making II
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#### Modeling and Simulation Track

PAD 724	Simulation for Policy Analysis and Design
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### ***Field Electives (3)***

Three elected courses appropriate to the student's interests are chosen in consultation with faculty in the field. Recommended electives include:

PUB 514	Economics for Public Affairs II
PAD 524	Strategic and Systems Thinking
PAD 627	Cost-Benefit Analysis
PAD 632	Group Dynamics in Organizations
PAD 633	Organizational Analysis and Development
PAD 636	Cultural Analysis in Organizations
PAD 637	Social and Organizational Networks
PAD 724	Simulation for Policy Analysis and Design
PAD 734	Seminar on Judgment and Decision making Behavior
PAD 777	Advanced Topics in Social Network Analysis
PAD 824	Advanced Topics in System Dynamics
PAD 834	Proseminar on Judgment and Decision-Making

Appropriate courses from other departments such as Psychology, Sociology, Business, Economics, and Criminal Justice in topics such as group processes, organizations, and planned change may be used as electives with the consent of the student's advisor and the chair of the field.

Students in the Simulation and Modeling track are encouraged to take a course in mathematics for policy analysis including elements of matrix algebra, calculus, and differential equations, e.g., ECO 510.

### **Admission to Candidacy**

In addition to course work described above, students concentrating in Decision and Policy Sciences must complete two requirements prior to admission to candidacy for the PhD.

1. Literature review paper. Each student is required to write a 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 has developed a command of the relevant literature in a recognized field of academic inquiry.

Completion of this requirement is contingent upon approval of this paper by a committee of three faculty members, two of whom must be members of the Department of Public Administration and Policy including at least one member of the DAPS faculty. The committee is to be chaired by the student's advisor or designee.

2. Original research paper appropriate for publication. Each student is required to write an original research paper appropriate for publication in a peer-reviewed journal or similar outlet. This paper should make a contribution to the relevant literature within a topic area of special interest. The paper may focus on either methodological or substantive issues. The purpose of the paper is to demonstrate that the student has developed the ability to conduct significant academic research within a chosen field of inquiry.

Completion of this requirement is contingent upon approval of this paper by a committee of three faculty members, two of whom must be members of the Department of Public Administration and Policy. The committee is to be appointed by the student's advisor. Publication of a research paper in a peer-reviewed scholarly journal in an appropriate field will ordinarily be taken as prima facie evidence that the student has satisfied this field requirement.

Procedures. These requirements will ordinarily be satisfied during the third-year of a projected four-year program. Prior to initiating work on the research paper requirement, the student should prepare a brief written prospectus and receive approval in writing from his or her advisor.

Papers will be reviewed only during the first month of each semester. Papers for the Fall semester must be submitted in triplicate to the chair of the student's committee prior to September 15th; papers for the Spring semester must likewise be submitted prior to February 15th. On the basis of majority vote, the committee may decide to accept the paper as written, request revisions before making a decision, or reject the paper. Two rejections of either the literature review paper or the research paper will result in dismissal from the program.

Specific procedures for completion of these two requirements, such as whether the student must make an oral defense, are left to the discretion of the student's committee.

As each requirement is finished, the student must file a "Completion of Candidacy Requirements" form with the Assistant to the Chair.

# ORGANIZATIONAL BEHAVIOR AND THEORY

Mitchel Y. Abolafia, Chair  
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## Faculty and Interests

Mitchel Y. Abolafia—organizational culture, bureaucratic conflict, regulatory systems  
Sue R. Faerman—managerial leadership, management training and development  
Erzsébet Fazekas—non-profit organizations, organizational fields, institutional analysis  
David P. McCaffrey—self-regulation in organizations and networks  
R. Karl Rethemeyer—e-democracy and e-governance; social and organizational networks  
John W. Rohrbaugh—decision sciences, group decision support

Organizational behavior and theory is not a single theory but a variety of approaches to the study of organizations. The interdisciplinary character of the field is the source of considerable diversity in issues, concepts, methods, and findings. In the Department of Public Administration and Policy at the University of Albany, faculty and doctoral students are jointly exploring a full range of topics of importance to organizational behavior and theory, from a focus on individual differences in information processing to the relation of bureaucratic institutions to the functions of national economic systems. Research conducted here in organizational behavior and theory has been built on the foundations of sociology, psychology, economics, and political science and has been published journals such as *Journal of Public Administration Research and Theory*, *Administrative Science Quarterly*, *Administration and Society*, *Journal of Applied Psychology*, *Organizational Behavior and Human Decision Processes*, and *Organization Science*.

## Course Requirements

Students who are interested in Organizational Behavior and Theory as their major field of study are encouraged to register for the doctoral core course PAD 708 (Foundations of Organizational Behavior and Theory) in their first year.

## Required Field Courses

PAD 737 Contemporary Organizational Theory  
PAD 739 Contemporary Organizational Behavior

A third methods course is required (in addition to PAD 704 and PAD 705) and should be chosen in consultation with your advisor. This course requirement should be completed prior to the final two field courses listed below.

Upon successful completion of these three courses, students who wish to major in Organizational Behavior and Theory should prepare their tentative degree program sheets for review by the faculty field committee. Students are advised not to take additional courses in the field until the tentative degree program sheet is approved. At least six additional courses in the field must be listed on the tentative degree program sheet: three electives, the third methods course, PAD 638, and PAD 697 (see below for more details on PAD 638 and 697).

Students majoring in Organizational Behavior and Theory are expected to complete the doctoral core courses PAD 704 (Research Methods I) and PAD 705 (Research Methods II) prior to registration for the final two courses required in the field:

**PAD 638 Readings in Administrative Systems and Behavior**

This is an individual study course to develop skills in reviewing literature in the field. The student will submit an integrative literature review in a subfield of Organizational Behavior and Theory. The paper will be reviewed by the faculty field committee.

**PAD 697 Guided Research**

This is an individual study course to develop skills in conducting a research project in the field. The student will submit an original empirical paper to be reviewed by the faculty field committee. Upon its approval, the student will be encouraged to submit this paper for journal publication.

***Field Electives***

The electives may be selected from the following list, although in any academic year a variety of other appropriate courses pertinent to the field may be offered.

- PAD 632 Group Dynamics in Organization
- PAD 633 Organization Analysis and Development
- PAD 636 Cultural Analysis of Organizations
- PAD 637 Social and Organizational Networks
  
- SOC 654 Complex Organizations and Bureaucracy
  
- PSY 641 Survey of Organizational Psychology
- PSY 751 Work Motivation

**Admission to Candidacy**

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

1. Literature review paper. The student will write a focused literature review as part of PAD 638: Readings in Administrative Systems and Behavior.

2. Original research paper appropriate for publication. The student will write a paper of publishable quality and length as part of PAD 697: Guided Research.

Procedures. Both papers will be reviewed by the field faculty.

As each requirement is finished, the student must file a “Completion of Candidacy Requirements” form with the Assistant to the Chair.

# POLITICS AND ADMINISTRATION

James W. Fossett, Chair  
Rockefeller Institute of Government • (518) 443-5846 • fossettj@albany.edu

## Faculty and Interests

Victor H. Asal—comparative politics  
Scott Barclay—law and policy  
James W. Fossett—health politics and administration, intergovernmental relations  
Alethia Jones—public policy  
David P. McCaffrey—regulatory politics and policy  
Bruce Miroff—executive leadership of administration, especially the presidency  
Robert T. Nakamura—policy implementation  
R. Karl Rethemeyer—information management, organizational theory and research methods  
Holly Sims—comparative administration  
Patricia L. Strach (on leave)—political science (on leave)

The effort to understand the place and role of public administration in the political systems of the United States and other countries emerged long before the generally accepted beginning of the self-aware study of public administration in 1887. Studies in this field generally answer the following question: What is the role of administrative agencies in the policy process? Administrative agencies profoundly shape who gets what, when, where, and how from government, making them major players in political life. Students in this field probe the empirical and normative questions generated by the rise of the administrative state and bureaucratic democracy.

Academic societies important to politics and administration include the Association for Public Policy Analysis and Management, the American Political Science Association, and the American Society for Public Administration. The primary journals in the field include: *Public Administration Review*, *Journal of Policy Analysis and Management*, *American Political Science Review*, *Administration and Society*, *Policy Studies Review*, and *Policy Studies Journal*.

## Course Requirements

Within the common doctoral core, PAD 702 (Politics and Administration) provides the foundation for this field.

### ***Required Field Courses***

In addition to PAD 702, the following are required of all concentrators in this field:

POS 521 Field Seminar in the American Political System

A third methods course, in addition to PAD 704 and PAD 705, should be chosen in consultation with your advisor.

### ***Field Electives***

In addition to the required courses in politics and administration, majors take at least six other courses and develop more extensive expertise in three areas related to politics and administration. Possible areas of emphasis include:

Public administration and democratic theory  
Policy process and political institutions  
Intergovernmental relations  
Legal foundations of public administration  
Comparative administration

A student also may propose other specialty areas within politics and administration for approval by the field chair and the student's faculty advisor. Courses applicable to selected sub-fields include those listed below:

#### **Public Administration and Democratic Theory**

PAD 564 Ethics in Public Administration  
PAD 600 Legal Environment of Public Administration  
POS 515 American Political Theory  
POS 628 Administrative Law  
PUB 502 Philosophical and Ethical Issues in Public Policy  
PUB 509 Citizen Participation and Public Policy

#### **Policy Process and Political Institutions**

PAD 626 Evaluation of Public Sector Programs  
PAD 642 Proseminar in Public Budgeting  
PAD 690 Regulatory Administration  
PUB 506 Implementation and Impact  
PUB 509 Citizen Participation and Public Policy  
PUB 516 Introduction to Health Policy and Politics  
PUB 520 Welfare Policy and Management  
POS 531 The Legislative Process  
POS 532 The Chief Executive

### Intergovernmental Relations

- PAD 530 Intergovernmental Relations, Federalism and Public Policy
- PAD 648 State and Local Fiscal Systems
- PUB 520 Welfare Policy and Management
- POS 520 American Federalism and Intergovernmental Relations
- POS 522 State Government
- POS 523 Government of Urban Areas

### Legal Foundations of Public Administration

- PAD 600 Legal Environment of Public Administration *or*
- POS 628 Administrative Law
  
- PAD 609 Public Employees and the Law
- POS 526 American Constitutional Law: Federalism and Separation of Powers
- POS 527 American Constitutional Law: Civil Liberties and Civil Rights
- POS 529 Law and Public Policy

### Comparative Politics and Public Administration

- PAD 663 Comparative Policy Systems
- PAD 664 Politics in Developing Countries
  
- POS 550 Field Seminar in Comparative Political Systems
- POS 553 Politics in Developing Countries

### **Admission to Candidacy**

Comprehensive exam. In addition to completing the course work described, Admission to Candidacy in Politics and Administration requires satisfactory completion of a comprehensive examination. To initiate the exam process, a student must prepare a proposal that outlines three areas in the field of politics and administration that will be the focus of the exam. The proposal should be completed one term before the exam is actually given. The proposal should describe issues of particular interest within the three focal areas and should include a selected bibliography. The bibliography should include the primary works (i.e., books, articles, research monographs, etc.) upon which the candidate will rely when preparing for the examination.

Upon successful completion of the comprehensive exam, students must file a “Completion of Candidacy Requirements” form with the Assistant to the Chair.

# PUBLIC FINANCE

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## Faculty and Interests

James W. Fossett—health care finance, public budgeting  
Gerald R. Marschke (on leave)—labor economics, organizational economics, R&D and technology policy  
Robert M. Purtell – managerial and corporate finance, governance and healthcare finance  
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. In the most recent ranking by [US News and World Report](#), the Public Finance discipline at the Rockefeller College was rated 9<sup>th</sup> in the United States.

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.

PAD 748	Quantitative Analysis in Public Finance
POS 518	Regression Analysis (focusing on MLE modeling)
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	State and Local Fiscal Systems

## ***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 532	Performance Measurement and Contracting in Government
PAD 642	Public Budgeting
PAD 644	Health Care Finance
PAD 658	Readings in Public Finance
PUB 520	Welfare Policy and Management
PUB 631	Economics of Education II
HPM 500	Health Care Organization, Delivery, and Financing

Managerial Finance courses may include:

PAD 532	Performance Measurement and Contracting in Government
PAD 631	Cost Management for Government and Nonprofit Organizations
PAD 640	Nonprofit Finance
PAD 641	Government Accounting
PAD 642	Public Budgeting
PAD 644	Health Care Finance
PAD 647	Municipal Debt Finance
PAD 658	Readings in Public Finance
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 Assistant to the Chair.

# PUBLIC MANAGEMENT

Judith R. Saidel, Chair  
Draper 302 • (518) 442-3896 • saidel@albany.edu

## Faculty and Interests

Mitchel Y. Abolafia—organization culture, bureaucratic conflict, regulatory systems  
David F. Andersen—information management and policy in the public sector  
Sharon S. Dawes—information management and policy in the public sector  
Sue R. Faerman—managerial leadership, management training and development  
David P. McCaffrey—self-regulation in organizations and networks  
Theresa A. Pardo—information management and policy in the public sector  
R. Karl Rethemeyer—e-democracy & e-governance; social & organizational networks;  
network management  
Ellen V. Rubin—human resources management  
Judith S. Saidel—nonprofit management & policy, government & voluntary sector  
relationships  
Jeffrey D. Straussman—governance, leadership, management of public policy

The field of public management focuses on the diverse array of issues and authorities that involve the work of public managers—those individuals who perform a significant part of the executive function in government. It is an intellectual field that is constantly changing as the role of the public sector shifts over time. Public managers now deal with policy issues, with changing expectations of the citizenry, with political actors, with other levels of government, with diverse workforces, with evolving technology, and with private and nonprofit sector organizations. As a result, public management overlaps with other fields within the public administration community as well as other disciplines and areas of inquiry.

Since 1991, scholars and teachers in this field have organized a series of biannual Public Management Research Conferences that involve participants in a cross-border community of mutual interest in public management. Participants include individuals from traditional public administration schools, generic management programs, and public policy programs. While the individual approaches to the field may differ, all of these efforts are rooted in the world of practice of public managers.

Because of the emergent character of this field, it is crucial that doctoral students working in this area identify their specific areas of interest with their faculty mentor. Specific courses can be fine-tuned to meet these interests. Topics in specific areas of public management include the following:

- Public Health Management, Politics and Policy
- Human Resources Management and Labor Relations in the Public Sector
- Information Management and Policy in the Public Sector
- Intergovernmental Management
- Leadership in the Public Sector
- Nonprofit Management and Policy
- Performance Management
- Public-Private Partnerships

## 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. Options include PAD 636 Cultural Analysis of Organizations, PAD 637 Social and Organizational Networks, and PAD/POS 518 Regression Analysis, though other courses may also be used. Students should consult with their mentor or advisor on this matter.

### *Field Electives and Tracks*

Students must complete at least seven field electives.

Students need to work closely with their advisors to choose appropriate course. Because of the interdisciplinary nature of public management, students are encouraged to take courses in other schools or departments, including the College of Computing and Information (CCI), the School of Public Health, the School of Education, the School of Criminal Justice, the School of Social Welfare, and the departments of Political Science, Sociology, Economics, and Psychology.

The following provides a sample of courses that would be appropriate for the tracks noted above:

#### Public Health Management, Politics and Policy

The focus is on the management, policy, and implementation issues in such areas as TANF, Medicaid, food stamps, long term care, AIDS, and the provision of care to the uninsured.

##### *Sample of courses:*

PAD 644/HPM 648	Health Care Finance
PAD/PUB 530	Intergovernmental Relations, Federalism and Public Policy
PUB 520	Welfare Policy and Management
HPM 516	Introduction to Health Policy, Ethics, and Politics

#### Human Resources Management and Labor Relations in the Public Sector

The emphasis is on the major institutions, methods, and issues common to public personnel systems and public sector labor-management relations.

##### *Sample of courses:*

PAD 564	Ethics for Public Administrators
PAD 610	Organizational Theory and Behavior
PAD 618	Public Personnel Administration
PAD 633	Organizational Analysis and Development
PAD 636	Cultural Analysis of Organizations
PAD 651	Labor Relations in the Public Sector
PSY 751	Work Motivation
PSY/HPM 753	Psychometric Theory and Research

## Information Management and Policy in the Public Sector

The focus is on information resources in public organizations, with particular emphasis on the interplay of policy, management, and technology choices.

### *Sample of courses:*

PAD 550	Foundations of Government Information Strategy and Management
PAD 650	Building a Case for IT Investments in the Public Sector
POS 718	Seminar in Government, Politics, and the Mass Media
POS 765	Media and the Courts
INF 701	Proseminar in Information Science
INF 704	Proseminar in Information Policy
INF 720	Managing Information and Technology in Organizations
INF 721	Information and Society
INF 724	Information Policy
COM 520	Theories and Research in Political Communication

## Intergovernmental Management

This track focuses on the issue of federalism, or the policies, programs and resources which are shared among the different levels of government.

### *Sample of courses:*

PAD/PUB 530	Intergovernmental Relations, Federalism and Public Policy
PAD 683	Program Seminar in Managing Local Government
PUB 506	Implementation and Impact
PUB 522	Politics and Policy

## Leadership in the Public Sector

This track addresses issues surrounding leadership, management, and organizations in the public sector.

### *Sample of courses*

MGT 750	Seminar in Leadership and Managerial Skills
MGT 761	Seminar in Strategic Leadership and Change Management

Other organization and management courses appropriate to the student's interests will be accepted.

## Nonprofit Management and Policy

This track emphasizes the broad range of management, political, and policy issues relevant to not-for-profit organizations.

*Sample of courses:*

PAD 612 Nonprofits and Public Policy  
PAD 613 Issues in Not-for-Profit Management  
PAD 640 Financial Management for Nonprofits

Public-Private Partnerships

This track emphasizes the different manner in which public and private sector organizations partner with one another.

*Sample of courses*

PAD 633 Organization Analysis and Development  
PAD/PUB 530 Intergovernmental Relations, Federalism and Public Policy  
SOC 654 Complex Organizations and Bureaucracy

**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.

1. Literature review paper. Each student is required to write a *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 has developed a command of the relevant literature in a recognized field of academic inquiry. Completion of this requirement is contingent upon approval of this paper by a committee of three faculty members, two of whom must be members of the Department of Public Administration and Policy.

2. Original research paper appropriate for publication. Each student is required to write an *original research paper* appropriate for publication in a peer-reviewed journal or similar outlet. This paper should make a contribution to the relevant literature within a topic area of special interest. The paper may focus on either methodological or substantive issues. The purpose of the paper is to demonstrate that the student has developed the ability to conduct significant academic research within a chosen field of inquiry.

Procedures. Completion of this requirement is contingent upon approval of this paper by a committee of three faculty members, two of whom must be members of the Department of Public Administration and Policy. Publication of a research paper in a peer-reviewed scholarly journal in an appropriate field will ordinarily be taken as *prima facie* evidence that the student has satisfied this field requirement. These requirements will ordinarily be satisfied during the third year of a projected four-year program.

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.

As each requirement is finished, the student must file a "Completion of Candidacy Requirements" form with the Assistant to the Chair.

# GENERAL PROGRAM GUIDELINES AND REGULATIONS

## First Year Comprehensive Review

Upon *completion* of all six core courses in the PhD program in Public Administration and Policy, each student is subject to a comprehensive review by the “core faculty” (i.e., those faculty that are the instructors of record for the six core courses outlined on page 2 of this manual). 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 2 of this manual (the “core GPA”). *Only grades achieved in the student’s first attempt at a core course will be counted toward the core GPA.* The table below summarizes the core GPA cutoffs and their implications:

Core GPA	Action
GPA < 3.00	Student has conclusively failed the core and is administratively dismissed from the program with no right to appeal.
3.00 < GPA < 3.25	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.
3.25 < GPA < 3.5	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.
GPA > 3.5	Student has conclusively passed the core and is automatically retained in the program

### 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 page 27 of this manual for a description of the progress report and Appendix B for the form), and any other supporting documentation the student may wish to present. It is strongly suggested that each first year student provide a 1-2 page summary of their research interests, methodological interests, and plan for field courses over the next two years when they submit their Annual Progress Report. Such 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 DAPS brown bag, 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.

### **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 in the Department office. A sample form is included in the Appendix.

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 in the Department office. A sample form is included in the Appendix.

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 award of the degree.

## **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; and
4. Fulfilling all qualification and requirements in the doctoral core and the student's field.

Admission to candidacy is approved officially following nomination by the student's faculty advisor and the department chair. Nomination forms are available in the Department office. A sample form is included in the Appendix.

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 Assistant to the Chair for inclusion in the student's record. Students are encouraged to keep copies of these forms for their own records.

## **Course and Credit Requirements and Academic Standing**

### **Course Load**

Full-time doctoral students ordinarily register for 12 credits each regular session. Students may carry reduced loads if it is in their interest to do so. To be considered in full-time study a doctoral student ordinarily must be registered for not less than 12 credits. With an assistantship,

the required number is 9 credits. Since courses in the Department of Public Administration and Policy 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 take three.

Doctoral students who are employed are expected to adjust their study loads accordingly. Students who are *fully* employed, or who engage in comparable work activities, ordinarily may register for not more than two courses or eight credits of work per term. With the approval of the advisor, and where the extent or nature of the outside work-load justifies it, employed students may register for study in excess of these limits.

### **Credit Requirements**

A doctoral program at the University at Albany, including the dissertation, requires a minimum of three years of full-time study. The minimum three year period includes (1) at least two calendar years of full-time graduate study or the equivalent, and (2) at least one additional calendar year devoted to the research and writing of an acceptable dissertation. In addition, special requirements for competence in research methodology, and in other research tools ordinarily extend the basic time requirement. The doctoral program requires a minimum of 60 credits.

Two calendar years of full-time graduate study translates to at least 15 courses beyond the baccalaureate that, under University regulations, must carry a minimum of 60 credits. The regulations also provide, however, that the minimum course/credit requirements for a particular doctoral program may exceed the University requirements and students are held to the minimum applicable in the particular program to which they have been admitted.

Transferability of courses/credits: University regulations provide that no more than 30 credits of the total taken beyond the undergraduate degree (baccalaureate) for admission to candidacy for the doctorate may be transferred from other universities and counted against the minimum requirement of 60 credits.

### **Academic Standards and Good Academic Standing**

Doctoral students must earn an average of “B” in all resident graduate courses and credits applicable to their degree completed with grades other than “S” (satisfactory) or “U” (unsatisfactory) and must receive grades of “S” in all resident graduate courses which may be graded “S” or “U”. Therefore, only courses completed with grades of “A”, “A-”, “B+”, “B”, “B-”, “C+”, “C”, or “S” may be applied to doctoral course requirements.

All students are expected to remain in good academic standing during the course of study. That is, to maintain an academic record consistent with the standards above. *A student whose record falls below this standard or which otherwise indicates a lack of ability or effort needed to succeed in graduate study will be denied permission for further study*

Students who are not in good academic standing and who have been denied the privilege of further study on these grounds may petition the Graduate Academic Council for reinstatement provided extenuating circumstances were involved, which, in their opinion, warrant review. Such a petition and supporting statements should be received by the Dean of Graduate Studies no more than 60 days before the end of the session for which the reinstatement is sought.

## **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 Progress Report***

To facilitate the process of evaluating students in the program, each student is required to submit an Annual Progress Report in the approved form (see Appendix B of this manual for an example). The form is available from the PhD Program section of the Rockefeller College website.

The Progress 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. Students are required to submit a current CV with their Progress Report. Additionally, students must submit an electronic copy of the Progress Report and CV directly to the PhD Director, preferably by e-mail attachment.

Progress Reports are usually due in mid-April. The PhD Director will announce the due date each year.

Students are advised that the Progress Report will be distributed to all members of the 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 in a separate communication.

Failure to submit a signed Progress Report makes the student ineligible to receive an AVN number until a Progress Report for the previous year is filed. Progress Reports will become part of the student's permanent record. For this reason, students are advised that knowing omissions or falsifications of a Progress 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, comprehensive exam, 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 first year 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 sessions 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 Studies. The formal decision to terminate a student's degree program is made by the Office of Graduate Studies.

## **Continuous Registration, Residency, and Statutes of Limitation**

### **Continuous Registration of Doctoral Students**

All students must maintain continuous registration for each fall and spring session (except for official 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 Studies. The formal decision to terminate a student's degree program is made by the Office of Graduate Studies.

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

### **Official Leave of Absence 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, above).

### **Statutes of Limitations**

The required full-time study in residence must be completed within four calendar years from the date of initial registration in the program in the fall. 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.

### **Residence Study 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 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

sessions (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 DAPS brown bag 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 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.

## **Assistantships and Fellowships**

### **Assistantships**

Assistantships are open to students in the first or subsequent years of graduate study, up to a maximum of three years of University support (though a fourth year may be offered under certain circumstances). Assistantships carry stipends (financial awards) and may include tuition scholarships or waivers. Students with assistantships are expected to devote a specified minimum number of hours a week to their assistantship duties, depending on the size of the assistantship. A 20-hour per week assistantship is known as a half-time assistantship. Students on assistantships must register for an academic load of at least 9 credits of study in any semester.

Graduate assistants may not be employed in other capacities in or outside the University while holding an assistantship. They may not hold any kind of fellowship, traineeship, or second assistantship concurrently.

Graduate assistants are expected to perform their duties satisfactorily and to remain in good academic standing during the tenure of their appointments and must be in good academic standing to qualify for a renewal.

Assistants may also be eligible for full or partial tuition scholarships. Before receiving a tuition scholarship, students eligible for a Tuition Assistance Program (TAP) Award must request this award and apply it to the tuition. Students who are New York State residents and who meet the academic requirements and plan to enroll for full-time study are eligible to apply for this award. The amount received is determined by the New York State net taxable income of the family and the amount of tuition paid.

Graduate assistants who are US citizens must become New York State residents by their second year. Only one year of out-of-state tuition support will be provided by the Department.

### **Fellowships**

The University at Albany also provides a limited number of fellowships for doctoral students. Fellowships carry a stipend (financial award) and a tuition scholarship or waiver, but do not normally require assistantship work. Students with fellowships may be asked by the Department to perform appropriate assistantship duties, and students may prefer to do so because of the experience and contact with faculty such duties provide.

No student may receive more than four years of internal University financial support, either in the form of fellowships, assistantships, or a combination. Students who have exhausted their potential for internal support are still eligible for external (grant) support.

Please note that stipends and tuition assistance may be subject to Federal, state, or local taxes.

### **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 PADOE 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 PADOE LISTSERV and will not be made via postal mail.

### **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), and the National Association of Schools of Public Affairs and Administration (NASPAA), though funding for attendance at other 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 and in Appendix B.

### **Procedures 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 or upon request for the Departmental Secretary or Dean's secretary.

### **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.

### **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 obtain a copy from the Office of Graduate Studies, UAB 121 (phone: 442-3980). This publication is available from the University website and from the PhD Director.

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 Studies 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.

## **Steps in the Dissertation Process**

### ***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 Nelson A. 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 requests that the Department chair appoint a committee of three to evaluate the proposed research. The student plays a major role in shaping the membership of the dissertation committee. 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 Departmental secretary works with the students 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.

### ***Writing the Dissertation***

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.

### ***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 Departmental secretary 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.

### ***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. See the section of this Handbook on Continuous Registration, Residency, and Statutes of Limitation.

### ***Final Dissertation Approval***

Upon approval of the dissertation by the committee, the student prepares and submits the two 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 also available from the PhD Director and from the Rockefeller College website.

### ***Submission of the Dissertation to the University***

The University requires that the student submit two error-free and clean copies of the version read and approved by the dissertation committee and the Department chair to the Office of Graduate Studies. The Nelson A. Rockefeller College of Public Affairs and Policy receives one of these copies, bound by the University, for its Departmental collection.

### ***Degree Application***

A student nearing completion of the dissertation must file a Degree Application Request with the Registrar 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.

## **PhD Forms**

*Note: Most forms may be downloaded from the Departmental website*

Request for Change of Advisor

PhD Tentative Degree Program Sheet (TDP)

PhD Completed Degree Program Sheet (CDP)

Travel Support Request Form

Admission to Candidacy

Request for a Leave of Absence

Petition to the Faculty

Completion of Candidacy Requirements

PhD Annual Progress Report  
*(to be distributed electronically in January 2009)*



UNIVERSITY  
AT ALBANY

State University of New York

Ph.D. Program  
Department of Public Administration & Policy  
Nelson A. Rockefeller College of Public Affairs & Policy

**PERMISSION TO CHANGE ACADEMIC ADVISOR**

Student's name: \_\_\_\_\_

Current advisor: \_\_\_\_\_

New advisor: \_\_\_\_\_

New advisor's signature \_\_\_\_\_

Student signature \_\_\_\_\_

Date: \_\_\_\_\_

Please return to the Department secretary.

A copy of this form should be placed in the student's file.



**Other Courses:**

_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

I. Residency requirement. (Indicate below precisely how this requirement is to be met.)

II. Field (concentration) requirement for admission to candidacy. (Indicate below precisely how this requirement is to be met.)

III. Timetable. (Indicate below the semesters in which you expect to take the core comprehensive examination, satisfy the field requirement for admission to candidacy, defend the dissertation prospectus and complete the dissertation.)

---

**REQUIRED SIGNATURES:** (obtain in order)

_____	_____
Student's Signature	Date
_____	_____
Advisor's Signature	Date
_____	_____
Field Chair's Signature	Date
_____	_____
Ph.D. Program Director's Signature	Date
_____	_____
Department Chair's Signature	Date



**Other Courses:**

_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

I. Residency requirement. (Indicate below how this requirement was met.)

II. Field (concentration) requirement for admission to candidacy. (Indicate below how this requirement was met.)

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**REQUIRED SIGNATURES:** (obtain in order)

_____	_____
Student's Signature	Date

_____	_____
Advisor's Signature	Date

_____	_____
Field Chair's Signature	Date

_____	_____
Ph.D. Program Director's Signature	Date

_____	_____
Department Chair's Signature	Date

Department of Public Administration and Policy  
Nelson A. Rockefeller College of Public Affairs and Policy  
University at Albany, State University of New York

**PH.D. TRAVEL SUPPORT REQUEST FORM**

Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Telephone (home) \_\_\_\_\_ (work) \_\_\_\_\_  
Email address \_\_\_\_\_  
Conference \_\_\_\_\_  
Location \_\_\_\_\_  
\_\_\_\_\_  
Dates \_\_\_\_\_  
Paper title \_\_\_\_\_  
\_\_\_\_\_

*Important:* The department will only provide support in cases where the process of selection is refereed and competitive. Please describe the process by which papers are selected for the conference program (please attach documentation—e.g., acceptance letter and conference brochures—to support your description). Please note whether acceptances were based on full papers, paper proposals, or abstracts: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Estimated expenses:  
Conference fees: \_\_\_\_\_  
Lodging: \_\_\_\_\_  
Meals: \_\_\_\_\_  
Transportation: \_\_\_\_\_  
Other (please explain) \_\_\_\_\_  
Total: \_\_\_\_\_  
Total support requested \_\_\_\_\_

\_\_\_\_\_  
Student's signature \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Advisor's signature \_\_\_\_\_ Date \_\_\_\_\_

-----  
ACTION: ( ) APPROVED ( ) REJECTED ( ) NO ACTION Reasons:

\_\_\_\_\_  
Ph.D. Program Director's signature \_\_\_\_\_ Date \_\_\_\_\_

**NELSON A. ROCKEFELLER COLLEGE OF PUBLIC AFFAIRS AND POLICY  
STATE UNIVERSITY OF NEW YORK AT ALBANY**

**NOMINATION OF DOCTORAL STUDENT FOR ADMISSION TO CANDIDACY**

TO: Graduate Office

FROM: \_\_\_\_\_, Department Chair

DATE: \_\_\_\_\_

Name of Student: \_\_\_\_\_ SSN: \_\_\_\_\_

Address: \_\_\_\_\_

Department: Public Administration and Policy Advisor: \_\_\_\_\_

Field of Specialization: \_\_\_\_\_

Title of Proposed Dissertation (if one has been selected and approved):

The above-named doctoral student has successfully completed all requirements for admission to candidacy and is hereby nominated.

1. The fulltime study in residence requirements (after the master's degree or equivalent).  
Year(s) in which the requirement was satisfied.
2. Foreign language, research tool or communication skill requirements (list nature of requirement, how satisfied and date satisfied).
3. Doctoral qualifying examinations (list fields and dates satisfied):
4. Other program requirements (list fields of requirement, how satisfied and date satisfied.)

REQUIRED SIGNATURES: (obtain in order)

\_\_\_\_\_  
Advisor's Signature Date

\_\_\_\_\_  
Field Chair's Signature Date

\_\_\_\_\_  
Ph.D. Program Director's Signature Date

\_\_\_\_\_  
Department Chair's Signature Date

**REQUEST FOR LEAVE OF ABSENCE**

Name \_\_\_\_\_ Soc. Sec. No. \_\_\_\_\_

Address \_\_\_\_\_ Phone No. \_\_\_\_\_

\_\_\_\_\_ Degree \_\_\_\_\_

Program \_\_\_\_\_

Leave is Requested for the Following Sessions: \_\_\_\_\_

Reason for Leave: (Students granted a leave are not expected to be working or consulting with their faculty advisor, taking examinations, or using other University facilities.)

Signature \_\_\_\_\_ Date \_\_\_\_\_

**UNIVERSITY REVIEW**

Department Recommendation & Action:

APPROVE

DISAPPROVE

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Dean of School or College  
Recommendation & Action:

APPROVE

DISAPPROVE

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Dean of Graduate Studies Recommendation  
& Action:

APPROVE

DISAPPROVE

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



Nelson A. Rockefeller College of Public Affairs & Policy

**PETITION TO THE FACULTY**

I, \_\_\_\_\_, herewith respectfully petition the faculty of the Nelson A. Rockefeller College of Public Affairs and Policy, State University of New York at Albany,

\_\_\_\_\_  
Student's Signature                      Date                      Advisor's Signature                      Date

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ACTION:     Approved     Disapproved     No Action

\_\_\_\_\_  
Signature of Department Chair                      Date



## Completion of Candidacy Requirements

**Name:** \_\_\_\_\_

**ID number:** \_\_\_\_\_

**PhD Concentration:** \_\_\_\_\_

**Requirement completed:**

\_\_\_\_\_ Field comprehensive examination

\_\_\_\_\_ Literature review

\_\_\_\_\_ Publishable paper

**Date requirement was complete:** \_\_\_\_\_

**Signatures:**

**Advisor/Dissertation Chair:** \_\_\_\_\_

**Reader/Reviewer:** \_\_\_\_\_

**Reader/Reviewer:** \_\_\_\_\_

**Reader/Reviewer:** \_\_\_\_\_