

Department of Government Doctoral Program Handbook

2020-2021

*School of Public Affairs
American University*

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FACULTY AND OTHER HELPFUL CONTACTS

More information about Department of Government faculty can be found at this link:

<https://www.american.edu/spa/gov/faculty.cfm>

All phone extensions follow the same format: (202) 885-xxxx.

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WELCOME TO THE DEPARTMENT OF GOVERNMENT

Welcome to the Department of Government! We have put together some key information to help you navigate your doctoral career. There is only so much a handbook can do, so be sure to also speak regularly with myself, faculty and advisors, fellow students, and staff.

If you have suggestions as to how to improve this handbook or other resources, please let me know.

Liz Suhay, Doctoral Director
suhay@american.edu

2020-2021 ACADEMIC CALENDAR

The academic calendar can be found here:

<https://www.american.edu/provost/registrar/academiccalendar/academic-calendar-2020-2021.cfm>

TUITION COSTS AND FEES

Information about tuition and fees can be found here:

<https://www.american.edu/spa/admissions/tuition.cfm>

DEGREE REQUIREMENTS

Information regarding degree requirements can be found at this link and listed below:
<https://www.american.edu/spa/phd/phd-pols-curriculum.cfm>

Program Overview

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

- 54 credit hours of approved graduate work are required for students entering the program with a bachelor's degree, exclusive of GOVT-898/GOVT-899.
- A minimum of 36 credit hours are required of students who have completed an approved master's degree, exclusive of GOVT-898/GOVT-899.
- A minimum grade point average of 3.2 in all coursework is required to remain in good standing and to earn the degree.
- Advancement to candidacy is accomplished by successfully defending a qualifier paper, passing written comprehensive examinations in primary and secondary fields, and successfully defending a dissertation prospectus.
 - For those entering with an MA, we suggest finishing the qualifier paper by the end of the second year. Note that this paper, comprehensive exams, and the dissertation prospectus *must be completed by the end of the third year to maintain funding*. (Those without an MA have one more year to reach these milestones.)
- Comprehensive Examination in Major Field: Students, following completion of relevant coursework, must pass a written comprehensive examination in American politics, comparative politics, or political methodology.
- Comprehensive Examination in Secondary Field:
 - Students in the American politics or comparative politics major fields, following completion of relevant coursework, must pass a secondary field comprehensive examination from another Department of Government field, or *with written approval from the Graduate Program Director*, may take a secondary field elsewhere in the School of Public Affairs (SPA), the School of International Service (SIS), or in another doctoral degree-granting teaching unit of AU. For a secondary field outside of Government, a minimum of 6 credit hours of approved coursework is required.
 - Students in the political methodology major field, following completion of relevant coursework, must pass a secondary field comprehensive examination in American politics or comparative politics.
- The PhD is fundamentally a degree in preparation for an academic career of research and teaching. Understanding scientific inquiry and correctly using research techniques require extensive preparation. All students in the program take four courses in research methods, all of which are designed to help doctoral students comprehend the nature of science and master tools of research.
- Each student selects a specialization in which to complete an original research project under the direction of program faculty and writes a dissertation. Students may choose research projects within one of the Department of Government's three major fields.

Major Fields

- American Politics
- Comparative Politics
- Political Methodology

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

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

Dissertation Project Details

Students may choose a dissertation research project within one of the three major areas. It is the responsibility of the student to secure the agreement of a tenured faculty member to serve as the chair of the dissertation committee as well as at least two additional members. The chair and at least one other committee member must be from the Department of Government. (Students are permitted to include committee members from other departments and universities.) Each student must defend the research proposal—in the form of a prospectus—before the dissertation committee by the end of their third year. The committee and the Graduate Program Director must approve the research proposal for the candidate to advance to candidacy. As work on the dissertation progresses, students register for dissertation credits.

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

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

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

Course Requirements

Proseminars (6 credit hours)

- GOVT-710 Seminar in American Politics (3)
- GOVT-730 Seminar in Comparative Politics (3)

Methodology (12 credit hours)

Required

- SPA-612 Conduct of Inquiry I (3)
- SPA-613 Conduct of Inquiry II (3)

Additional Methodology

Complete 6 credit hours from the following, or other approved methodology coursework (including graduate-level foreign language coursework):

- GOVT-615 Research Design (3)
- SPA-614 Conduct of Inquiry III (3)
- SPA-615 Conduct of Inquiry IV (3)

Major Field (12 credit hours)

American Politics

- 9 credit hours in doctoral-level courses in American politics (in addition to GOVT-710 Seminar in American Politics (3))
- 3 credit hours in doctoral-level course in comparative politics (in addition to GOVT-730 Seminar in Comparative Politics (3))

OR

Comparative Politics

- 9 credit hours in doctoral-level courses in comparative politics (in addition to GOVT-730 Seminar in Comparative Politics (3))
- 3 credit hours in doctoral-level course in American politics (in addition to GOVT-710 Seminar in American Politics (3))

OR

Political Methodology

- 6 credit hours of approved methods coursework *in addition to standard methodology requirement*
- 6 credit hours in doctoral-level coursework in American politics or comparative politics (*in addition to GOVT-710 Seminar in American Politics (3) and GOVT-730 Seminar in Comparative Politics (3)*)

Electives

- 6-24 credit hours of coursework selected in consultation with the department. The total number of credit hours depends on the student's approved Program of Study.

Dissertation

- GOVT-898 Doctoral Continuing Enrollment
- GOVT-899 Doctoral Dissertation

GOVERNMENT DEPARTMENT COURSE DESCRIPTIONS

The following courses reflect those most GOVT students take to fulfill requirements in the American politics and comparative politics subfields, as well as the research methods requirements.

American Politics Courses

GOVT 710: Seminar in American Politics

Topics vary by section. Analysis of the operation of the presidency and the legislative branch and the impact of interest groups and parties on public policy. Topics vary, but the course concentrates on the design of research and the critical examination of works in the field. Repeatable for credit with different topic.

Seminar on the U.S. Congress

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

Political Behavior

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

Campaigns and Elections

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

Contemporary Topics in American Politics

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

Comparative Politics Courses

GOVT 730: Seminar in Comparative Politics

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

Political Institutions in Comparative Perspective

The study of political institutions including political parties, interest groups, electoral behavior, legislatures and executives. Also examines political economy, neoinstitutionalism, theories of state and society, and formal modeling.

Democratization and Democratic Institutions

This course helps students construct a cognitive road map of the extensive literature on democracy and democratization. The course mostly addresses recent processes (those of the last 25 years) of democratization, which have been concentrated in the developing world. In particular, the focus is on empirical examples from Africa, Latin America, and the Middle East. After defining and measuring democracy, the class discusses democracy's causes and out puts, considers hybrid (with authoritarian and democratic characteristics) regimes, and democratic political institutions including government branches, political parties, electoral systems, and civil society groups. Prerequisite: GOVT-730 or GOVT-732.

Political Violence in Comparative Perspective

This seminar in comparative politics provides an introduction to the study of political violence and intra-state conflict. The course extends the study of political violence beyond civil war by examining lower-level violence ranging from communal riots to extortion rackets to crime. A variety of both qualitative and quantitative methodological approaches are included.

Social and Political Movements, Ethnicity, and Nationalism

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

Methodology Courses

GOVT 615: Research Design

A survey of political science research methodologies focusing on qualitative, theoretical, and empirical alternatives to positivistic approaches, based on new philosophies of science such as scientific realism. Includes alternative means of data development, cultural, structural, and functional theories applicable to political research, and theory testing. *We suggest all students take this fall of their first year.*

SPA 612: Conduct of Inquiry I

Concepts, approaches, and methodologies of research in political science and public administration; probability, sampling; quantitative data analysis, including hypothesis testing and estimation; qualitative data analysis and measures of association. *We suggest all students take this fall of their first year.*

SPA 613: Conduct of Inquiry II

The use of bivariate and multivariate analysis in political and administrative research; analysis of organizational decision models.

SPA 614: Conduct of Inquiry III

This course covers extensions of the basic linear regression model including quasi-experimental methods for estimating causal effects using cross-sectional and longitudinal data and nonlinear regression models for limited dependent variables. The course assumes that students have a firm grasp of classical hypothesis testing and the properties of the ordinary least squares (OLS) estimator. Prerequisite: SPA-613.

SPA 615: Conduct of Inquiry IV

Social science research is increasingly concerned with causal interference. Experimental, quasi-experimental, and field designs intended to make causal inferences have special considerations outside of the standard econometric framework. This course is focused on causality and examines this topic observationally and experimentally. It is split into two parts, causal framework and field methods. Prerequisite: SPA-614.

GOVT 618: Bayesian Statistics

Principles and applications of modern statistical decision theory, with a special focus on Bayesian modeling, data analysis, inference, and optimal decision making. Prior and posterior; comparison of Bayesian and frequentist approaches, including minimax decision making and elementary game theory. Bayesian estimation, hypothesis testing, credible sets, and Bayesian prediction. Introduction to Bayesian computing software and applications to diverse fields.

SAMPLE COURSE TIMELINE

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

FIRST YEAR: Fall	Spring
Courses: SPA 612: Conduct of Inquiry I GOVT 730: Seminar in Comparative Politics GOVT 615: Research Design	Courses: SPA 613: Conduct of Inquiry II Comparative Political Institutions Democratization
Summer: Start work on qualifier paper; begin exam preparations.	
SECOND YEAR: Fall	Spring
Courses: SPA 615: Conduct of Inquiry III GOVT 710: Seminar in American Politics Political Violence	Courses: Political Behavior (U.S.) Elective Elective <i>A/so:</i> Defend qualifier paper
Summer: Prepare for and take comprehensive exams. <ul style="list-style-type: none"> • Comparative politics takes place in May. • American politics takes place in June. • Methods takes place in August. 	
THIRD YEAR: Fall	Spring
Begin work on dissertation prospectus. Begin funding applications if relevant.	Defend dissertation prospectus.

PROGRAM OF STUDY WORKSHEET

Student:
Cohort:

Updated:
Deadline for degree completion:

Major Field: American / Comparative / Methodology	Instructor	Semester	Grade

Second Field: American / Comparative / Methodology	Instructor	Semester	Grade

Electives	Instructor	Semester	Grade

Other Degree Requirements	
Qualifier Defense	
Comprehensive Examination in Major Field	
Comprehensive Examination in Secondary Field	
Dissertation Prospectus Defense	
Final Dissertation Defense	

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

Dissertation chair: _____

Dissertation cmte members (2-3):
_____, _____, _____

ANNUAL EVALUATION

The faculty evaluates every student's progress at the end of each academic year. The purpose of the evaluation is to identify whether each student is making sufficient progress toward completion of a doctoral degree. The results of this meeting are conveyed through an evaluation letter to the student. For students failing to make sufficient progress, the letter will identify the improvements that must be made and provide a timetable in which to do so. Students unable to fulfill these obligations are likely to be dismissed from the program.

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

- Completing all required courses in a timely manner (e.g., no incomplete grades)
- Earning a 3.2 GPA or higher in all coursework
- Receiving satisfactory performance appraisals from faculty supervisors (for research assistants)
- Passing both comprehensive exams shortly after completing required coursework
- Defending a dissertation prospectus soon after passing the comprehensive exams
- Making appropriate progress toward finishing the dissertation once the prospectus is approved

Students are encouraged to communicate with the PhD program director, their faculty adviser, or another faculty member if they are having trouble fulfilling their obligations.

QUALIFIER PAPER AND COMPREHENSIVE EXAMS

Qualifier Paper

By the end of the second year of study, all students must “qualify” to continue in the program by successfully defending an original research paper before a committee of three faculty members.¹

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

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

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

Comprehensive Exams

Students must pass comprehensive exams in their two substantive fields before achieving candidacy. The Comparative Exam is offered in early May and early September; the American Exam in early June and early October; and the Methods exam in August. Previous comprehensive exam questions are available from the Department Assistant.

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

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

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

Students who, with permission, select a second field offered by another PhD-granting department at AU are required to follow the relevant department’s requirements regarding exam eligibility, format, and evaluation.

¹ Students who enter with a BA only are strongly encouraged to complete the paper by the end of their second year but may take up to three years.

THE DISSERTATION

One of the primary goals of the program of study is to prepare the student to write a dissertation. It is a crucial component of the doctoral degree. Not only will the dissertation serve as a student's primary body of work on the job market, but it will also require the student to dedicate an extraordinary amount of time to a single topic. Many students who drop out of doctoral programs do so at the dissertation stage, so students should anticipate the challenges ahead.

Two general formats exist for dissertations: (1) the book model, and (2) the three-paper model. The monograph model, more prevalent in GOVT to date, is organized as though students are writing a single monograph with one overarching thesis, whereas the three-paper model consists of three "stand alone" manuscripts linked by fairly short introductory and concluding chapters. While the "book model" is much more frequent in GOVT dissertations, some faculty members prefer one format over another, and students should coordinate with their committee to determine which format to use.

Choosing the Committee

Graduate Academic Regulations state that doctoral students must consult with their academic advisor and professors to nominate a dissertation committee. Proposed members of the committee are nominated to provide supervision and expertise in the implementation of the dissertation research project. The nominated dissertation committee is reviewed and approved by the Doctoral Program Director and the Doctoral Council.

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

Each committee must include a minimum of three members (not including the external reader), though most committees consist of four members. Every doctoral dissertation committee must have one reader external to the department in which the doctoral student is a candidate. The external reader may also be external to the university, as warranted. The Graduate Academic Regulations provide extensive guidance on the composition of doctoral dissertation committees at <https://www.american.edu/provost/grad/graduate-academic-regulations.cfm>.

The submission of the Doctoral Dissertation Committee Approval Form to the Doctoral Council for review and approval is intended to ensure that proposed dissertation committees contain members who (a) are research active and (b) have expertise in the proposed research topic, relevant methodologies, and intended data analyses. In addition, the approval of proposed doctoral dissertation committees is intended to be a check of adherence to the current AU Graduate Academic Regulations.

The Doctoral Dissertation Committee Approval Form along with further instructions are available at <https://www.american.edu/provost/grad/dissertation-committee-page.cfm>.

While the dissertation process does not formally begin until after a student has passed both comprehensive exams, the department strongly encourages students to consider potential dissertation committee members much earlier in their course of study. Students should feel free to contact the Graduate Program Director and other faculty members for advice on who should serve on the committee.

Writing and Defending the Prospectus

Students write a prospectus for their dissertation project as a precursor to the dissertation.

The prospectus serves two primary goals: (1) to demonstrate that the research question selected for the dissertation contributes meaningfully to the field, and (2) to establish that the student's plan of action will likely result in the timely completion of the dissertation. The prospectus ultimately becomes a contract between the student and committee about what the dissertation will entail.

The requirements for the prospectus (e.g., formatting, length, and organization) vary by chair, but students are encouraged to seek examples from advanced students and communicate with their chair and other committee members throughout the writing process. Students should obtain feedback on early drafts of the prospectus from committee members, working especially closely with the chair. Once the chair has determined the prospectus is ready for defense, the student distributes the final version of the prospectus to the committee. It is customary to provide committee members at least two weeks to review the prospectus prior to the defense.

The prospectus defense is similar to the qualifier defense. The chair will determine the format, but it generally involves a short presentation by the student, followed by questions from the committee members. Most prospectus defenses last an hour. At the end of the defense, the committee will ask the student to step out while the members deliberate. Deliberation allows the committee to identify any changes the student must make to the proposed dissertation. Many students "pass" the prospectus defense pending necessary revisions to the prospectus. But the prospectus defense may also shed light on the (in)sufficiency of the student's topic or the student's ability to complete the dissertation in a timely fashion. Thus, students should not assume a favorable outcome.

Once it has finished deliberation, the committee will ask the student to return to the room to discuss any changes necessary to proceed with the project. If substantial changes are needed, committee members will ask for a revised prospectus; if only minor changes are required, a detailed e-mail from the student may suffice. Written documentation, in whatever form, is important to protect the student from unreasonable committee demands imposed after the prospectus has been defended. *A student becomes a "PhD Candidate" after a successful prospectus defense.*

Final Dissertation Defense

The process for the dissertation defense is similar to that of the prospectus. Once a student's chair has deemed the dissertation ready for defense, it is distributed to the other committee members for review. If the committee members believe the final product is ready for defense, then the student works with the staff graduate adviser to identify a date and time that will work for all involved. Defenses are typically scheduled within six weeks of the request to defend.

The final dissertation defense is a public event, and students are encouraged to attend colleagues' defenses to familiarize themselves with how the process works. The student will choose a non-committee member, usually a faculty member with whom the student is familiar, to convene the defense. The convener moderates committee and attendee questions and records the results of the committee's deliberations. The chair identifies the format of the defense, but, in most cases, it involves a short presentation by the student, followed by questions from the committee and any other attendees. The defense may last as long as three hours and concludes with a closed committee deliberation.

The committee typically arrives at one of four conclusions:

- The dissertation passes as-is, with no further revisions necessary. This is rare.

- The dissertation passes, contingent upon minor revisions that can be overseen by the committee chair without further review by the remainder of the committee.
- The dissertation passes, contingent upon revisions that will require all committee members' approval upon further review.
- The dissertation is not passable. It is at the discretion of the committee whether to allow the student to defend the project again after a series of revisions. Note that it is rare that dissertations do not pass the oral defense, and committee members are unlikely to approve the scheduling of a defense of an unsuitable dissertation.

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

More Information About AU Prospectus and Dissertation Requirements

Information about the AU requirements for the submission of the dissertation, including deadlines and formatting guidelines, can be found at <http://www.american.edu/provost/grad/etd/index.cfm>.

Checklist: <https://www.american.edu/provost/grad/etd/upload/etd-checklist.pdf>

Style guide: <https://www.american.edu/provost/grad/etd/etd-style-guide.cfm>

Templates: <https://www.american.edu/provost/grad/etd/templates.cfm>

REGISTRATION AND ADVISING

Course Scheduling

Students typically complete three courses per semester during the fall and spring terms. The summer term is reserved for making progress toward other requirements (e.g., studying for comprehensive exams, writing the dissertation proposal, collecting data). *AU funding packages do not cover more than three courses per semester, and the department strongly discourages students from taking more than three classes at one time.*

Students may meet with the doctoral program director and/or faculty and staff advisors each semester prior to registering for courses to ensure field requirements are being met as efficiently as possible.

Consortium Classes

AU is a member of the Consortium of Universities of the Washington Metropolitan area, which provides an opportunity to take courses at other member universities if not offered by a department at AU. Consortium universities include Catholic, George Mason, George Washington, Georgetown, and Maryland, among others (see www.consortium.org for a complete list).

Students interested in consortium classes should review course listings from the websites of member institutions. After identifying a course, students must contact the faculty member teaching the course to confirm eligibility and secure a syllabus.

Once the instructor has provided permission and a syllabus, the PhD Director and other faculty will review course materials to ensure the class is appropriate to take. The PhD staff advisor will then help students submit all appropriate paperwork and obtain relevant administrative approvals.

Summer Institutes

The Department of Government encourages students to enroll in summer institutes, such as the ICPSR Summer Program in Quantitative Social Science (<https://www.icpsr.umich.edu/icpsrweb/sumprog/>) and the Summer Institute in Political Psychology (SIPP). The department has funds to support a limited number of students attending these programs on a competitive basis. Discuss your interest in these programs with the Graduate Program Director as early as possible.

Independent Study Courses

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

Dissertation Credits

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

Grading System

Grades are based on the A–F system, and all field courses must be taken for a letter grade (rather than pass/fail). Grades of C- or below do not count toward degree requirements. Students must maintain a 3.2 grade point average.

Auditing Courses

Students are welcome to audit courses outside their program of study. Formally auditing a course requires a student to register for the course as an auditor and follow AU guidelines (*e.g.*, grading, fees). In some cases, a student may sit in on a course informally. See the doctoral program director if you have questions about the benefits and drawbacks of these options.

Transfer Credits

The 54 hours of required coursework are reduced to 36 hours for students who enter with a master’s degree in an area related to political science. AU permits the transfer of six additional credit hours in the rare case a student has also completed doctoral-level coursework at another institution. In most cases, transfer credit counts toward the overall number of credit hours, but it does not reduce the number of courses required for a given field.

Incomplete Grades

At the discretion of the instructor, a temporary grade of “Incomplete,” or “I,” may be given to a student who is passing a course but cannot complete it during the semester for extenuating reasons. “I” grades are assigned rarely, and students must rectify all incompletes by the end of the following term. For example, spring term “I” grades must be complete by the start of the following fall term; summer term “I” grades must be complete by the start of the following spring term; and fall term “I” grades must be complete by the start of the following summer term. Students who do not adhere to this timeline may be dismissed from the program.

PROFESSIONAL DEVELOPMENT

Professional Development within the Department

Each year, the Graduate Program Director coordinates a series of 4-6 professional development workshops on topics ranging from tackling the prospectus to networking at conferences. Workshops are open to all PhD students; first-year students are expected to attend regularly.

In addition, the department runs an active speaker series. Students are encouraged to attend all talks but expected to attend those with relevance to their subfield of study.

CTRL Greenberg Seminars for Effective Teaching

The Greenberg Seminars for Effective Teaching will welcome AU PhD and MFA students to a two-year series of specialized workshops to develop professional skills for future faculty and alt-act careers. Topics include contemporary issues in higher education, course design across the curriculum, lecture and discussion techniques, teaching diverse populations, career management and advancement, and how universities work. We will provide hands-on guidance on preparing quality application materials for the academic job market and mentoring opportunities including shadowing faculty at area colleges. Students must commit to attending one day-long workshop on a weekend each semester for two years. Greenberg students are eligible for designated funds toward membership in professional organizations and conference participation. Students who complete the program will receive certificates of participation.

For more information: <https://edspace.american.edu/ctrl/greenbergseminars/>

Conference Travel Support

Students on a GOVT-funded assistantship qualify for \$1,000 per year in travel support throughout their assistantship. All other students qualify for \$500 per year once they reach ABD status, as long as the department confirms they are making good progress toward completing the degree. The following stipulations apply to all funding requests:

- Travel support is available only for research-focused conferences.
- Students must present a paper or poster to qualify for reimbursement. Students will not be reimbursed for attending conferences at which they are not on the program.
- A faculty advisor and the PhD Director sign off on the proposed paper being presented and the request to attend the conference.

Important note: Funding follows the AU fiscal year (July 1–June 30), and AU does not permit students to “roll over” unused travel funds from one year to the next.

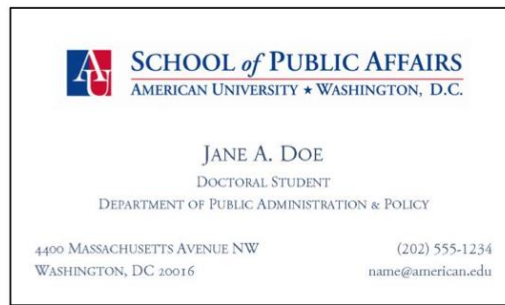
The following expenses can generally be reimbursed (up to the limits specified above):

- Lodging expenses (*i.e.*, room rate, internet access, and taxes)
- Coach-class airfare
- Conference registration fees
- Ground transportation to and from the airport (*e.g.*, shuttles, taxis, trains)
- Meals on a per diem basis

Upon return, students must provide their request for reimbursement, along with receipts and proof of participation, to the Department Chair. To make payments ahead of time, students may qualify for the Department of Government's "P-Card" which allows for students to charge for travel, lodging, and other expenses. Students should reach out to the Department Chair Assistant about using the P-Card.

Business Cards

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



Cards will be shipped to AU and available for students to pick up when ready. Students can purchase additional cards but must coordinate the order with the GOVT chair's staff assistant.

Mail

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

Name
PhD Student, Department of Government
American University
4400 Massachusetts Avenue NW
Kerwin Hall, Room 230
Washington, DC 20016-8130

ACADEMIC AND TECHNOLOGY RESOURCES

Office of Graduate Studies

AU's Office of Graduate Studies coordinates all issues related to graduate education. Dr. Wendy Boland, Interim Dean of Graduate Studies, and her staff sponsor various initiatives aimed to promote success among graduate students. For more information about activities underway in Graduate Studies, visit <http://www.american.edu/provost/grad/index.cfm>.

Academic Support Services for All Students

Academic Support and Access Center

Academic Support Services provided by the Academic Support and Access Center (ASAC) strive to empower students to be their best academic selves. These services include Academic Success Coaching (Clark Hall), the Math and Statistics Lab (Don Myers Technology and Innovation Building), Supplemental Instruction (various locations), the Tutoring Lab (Library), and the Writing Center (Library).

The Academic Support and Access Center (ASAC) supports the academic development and educational goals of all American University students and is committed to promoting access for individuals with disabilities within the university's diverse community. The ASAC is located in Mary Graydon Center 243. Visit <https://www.american.edu/provost/academic-access/> for more information.

Academic Success Coaching: One-on-one sessions between a student and a professional academic coach to build or enhance time management, organizational, reading, note taking, test taking, and study skills. Visit <https://www.american.edu/provost/academic-access/academic-success-coaching.cfm> for more information.

Mathematics and Statistics Lab: Drop-in tutoring and scheduled one-on-one tutoring sessions for exam review, homework assignments, and understanding concepts. Visit <https://www.american.edu/provost/academic-access/mathstat.cfm> for more information.

Supplemental Instruction: Group tutoring sessions that support historically challenging courses in disciplines such as Accounting, Biology, Chemistry and Economics. Supplemental Instruction (SI) Leaders facilitate weekly group review sessions that reiterate course content. Visit <https://www.american.edu/provost/academic-access/supplemental-instruction-homepage.cfm> for more information.

Tutoring Lab: One-on-one tutoring sessions for selected courses in disciplines such as Accounting, Biology, Chemistry, and Economics to provide hands-on practice, discuss best strategies for studying, and assist with understanding course content. Visit <https://www.american.edu/provost/academic-access/tutor-services.cfm> for more information.

Writing Center: One-on-one sessions with a student writing consultant to help address assignments, understand the conventions of academic writing, and learn how to revise and edit work. Visit <https://www.american.edu/provost/academic-access/writing-center.cfm> for more information.

Center for Teaching, Researching, and Learning (CTRL)

CTRL offers a variety of workshops (<https://edspace.american.edu/ctrl/softwareworkshops/>) on statistical and analytical software supported by the University. They also offer one-on-one consultations for faculty and graduate students engaged in research who are in need of methodological support (<https://edspace.american.edu/ctrl/rs/>).

Computer Labs

The School of Public Affairs Lab is located on the subterrace of Kerwin Hall. It is open from 8 am–12 am on Monday–Thursday, 8 am–9 pm on Friday, and 9 am–9 pm on Saturday and Sunday. The facility is open to all AU students, except when in use for a class.

HEALTH AND WELLNESS RESOURCES

Counseling Center

The Counseling Center offers counseling and consultations regarding personal concerns, self-help information, and connections to off-campus mental health resources. (202-885-3500, MGC 214)

The Center helps students maximize their university experience and gain the tools and insights necessary to thrive emotionally, socially, and intellectually. The center offers individual counseling (primarily for crisis intervention, assessment, short-term support, and referrals to private mental health care); psychotherapy and discussion groups; workshops and presentations; consultation and outreach; and self-help and web resources, including online mental health screenings.

Ongoing mental health treatment is generally considered a personal health-care responsibility, not a service provided by the university; however, there are excellent services available in the surrounding community. Center staff will help students locate and connect with any off-campus services they need, and insurance usually assists with the cost of off-campus care. The counseling staff is comprised of psychologists, social workers, and graduate and postgraduate trainees. Counseling is confidential, in accordance with ethical and legal standards. There is no charge for services. Visit <http://www.american.edu/ocl/counseling/> for more information.

Accommodations for Students with Disabilities

AU is committed to making reasonable accommodations for qualified students with disabilities. The ASAC assists students with disabilities and promotes full participation in academic programs and other campus activities.

Students are not required to notify the university or any of its offices or personnel of a disability either prior to or subsequent to admission; however, if a student plans to request accommodations, documentation of the disability must be provided.

As accommodations are not retroactive, timely notification at the beginning of the semester, if possible, is strongly recommended.

To register with a disability or for questions about disability accommodations, contact the Academic Support and Access Center at 202-885-3360 or asac@american.edu, or drop by MGC 243.

For more information, visit <https://www.american.edu/provost/academic-access/documentation-and-eligibility.cfm>.

Jacobs Fitness Center

The department of Recreational Sports & Fitness provides a variety of fitness facilities and programming to the AU community. For registered students, membership is included in student fees. A valid AU ID card is required for entrance to the facilities. Membership includes use of the Jacobs Fitness Center, Cassell Fitness Center, recreational swim in the Reeves Aquatic Center, open court time in Bender Arena, the outdoor track, and tennis courts.

The Jacobs Fitness Center (located in the Sports Center) and Cassell Fitness Center (located in Cassell Hall) are state-of-the-art facilities, which include a range of cardiovascular and strength training equipment. Staff members are on duty whenever the fitness centers are open to help with exercise and equipment questions.

Throughout each semester, RecFit offers a variety of fitness programming, including group exercise and mind-body classes (such as Zumba, cycle, bootcamp, and yoga), personal training, and adult swim lessons, for an additional fee. For those interested in participating in traditional and non-traditional sports, students can also get involved in the Intramural Sports and Club Sports programs. Additionally, there are free wellness and special events hosted throughout the University including dive-in movies, Women on Weights, and Late Night at the Rec.

Visit www.american.edu/recfit or call x6267 for more information.

Student Health Center

The Student Health Center (McCabe Hall, x3380) provides primary care medical services and health education and wellness programming to AU students. The clinical staff consists of an interdisciplinary team of physicians, physician assistants, nurse practitioners, nurses, and medical assistants. These primary care clinicians initiate treatment and coordinate all aspects of care, including referrals to specialists when required. Students are encouraged to develop a relationship with a provider of their choice, called a primary care provider (PCP). Refer to the Student Health Center (SHC) website for a directory of providers. The SHC is part of an organized network of community hospitals and providers who serve AU students. Services provided at the SHC are completely confidential; medical records and any other health information can be released only with students' written permission.

Services at the SHC are available by appointment. To make an appointment, visit the Student Health Center website, click on "schedule your online appointment," register for an online appointment account, and schedule an appointment. Alternatively, call x3380 or visit the first floor of McCabe Hall. The SHC asks students call 24 hours in advance to schedule an appointment. Students who call or walk into the health center later in the day may not be able to schedule a same-day appointment. Students should bring their AU ID card, insurance card, and a method of payment to every visit.

Visit <http://www.american.edu/healthcenter> for more information.

Health Insurance

American University requires all full-time students, all students who live in AU housing, and all international students with F-1 and J-1 visas to carry personal health insurance. Students in these required categories are automatically enrolled in the AU student health insurance plan. If you are covered under another comparable health insurance plan, you can waive the university-sponsored student health insurance plan by submitting a waiver. Call x3389 for additional information or visit <https://www.american.edu/ocl/healthcenter/health-insurance-waiver-information.cfm>.

INTERNATIONAL STUDENT RESOURCES

International Student and Scholar Services (ISSS)

International Student & Scholar Services (ISSS) cultivates academic success and personal development for international students and scholars by providing quality services, training, and programs to the university community while complying with federal regulations governing international education exchange. ISSS is located in Butler Pavilion 410. The office is open for walk in advising Monday–Friday, 9 am–5 pm You may also contact the office by phone at 202-885-3350 or visit the web site: <https://www.american.edu/ocl/iss/>.

International Student Enrollment

In addition to the enrollment procedures for continuing or new degree students, international students (students who are not U.S. citizens or permanent residents) must follow these steps:

All international students on F-1 and J-1 statuses who are enrolling at AU for the first time or for a new program are required to complete immigration registration with ISSS.

International students in F-1 and J-1 status are required to enroll full-time (9 credit hours) for each semester. International students who need less than a full course load, if justified for documented medical illness or based on last semester, are required to obtain written permission from ISSS each term. Failure to do so may result in loss of status. F-1 students may take one on-line class (3 credits) as part of their full-time enrollment. J-1 students are prohibited from taking on-line classes as part of their full-time enrollment.

Students in B-1/B-2 status are prohibited by Department of Homeland Security (DHS) from pursuing academic studies. Visitors in B-1/B-2 status must change their status to an F-1 student status to study at AU. For more information regarding this DHS regulation, contact ISSS. International students in F-1 or J-1 status may not audit courses as part of their full-time enrollment.

FUNDING OPPORTUNITIES

Funding Opportunities within American University

See here for SPA's webpage on scholarships and grants:

<https://www.american.edu/spa/admissions/funding-resources.cfm#scholarships-amp-fellowships>

The Office of Graduate Studies & Research (OGSR), as well as other university departments, offer funding opportunities for AU graduate students. See: <https://www.american.edu/research/gradfunding.cfm>

Funding Opportunities outside American University

Non-Profit Organization Awards/Grants

Acton Institute

Calihan Academic Grants

Program Link: <https://acton.org/calihan-academic-grants>

African Studies Association

Royal Air Maroc-African Studies Association Student Travel Award

Program Link: <https://africanstudies.org/awards-prizes/royal-air-maroc-asa-student-travel-award/>

American Association for University Women

AAUW's American Fellowships Dissertation Fellowships

Program Link: <https://www.aauw.org/what-we-do/educational-funding-and-awards/american-fellowships/af-dissertation-application/>

American Council of Learned Societies

Mellon/ACLS Dissertation Completion fellowship

Program Link: <https://www.acls.org/programs/dcf/>

American Educational Research Association

Dissertation Grants Program

Program Link: <http://www.aera.net/Professional-Opportunities-Funding/AERA-Funding-Opportunities/Grants-Program/Dissertation-Grants>

American Political Science Association

APSA Minority Fellows Program

Program Link: <https://www.apsanet.org/mfp/Spring-Application>

Charles Koch Foundation

Afghanistan & Syria Research Grants

Program Link: <https://www.charleskochfoundation.org/apply-for-grants/requests-for-proposals/foreign-policy/afghanistan-and-syria-research-grants/>

Council of American Overseas Research Centers

Multi-Country Research Fellowship

Program Link: <https://www.caorc.org/multi-fellowship-guidelines>

Dirksen Congressional Center

Congressional Research Grant

Program Link: https://www.dirksencenter.org/print_programs_crgs.htm

Henry Luce Foundation

ACLS Program in China Studies

Program Link: <https://www.acls.org/Competitions-and-Deadlines/Luce-ACLS-Program-in-China-Studies>

Harry Frank Guggenheim Foundation

Dissertation Fellowship

Program Link: <http://www.hfg.org/df/guidelines.htm>

Harry Frank Guggenheim Foundation

Support for Postdoctoral Research

Program Link: <http://www.hfg.org/rg/guidelines.htm>

Horowitz Foundation for Social Policy

Research Grant

Program Link: <https://www.horowitz-foundation.org/grant-info>

Inter-American Foundation

AF Grassroots Development Fellowship Program

Program Link: <https://www.iaf.gov/get-involved/fellowships/>

Jefferson Scholars Foundation

National Fellowship

Program Link: <https://www.jeffersonscholars.org/national-fellowship>

The National Academies of Sciences, Engineering, and Medicine

Ford Foundation Fellowship

Program Link: http://sites.nationalacademies.org/PGA/FordFellowships/PGA_047959

National Science Foundation

Cultural Anthropology Program - Doctoral Dissertation Research Improvement Grants (CA-DDRIG)

Program Link:

http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=505057&org=NSF&sel_org=NSF&from=fund

National Science Foundation

Political Science Doctoral Dissertation Research Improvement Grants

Program Link: https://www.nsf.gov/funding/pgm_summ.jsp?pims_id=505214&org=NSF

Russell Sage Foundation (RSF)

Research Grants: Social, Political and Economic Inequality

Program Link: <http://www.russellsage.org/research/funding/social-inequality>

Social Science Research Council

International Dissertation Research Fellowship Program

Program Link: <https://www.ssrc.org/fellowships/view/idrf-fellowship/>

The Spencer Foundation

Dissertation Fellowship

Program Link: https://www.spencer.org/grant_types/dissertation-fellowship

Time-Sharing Experiments for the Social Sciences

Research Grant

Program Link: <https://www.tessexperiments.org/>

Woodrow Wilson National Fellowship Foundation

The Charlotte W. Newcombe Doctoral Dissertation Fellowship

Program Link: <https://woodrow.org/fellowships/newcombe/info/newcombe-fellowship-application-information/>

US Federal Government Awards/Grants

National Security Education Program

Boren Fellowship Award

Program Link: <https://www.borenawards.org/>

United States Department of Education

Foreign Language and Area Studies (FLAS) Fellowships Program

Program Link: <https://www2.ed.gov/programs/iegpsflasf/applicant.html>

United States Department of Education

Office of Postsecondary Education (OPE): Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program CFDA Number 84.022A

Program Link: <https://www.grants.gov/web/grants/view-opportunity.html?oppld=312240>

United States Department of State

Critical Language Scholarship (CLS) Program

Program Link: <https://www.clscholarship.org/>

United States Institute of Peace

Jennings Randolph Peace Scholar Dissertation Fellowship Program

Program Link: <https://www.usip.org/grants-fellowships/fellowships/jennings-randolph-peace-scholar-dissertation-fellowship-program>

University Fellowships

George Mason University

Institute of Humane Studies Fellowship

Program Link: <https://theihs.org/funding/humane-studies-fellowship/>

Harvard University Belfer Center for Science and International Affairs

Research Fellowship

Program Link: <https://www.belfercenter.org/fellowships>

Rutgers, The State University of New Jersey

J. Robert Beyster Fellowships Program

Program Link: <http://smlr.rutgers.edu/content/fellowships-professorships>

Stanford University Center on Democracy, Development and the Rule of Law (CDRL)

CDRL Pre-doctoral and Postdoctoral Fellowships

Program Link: https://cddrl.fsi.stanford.edu/graduate_programs

International Fellowships

Academic Council on the United Nations System (ACUNS)

Dissertation Award Program

Program Link: <https://acuns.org/2019da/>

Economic and Social Research Council (ESRC) (United Kingdom)

ESRC Postdoctoral Fellowships

Program Link: <https://www.esrcdtp.group.cam.ac.uk/esrc-postdoc-fellowships>

Canadian Foundation for Ukrainian Studies

Neporany Doctoral Fellowship

Program Link: <http://cfus.ca/programs-funds/>

ASSOCIATIONS, CONFERENCES, & WORKSHOPS

National and International Associations and Conferences

American Association for Public Opinion Research

Website: <https://www.aapor.org/>

Funding Opportunities: <https://www.aapor.org/Conference-Events/Awards/Student-Travel-Award/Student-Travel-Award-Nomination-Information.aspx>

American Political Science Association

Website: <https://www.apsanet.org>

Funding Opportunities: <https://connect.apsanet.org/apsa2020/travel-grants-3/>

International Society of Political Psychology

Website: <https://www.ispp.org/>

Funding Opportunities: <https://www.ispp.org/funding/travel-grants>

International Studies Association

Website: <https://www.isanet.org/>

Funding Opportunities: <https://www.isanet.org/Conferences/Honolulu-2020/Travel/Grants>

The Society for Political Methodology

Website: <https://www.cambridge.org/core/membership/spm>

Regional Associations and Conferences

Midwest Political Science Association

Website: <https://www.mpsanet.org/>

Funding Opportunities: <https://www.mpsanet.org/Membership/Awards-and-Scholarships/Conference-Scholarships>

Southern Political Science Association

Website: <https://spsa.net/>

Funding Opportunities: <https://spsa.net/about-spsa/endowments-and-awards/>

Western Political Science Association

Website: <https://www.wpsanet.org/>

Area Studies Associations and Conferences

African Studies Association

Website: <https://africanstudies.org/>

Association for Asian Studies

Website: <https://www.asianstudies.org/>

Funding Opportunities: <https://www.asianstudies.org/conference/program/call-for-proposals/travel-grants-stipends/>

Latin American Studies Association

Website: <https://www.lasaweb.org/en/>

Funding Opportunities: <https://lasaweb.org/en/lasa2020/travel-funds/>

Middle East Studies Association

Website: <https://mesana.org/>

Funding Opportunities: <https://mesana.org/annual-meeting/student-travel-grants>

Washington DC Area Workshops

NCAPSA American Politics Workshop

Meets twice yearly, normally in January and June. Consult with Graduate Program Director about attendance.

George Washington University Comparative Politics Workshop

Meetings occur monthly. Consult with Professor Adrienne Lebas (lebas@american.edu) about attendance.

HUMAN SUBJECTS RESEARCH GUIDELINES

Requirements

All students must certify that they have received training in the ethics of conducting research with human subjects. This is typically completed during orientation through the Collaborative Institutional Training Initiative (CITI) or National Institutes of Health (NIH) online certification programs. More information about these programs can be found at <http://www.american.edu/irb/IRB-Training.cfm>.

In addition to completing ethics training at the outset of the program, all students are required to obtain approval from AU's Institutional Review Board (IRB) for research involving human subjects. It is the student's responsibility to ensure this approval is received prior to initiating a research project.

Institutional Review Board

Research conducted using human participants is overseen by the AU IRB. Its purpose is to facilitate human subjects research and to ensure the rights and welfare of human subjects are protected during their participation. It works to facilitate those objectives by reviewing, approving, modifying, or rejecting research protocols submitted by AU researchers.

The IRB process is based on rules and regulations for federally funded research, primarily the provisions of Protection of Human Subject in the Code of Federal Regulations (45 CFR 46) and supporting materials such as the Belmont Report. The AU IRB strives to create a culture of respect for, and awareness of, the rights and welfare of human research participants while advancing knowledge and facilitating the highest quality research.

More information about the AU IRB is available at <http://www.american.edu/irb/index.cfm>.

ACADEMIC INTEGRITY CODE

Academic integrity stands at the heart of intellectual life. The academic community is bound by a fundamental trust that professors and students alike undertake and present their work honestly. As a community of the mind, we respect the work of others, paying our intellectual debts as we craft our own work.

The Academic Integrity Code (“Code”) for American University defines honorable conduct, outlines attendant rights and responsibilities, and describes procedures for handling allegations of academic misconduct. American University views academic integrity as integral to its mission, treating it as far more than a disciplinary matter: All members of the university must join in educating students about the value of integrity and the ways in which intellectuals acknowledge their debts. In each course, faculty should remind students of the standards of integrity, and faculty may ask students to include with their submissions a signed statement pledging adherence to the Code in completing the assignment.

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

Definition of Academic Integrity Violations

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

A. Violations Adjudicated under the Academic Integrity Code

1. Plagiarism

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

2. Inappropriate Collaboration

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

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

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

4. Dishonesty in Papers

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

5. Work Done for One Course and Submitted to Another

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

6. Fabrication of Data

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

7. Interference with Other Students' or Scholars' Work

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

8. Bribes, Favors, and Threats

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

9. Other Academic Misconduct

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

B. Violations Adjudicated Elsewhere

1. Copyright Violations

Copyright laws must be observed. These laws govern practices such as making use of printed and electronic materials, duplicating computer software, photoduplicating copyrighted materials, and reproducing audio visual works. The Student Conduct Code prohibits theft and the unauthorized use

of documents and requires adherence to local, state, and federal law. These provisions will be enforced through the Student Conduct Code.

Adjudication of Academic Integrity Offenses

A. Jurisdiction

1. The Academic Integrity Code applies to all students enrolled at American University, except students at the Washington College of Law (“WCL”). WCL has a separate Honor Code and process for handling academic misconduct.
2. In cases where a combination of violations of academic and nonacademic regulations is alleged, students are subject both to the Academic Integrity Code and the Student Conduct Code.
3. Most charges of Academic Integrity Code violations are brought by the university faculty. Staff, students or others wishing to bring charges must identify themselves and work through the faculty member in whose course or academic activity the alleged Code violation has occurred. In unusual circumstances, students, staff, or others may bring suspected charges to the dean’s office. At the discretion of the dean, the dean’s office may initiate charges.
4. Each major teaching unit (“School or College”) will have an Academic Integrity Code Administrator (“AIC Administrator”) designated by the dean to manage the adjudication process. An AIC Administrator is usually a member of the dean’s staff.
5. To advise the dean in evaluating certain charges and determining actions to be taken, each School or College has an Academic Code Review Panel (“Panel”) with a minimum of two faculty and one student. The Panel may be a standing or ad hoc committee of the major teaching unit.

B. The Adjudication Process

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

1. Faculty Jurisdiction

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

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

2. Administrative Jurisdiction

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

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

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

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

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

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

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

3. Decision by AIC Administrator

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

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

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

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

4. Academic Code Review Panel

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

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

- b. All Panel hearings will be closed to the public.
- c. All Panel decisions related to the hearing process are by majority vote.
- d. In cases in which a Panel member has a conflict of interest, the member will be excused from participation and replaced by a new member.
- e. The student charged will have the opportunity to answer the charges.
- f. The faculty member making the charge should be given the opportunity to be present or available to support the charge.
- g. Witnesses may be called by the parties or by the Panel. The Panel may limit the number of witnesses for such reasons as redundancy or irrelevancy. Witnesses will be excluded from the hearing until testimony is to be presented. All parties present may question the witnesses.
- h. During the proceeding and prior to the Panel's closed session, any relevant party may submit evidence or suggest an appropriate sanction.
- i. At the end of the hearing, the Panel will meet in closed session and decide whether the student is responsible for the Code violation.
- j. If the student is found responsible, the Panel will proceed to the sanction phase, at which point the AIC Administrator will disclose the student's prior record of academic violations, if any.
- k. The Panel will submit a written recommendation with supporting rationale for its findings and sanctions to the dean of the major teaching unit in which the alleged offense occurred.
- l. The dean may affirm, modify, or reject the Panel's recommendation. The dean's decision is final and may not be appealed unless the sanctions include a permanent notation of the AIC violation to the student's academic record (III.c.2.b-d).

5. Other Adjudication Issues

- a. The standard of proof for any instance of academic dishonesty will be clear and convincing evidence—a measure of proof that produces a firm belief in the allegations presented. It is more than the standard of “preponderance of the evidence” and less than the standard of “beyond a reasonable doubt.”
- b. If the student fails to attend any scheduled meeting, the time and place of which have been made known in advance, the Panel or the AIC Administrator may hear the case in the student's absence.
- c. Because the purpose of this adjudication process is to provide a fair review of alleged violations of this Code rather than a formal legal proceeding, participation of persons acting as legal counsel is not permitted.
- d. A student may be accompanied by a supporter throughout the process. The supporter's role is limited to personal consultation. The supporter may not represent the student, speak in adjudication meetings or hearings, or question witnesses. The supporter must be a current American University student, faculty, or staff member who is not involved in the alleged violation.
- e. All participants must provide truthful testimony. Participants who fail to do so may be subject to disciplinary charges.

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

C. Sanctions

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

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

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

b. A failing grade of F or ZF for the course in which the offense occurred. A notation of the Code violation will be entered on the student's permanent record.

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

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

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

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

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

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

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

D. Notifications and Appeals

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

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

adjudication process or other appropriate party. The Provost may affirm, modify, or remand the case to the dean with instructions for further action. The Provost's decision is final.

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

E. Suspension and Dismissal

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

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

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

Records of Disciplinary Actions

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

1. If the case results in a finding of "not responsible," the file will be voided. A voided file will be so marked, will not constitute academic disciplinary records, and will not be kept with the student's academic files. Voided files that are retained will be for administrative purposes.

2. If the case results in a "responsible" finding, the file will be retained as an academic integrity disciplinary record.

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

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

Interpretation

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

Senate action and Provost approval, October 1990. Effective spring 1991. Revised 1994: Senate action, April 1994, Provost approval, May 1994. Revised 2007: Senate action and Provost approval, April 2007. Effective fall 2007.