

# Policies & Procedures

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Harris School of Public Policy Studies doctoral program on or after September 1, 2020. Ph.D. students enrolled in the program prior to that date are governed by the previous policies and procedures manual unless they have petitioned for and been granted specific exceptions by the Director of Research Degrees.

09/20

# **POLICIES AND PROCEDURES FOR THE PH.D. PROGRAM**

**SEPTEMBER 2020**

## **I. REQUIREMENTS FOR THE Ph.D. PROGRAM**

The Harris School offers a program of studies leading to the award of the Ph.D. to qualified individuals interested in research-oriented careers focused on the substantive and institutional aspects of public policy studies. Within a framework emphasizing the acquisition of skills to design and conduct policy-relevant research, the program allows students, working closely with faculty members of the School and the University, to develop individualized and innovative courses of study leading to a Ph.D. in Public Policy Studies.

The program is administered by the Director of Research Degrees (hereafter referred to as “the Director”), who chairs the faculty Ph.D. committee. The committee is available to advise Ph.D. students concerning their course of study and research interests and to assist them in completing the program. Students must report to the Ph.D. Program Academic Advisor, at least annually, on their progress in fulfilling the program's requirements. (See section I,B, on page 3 for details on the annual progress report.)

The course of study leading to a Ph.D. in Public Policy Studies is intended to take at least four years. The University of Chicago prescribes the registration of PhD students in a single doctoral registration status referred to by the year of study (e.g., PhD1, PhD2, PhD3). The older terminology of Scholastic and Advanced Residence will no longer be used. For this coming year, tuition rates will not be affected by this registration change.

For further information on the University’s Single PhD Registration Policy, refer to <https://studentmanual.uchicago.edu>.

In addition to the University’s requirements, the Harris School has its own requirements for coursework. Students who enter the Harris School doctoral program with Ph.D. level coursework from another university or department may petition the Director for a waiver for certain coursework.

## **II. REQUIREMENTS FOR STUDENTS STARTING AUTUMN 2018 OR BEFORE**

All students beginning the doctoral program, who have not completed prior graduate coursework relevant to public policy studies, must complete a minimum of 27 policy relevant courses with at least 18 courses taken for quality grades (A through C-) and no more than nine for R (Registered) or P (Pass). Those who enter with a master’s degree and wish to reduce the number of required courses need to submit a written petition to the Director no later than the end of their first quarter in residence. Having earned a

prior master's degree in a relevant field does not automatically entitle a student to waive part of the course requirements of the Harris School.

Petitions to waive courses in the Harris School's Ph.D. program must be first presented to the Ph.D. Program Academic Advisor for approval. We cannot count any 100 level courses toward the PhD degree. This petition must indicate the courses to be waived, and include documentation of how the material in the prior master's program meets the doctoral training requirements of the PhD program in terms of both the breadth of the material covered in the courses being replaced, the depth of the material covered (theory, methods, or substantive material), and a demonstration that the student has performed adequately for a doctoral student. If the Ph.D. Program Academic Advisor approves of the content of the petition, it is then reviewed by the Director. If the petition is approved by the Director, the student will then need at least 12 policy relevant courses for quality grades and six for R, or a total of at least 18 quarter courses at the University of Chicago.

The faculty believes that an essential part of the training of Ph.D. revolves around the University's famous workshops. All students are required to attend the Ph.D. Workshop. Each student is also required to attend at least one of the Public Policy and Economics Workshop, Center for Human Potential and Public Policy Workshop, or the Political Economy Workshops, based on the students' research interest. Students are strongly encouraged to attend other workshops in their research areas including (but not limited to) the Health and Development Workshop, the Cultural Policy Workshop, and the Demography Workshop. A partial list of workshops may be found at:

<https://harris.uchicago.edu/academics/programs-degrees/workshops>  
<https://economics.uchicago.edu/content/workshops-and-events>

#### **A. Years One and Two**

At the beginning of the student's first year, the Director will assign a first year faculty advisor to each student. Each student should outline a tentative plan for advanced coursework appropriate for his or her research objectives.

Courses taken by Ph.D. students during the first two years of the program are intended as preparation for a research career in public policy studies and for the qualifying examinations taken during the summer following the first year. (See part I.C. for sample schedules to be followed by most first and second year students). All Ph.D. students must demonstrate mastery of the core subject areas of statistical methods, economic theory and political economy. They demonstrate this competence by passing three Ph.D. qualifying examinations, in addition to one for a substantive field.

By spring quarter of the second year, students, in consultation with the Director, must identify at least one Harris School faculty member to act as an adviser for the qualifying paper. A second University of Chicago faculty member should also be identified to serve on the faculty committee for the paper.

All doctoral students in residence are strongly encouraged to take advantage of the opportunity to be a teaching assistant at some point during their graduate study.

All first-year students should attend the Ph.D. workshop, if it does not conflict with classes. All Ph.D. students beyond the first year are required to regularly attend and participate in the Ph.D. workshop.

**B. Annual Review/Satisfactory Progress Report**

By the tenth week of the spring quarter, each doctoral student is required to submit a completed satisfactory progress report form, provided by the School, to the Ph.D. Program Academic Advisor. By the summer quarter of each year, a review of the doctoral student’s progress will take place. The Director will discuss the student’s progress in coursework and in fulfilling the program’s requirements and make a recommendation to the Ph.D. committee whether the student should continue in the program. The review conducted after the student’s second year also will determine whether the student’s academic performance warrants continuation in the Ph.D. program. Based on the student’s grades in courses taken during the first two years and on performance on the qualifying examinations, the faculty will determine whether a student will be encouraged to proceed to the dissertation phase of the program. Students will be notified of the faculty’s decision, in writing, prior to the fall quarter of their third year.

Ph.D. students, whether recommended for continuation in the Ph.D. program or not, who have quality grades in 18 courses are eligible to receive an M.A. or M.P.P. degree, if those courses meet the requirements of the degree programs. Students interested in petitioning for an M.A. or M.P.P should refer to the “Masters’ Programs Policies and Procedures” manual, available from the Student Affairs Office, for detailed information regarding specific requirements early in their program.

**C. Sample Course Schedules**

Year One

Fall	Winter	Spring
STAT24400: Statistical Theory & Methods I	PPHA42000: Applied Econometrics I	PPHA42100: Applied Econometrics II
PPHA44100 Advanced Microeconomics for Policy I	PPHA 44200 Advanced Microeconomics for Policy Analysis II	Field
PPHA41101: Political Economy I: Introduction to Applied Game Theory	PPHA 41102: Political Economy II: Intermediate Applied Theory	PPHA41103: Political Economy III: Testing Theories of Political Institutions

## Year Two

Fall	Winter	Spring
Field	Field	Field
Field	Field	Field
Field	Field	Field

### D. Qualifying Examinations

Ph.D. students are required to pass four qualifying exams, one in methods (statistics and econometrics), one in microeconomic theory, one in political economy, and one for a substantive field. The qualifying examinations ordinarily will be taken after two years of coursework, or earlier if the student is prepared. The qualifying examinations will be offered after the end of the Spring Quarter. The microeconomics exam will be offered in June, the methods exam will be offered in July and political economy exam will be offered in August prior to the start of the autumn quarter.

The courses listed on page 6 as requisite provide an adequate preparation and set the expectation for the exam in each respective area. In addition, students are advised and expected to take pre-requisite (preparatory) courses according to their individual level of preparation. Each qualifying exam is based on the requisite courses and will be written and graded by the faculty who teach those courses.

The Director appoints the examining committees that write the exams. The exams typically are written once each year following completion of the preparatory course sequences. Each examining committee will include two or three faculty members, identified in advance of the examination date. The committees will write and grade the examinations and will submit a brief assessment of each student's performance to the Director. The Ph.D. Program Academic Advisor will notify students of the results of their exams.

If a student does not pass an examination, the examining committee may recommend that the student retake it. The student will only be permitted to retake the exam if the student's performance in the preparatory coursework for the exam is adequate. Unless the Director determines otherwise, the student will retake a failed exam on the next regularly scheduled exam date. **Students may repeat each examination only once.** If the student does not pass an examination after two attempts or does not pass all exams in a timely manner, the Director will recommend to the faculty that student's PhD program should be discontinued. A student may appeal to the PhD committee.

## 1. Econometrics Qualifying Exam

Pre-requisite	Requisite
Statistics for Public Policy I (PPHA31200)	Statistics 24400: Statistical Theory & Methods I*
Statistics for Public Policy II (PPHA31300)	Applied Econometrics I (PPHA42000)
	Applied Econometrics II (PPHA42100)

## 2. Microeconomics Qualifying Exam

Pre-requisite	Requisite
PPHA32300: Principles of Microeconomics & Public Policy I	PPHA 44100 Advanced Microeconomics for Policy Analysis I
PPHA32400: Principles of Microeconomics & Public Policy II	PPHA 44200 Advanced Microeconomics for Policy Analysis II

## 3. Political Economy Qualifying Exam

Requisite	Requisite	Requisite
PPHA41101: Political Economy I: Introduction to Applied Game Theory	PPHA 41102: Political Economy II: Intermediate Applied Theory	PPHA41103: Political Economy III: Testing Theories of Political Institutions

## 4. Substantive Field Ph.D. Qualifying examination:

This examination covers the substantive policy area in which the student intends to focus his or her research. The selection of a substantive area should be made in general terms early in the student's program to help guide course selection. The examination should be taken prior to the beginning of their third year in the program. The Director approves a committee of two or more faculty members (tenured or tenure track), who write the substantive field exam. The faculty committee and the student will agree upon coursework and a reading list for the area to be examined. The examination covers the body of knowledge represented by that coursework and reading list.

The timing of the substantive field exam is at the discretion of the student's faculty advisor or, if the student chooses to take an exam in another department, at the discretion of that department. In general, students are encouraged to take a qualifying preliminary exam in other academic departments to fulfill their re-

quirement for the substantive field exam if the course of study and exam are approved by a Harris School faculty advisor and the Director. All of the standard fields in the Department of Economics are pre-approved.

Under very exceptional circumstances, a student may be allowed to substitute content for the regular theory or methods examinations when justified by his or her planned course of study. Such substitutions must be reviewed and endorsed by the prospective chair of the student's dissertation committee and must be approved in advance by the Director.

## E. Year Three

During their third year, doctoral students make the transition from coursework to dissertation research. As a first step, they must write a qualifying paper and present it at a Harris School Ph.D. workshop or other appropriate University faculty workshop. Later during the third year, students will concentrate on their thesis/dissertation proposals, which should be completed and defended by the beginning of year four.

### 1. Qualifying Paper

Ph.D. students must complete the qualifying paper requirement according to guidelines prescribed by the Ph.D. committee and must present the paper in an appropriate University of Chicago forum. An acceptable qualifying paper will show evidence that the student is developing the capacity for formulating and conducting an independent research project and for creating a scholarly argument. **Although co-authors are allowed per the approval of the student's advisor, only one student may submit this paper as a qualifying paper. There is no exception to the rule.** Ideally, the qualifying paper will constitute a step toward completion of the student's dissertation proposal. The paper's length should approximate that of a conference paper or a paper to be sent to a top journal in the student's field.

Students are expected to complete this qualifying paper by the end of the third year of their doctoral study. ***Students who fail to meet this deadline will receive no financial aid (tuition and stipend) beyond that third year.*** Following the quarter in which the qualifying paper requirement has been satisfied, funding may be continued. Completion for this purpose involves having both faculty members of the student's qualifying paper committee indicate to the Director that the work is adequate to meet the requirement on forms available from the Ph.D. Program Specialist.

### 2. Ph.D. Dissertation Committee

A Ph.D. dissertation committee of three or four current or emeritus faculty members from the University of Chicago, with academic interests related to those of the student, will guide and judge the student's dissertation research. **Faculty members who are not University of Chicago faculty or emeritus may not formally be a part of the committee. However, student may list**



**them as fourth “readers” on their committee. These members have no voting rights on the committee.** The participation of the Ph.D. committee members is essential to the decision-making process that eventually results in the awarding of the Ph.D.

The Ph.D. dissertation committee will be formed by the Director in consultation with the student and the student’s faculty advisor. The chair of the student’s Ph.D. dissertation committee will thereafter be the student’s primary faculty advisor. At least two members of the committee, including the chairperson, must be current or emeritus members of the faculty of the Harris School. A current or emeritus member of the University of Chicago faculty who is not on the School’s faculty may be included on the Ph.D. dissertation committee. In special cases, a professor from outside the University may be asked to participate on a committee. The Director must approve the initial composition of the dissertation committee, as well as any subsequent changes. If a committee member leaves the University, the Director and chair of the committee must approve for the member to remain on the thesis committee if he/she agrees. Forms for designating or changing committee members or the committee chair are available from the Ph.D. Program Academic Advisor.

## **F. PhD Thesis and Candidacy**

By year four of the program, students are expected to be conducting research and writing their dissertations, presenting preliminary drafts of their dissertation work, and regularly attending at least two workshops. Students are encouraged to register for an “R” in those workshops that they attend on a weekly basis. By doing so they are meeting the requirement discussed above that they complete at least 9 courses for a “R.”

### **1. Dissertation proposal**

After successful completion of the four qualifying examinations (Microeconomics, Political Economy, Statistics/Econometrics, and the substantive field) and the qualifying paper, a proposal for the dissertation must be defended publicly before the student’s Ph.D. committee and other interested parties in the University. The proposal must be submitted before a major part of the dissertation research is completed. The University requires that the proposal hearing precede the dissertation defense by at least eight months.

Students are admitted to Ph.D. candidacy upon the approval of the student’s dissertation committee and the faculty Ph.D. committee after acceptance of their dissertation proposal (providing that the student has passed all qualifying examinations and met the course and qualifying paper requirements). The proposal should be completed in time for a proposal hearing by the start of the autumn quarter of their fourth year.

The dissertation proposal and the dissertation itself should address policy-relevant issues and demonstrate mastery and originality in applying methodologies of policy research and analysis. The dissertation proposal should formulate clearly the scholarly purpose of the dissertation research and lay out as carefully as possible

how that purpose is to be realized. It should constitute a statement of the reasons for proposing *this* research on *this* topic, using *this* approach, in light of the current status of research in *this* field.

A draft of the proposal will be read critically by the student's dissertation committee, who will then discuss their critiques with the student. **When all members of the committee signify in writing to the Director that they believe the proposal is ready for hearing, a proposal hearing shall be scheduled. It is the responsibility of the student to obtain the form for approval of the thesis proposal from the PhD Program Academic Advisor.**

It is the student's responsibility to contact his or her dissertation committee and arrange a date and time for the proposal hearing. The date and time also must be cleared with the Director and scheduled with the Ph.D. Program Academic Advisor.

The dissertation committee members and the Harris School's faculty will be notified of the time and place of the proposal hearing and each faculty member will receive a copy of the abstract. The initial part of the hearing is a public meeting.

An electronic copy (e.g., PDF) of the final proposal to circulate by e-mail, and a brief abstract (100-250 words) should be submitted to the assistant to the Director **14 calendar days in advance of the scheduled hearing.** The length of the proposal should be adequate to describe the research problem and its context, hypotheses, the state of the relevant literature, conceptual framework or model and the methods to be used (data and qualitative or quantitative analyses that are appropriate).

At the hearing, the student presents a summary of the proposal (generally lasting 45 minutes to an hour) and has the opportunity to hear and respond to faculty reactions. Immediately following the proposal hearing, the members of the student's dissertation committee, the Director, and the other faculty present will evaluate the written proposal and the oral presentation. They then will vote privately on whether to approve the proposal. The dissertation committee will discuss the results of the hearing with the student and will suggest revisions to the proposal. If the proposal is not approved, the student will be required to submit a new proposal in a hearing at a later date. The chair of the dissertation committee will summarize the discussion and the decision in writing and submit it to the Director.

### **Human Subjects Research Issues (IRB) for PhD Thesis**

If your study involves research with human subjects, then it may require review by the Institutional Review Board (the IRB is a University committee that protects the rights of research participants). A student who does not have an approval or exemption from the IRB by the time of the thesis proposal hearing must submit a memo to the chairperson of the PhD committee informing him/her of progress to that date and **either** plans to complete the IRB process or an explanation of why the research is not human subjects research that requires

IRB review. Some projects that only involve secondary data analysis do require IRB review. If your study only involves secondary data analysis, refer to the IRB document 'Guidance on Secondary Analysis of Existing Data Sets' [link]. If you are unsure whether your research will require IRB review, contact the SBS IRB office. The SBS IRB office can be reached via email at [sbs-irb@uchicago.edu](mailto:sbs-irb@uchicago.edu), and the IRB has a lot of information on their website at [sbsirb.uchicago.edu](http://sbsirb.uchicago.edu).

## **2. Admission to Candidacy**

The Harris School grants admission to candidacy for the Ph.D. to a student who has completed all necessary coursework, passed the required four qualifying examinations, completed the qualifying paper requirement and successfully defended the dissertation proposal.

## **3. Dissertation Research**

Dissertation research for a degree in Public Policy Studies may appropriately be conducted in a library, archive, research center, or other thesis-specific research site in or outside of Chicago. Many fellowship sources exist and the student is urged to plan ahead and apply for these fellowships well in advance. These fellowship sources often have deadlines for applications nine months or more before the funding is available. Students who are receiving a Harris School stipend are expected to be in residence during the academic year (autumn through spring quarter). **Exceptions must be approved by the Director.**

The dissertation research period generally is spent in residence at the Harris School where students can participate in workshops, seminars, etc., and, through such participation, discuss and refine their research design and findings.

During the period of dissertation research and until the Ph.D. is completed and awarded, doctoral students must be registered continuously in the University. Those who will be conducting research away from Chicago for extended periods of time must make registration plans with the Student Affairs Office prior to departure. Students are advised that serious financial problems may arise through failure to do this. Loan repayment schedules may be affected, for example, and other consequences may follow if students fail to make necessary arrangements.

## **4. Dissertation Defense**

It is the responsibility of the student to plan and coordinate a date and time for the dissertation defense with the dissertation committee. The date and time must be cleared with the Director and scheduled with the Ph.D. Program Academic Advisor.

In addition to materials distributed to dissertation committee members, the student must submit the approval form for dissertation hearing, an electronic copy (e.g., a PDF) of the dissertation and abstract (100-250 words) with the assistant to the Director **14 calendar days prior to the defense date.** The electronic

copy will be circulated to the faculty and students with the notice of defense time and date.

The dissertation defense is a public meeting of faculty and students, directed by the chair of the dissertation committee. It consists of an opening statement by the candidate, questions and comments by the faculty (both those from the dissertation committee and others), and a general discussion. The opening statement, generally, 30 minutes to an hour in length, should cover such points as: (1) the nature of research in the field before the dissertation work was conducted; (2) the nature of the present findings; (3) the original contribution to the fields in theory, methods and/or findings; and (4) implications of the findings for public policy studies more generally; (5) directions for future research.

Immediately following the hearing, members of the student's dissertation committee and the other faculty members present will meet in closed session to evaluate the dissertation and its defense. The results of this evaluation will be announced to the candidate immediately following the meeting. At this point, it would not be unusual for a student to be asked to undertake revisions or additional work based on the collective assessment of the faculty. Such work would be carried out under the supervision of the student's dissertation committee members. Final approval for award of the Ph.D. is granted after those revisions and any additional work is completed to the satisfaction of the dissertation committee.

Ph.D. students are encouraged to visit the University's dissertation secretary (located in JRL 100B) well in advance of the dissertation defense. The University has strict standards concerning the format of the dissertation, and the candidate should incorporate them into the dissertation manuscript as it is being prepared.

## **5. Convocation**

Convocation occurs the last day of spring quarter. Graduation requirements include completion of course requirements, successful completion of the four qualifying exams, approval of the qualifying paper, and the dissertation committee's signed approval of the dissertation. The student must be in full-time academic status in the quarter in which he or she graduates, which excludes Pro Forma status.

Doctoral candidates who submit their approved dissertation by Friday of the first week of a quarter and apply to graduate in that quarter will not be registered as students in that quarter. They will not be required to pay tuition or fees associated with registration (and will therefore not have access to the privileges associated with student status).

The student must apply to graduate online ([my.uchicago.edu](http://my.uchicago.edu).) This must be done no later than 5:00 pm on the first Friday of the quarter in which the student plans to graduate. The PhD Program Academic Advisor will notify the student of any incompletes and missing grades remaining on the student's transcript, GPA requirements and deadlines for completion of present and past course work.

All financial obligations to the University must be satisfied by the end of the ninth week of the quarter in which a student is to graduate. This is a non-negotiable deadline.

All grades for graduating students are due at the end of the 10<sup>th</sup> week of the quarter in which they plan to graduate; grades for courses taken in prior quarters which replace an incomplete or blank must be turned in by the end of the 9<sup>th</sup> week of that quarter.

The deadline to withdraw from convocation is the Friday, 5:00 p.m., fifth week of the quarter. After that date, the student will be assessed a \$50 fee by the Bursar's office, the student will be responsible for tuition charges the next time the student signs up for convocation.

In addition to the above information, Ph.D. students must fulfill the requirements for depositing the dissertation with the University dissertation secretary (see previous section).

### **III. REQUIREMENTS FOR STUDENTS STARTING AUTUMN 2019**

Same as for students starting Autumn 2018 or before *except*:

1. The minimum number of courses is reduced to 18 with at least 14 courses taken for quality grades (A through C-).
2. Students are strongly urged to complete the qualifying paper by the end of the summer after the second year (though this does not affect the formal deadline).

### **IV. REQUIREMENTS FOR STUDENTS STARTING AUTUMN QUARTER 2020 AND LATER**

All students beginning the doctoral program, who have not completed prior graduate coursework relevant to public policy studies, must complete a minimum of 8 courses in the first year and 6 courses in the second year, all for quality grades. Those who enter with a master's degree and wish to reduce the number of required courses need to submit a written petition to the Director no later than the end of their first quarter in residence. Having earned prior master's degree in a relevant field does not automatically entitle a student to waive part of the course requirements of the Harris School.

Petitions to waive courses in the Harris School's Ph.D. program must be first presented to the Ph.D. Program Academic Advisor for approval. This petition must indicate the courses to be waived, and include documentation of how the material in the prior master's program meets the doctoral training requirements of the Ph.D. program in terms of both the breadth of the material covered in the courses being replaced, the depth of the material covered (theory, methods, or substantive material), and a demonstration that the student has performed adequately for a Ph.D. student. If the Ph.D. Program Academic Advisor approves of the content of the petition, it is then reviewed by the Director.

Each Ph.D. student will choose from a list of Areas of Focus (AOFs). These areas play several roles in structuring the curriculum, all of which are designed to better guide students through their preparation for the various job markets. First, each AOF will determine two of the eight first-year courses. Second, each AOF will determine the form of and preparation for the qualifying exam. The current set of AOFs is as follows:

1. Energy and Environment
2. Political Economy
3. International Development
4. Economics and Social Policy
5. Health Policy

Details about the curriculum for each AOF will be available in a separate document before the start of the Autumn quarter.

Allowance will be made for switching from one AOF to another if a student's interests change during the course of the program, as long as all requirements of the new AOF can be met.

The faculty believe that teaching experience is an essential part of training for academic careers. As such, Ph.D. students are required to TA for six quarter-long courses. Normally, this will be done as two courses each in each of years two, three and four.

All first-year students should attend the Ph.D. workshop, if it does not conflict with classes. All Ph.D. students beyond the first year are required to regularly attend and participate in the Ph.D. workshop. Each student is also required to attend at least one of the Public Policy and Economics Workshop, Center for Human Potential and Public Policy Workshop, or the Political Economy Workshops, based on the students' research interest. Students are strongly encouraged to attend other workshops in their research areas including (but not limited to) the Health and Development Workshop, the Cultural Policy Workshop, and the Demography Workshop. A partial list of workshops may be found at:

<https://harris.uchicago.edu/academics/programs-degrees/workshops> <https://economic.uchicago.edu/content/workshops-and-events>

### **Annual Review/Satisfactory Progress Report**

By the tenth week of the spring quarter, each doctoral student is required to submit a completed satisfactory progress report form, provided by the School, to the Ph.D. Program Academic Advisor. By the summer quarter of each year, a review of the doctoral student's progress will take place. The Director will discuss the student's progress in coursework and in fulfilling the program's requirements and make a recommendation to the Ph.D. committee whether the student should continue in the program. The review conducted after the student's second year also will determine whether the student's academic performance warrants continuation in the Ph.D. program. Based on the student's grades in courses taken during the first two years and on performance on the qualifying examinations, the faculty will determine whether a student will be encouraged to proceed to the dissertation phase of the program. Students will be notified of the faculty's decision, in writing, prior to the fall quarter of their third year.

Ph.D. students, whether recommended for continuation in the Ph.D. program or not, who have quality grades in 18 courses are eligible to receive an M.A. or M.P.P. degree, if those courses meet the requirements of the degree programs. Students interested in petitioning for an M.A. or M.P.P. should refer to the "Masters' Programs Policies and Procedures" manual, available from the Student Affairs Office, for detailed information regarding specific requirements early in their program.

## A. Year One

At the beginning of the student's first year, the Director will assign a first-year faculty advisor to each student. Each student should outline a tentative plan for advanced coursework appropriate for his or her research objectives.

In addition to the eight courses for quality grade, each student must take the non-credit seminar Introduction to Graduate study in the Autumn of the first-year.

Courses taken by Ph.D. students during the first two years of the program are intended as preparation for a research career in public policy studies (See part I.B. for sample schedules to be followed by most first-year students). All Ph.D. students must demonstrate mastery of the core subject areas of econometrics and economic theory, as covered in PPHA 42000, 42100, 44100, 44200, and 41501. They demonstrate this competence by passing the six core courses with an average grade of at least B+. Students who do not meet this GPA requirement in the first year will have the opportunity to retake the final exams during their second year.

By the end of the spring quarter of the first year, students, in consultation with the Director, must identify at least one Harris School faculty member to act as an adviser for the qualifying paper. A second University of Chicago faculty member should also be identified to serve on the faculty committee for the paper.

## B. Sample First-Year Course Schedule

<b>Autumn</b>	<b>Winter</b>	<b>Spring</b>
PPHA 42000: Applied Econometrics I	PPHA 42100: Applied Econometrics II	PPHA 42200: Applied Econometrics III
PPHA 44100: Advanced Microeconomics for Policy Analysis I	PPHA 44200: Advanced Microeconomics for Policy Analysis II	Elective
PPHA 41501: Game Theory	AOF course	AOF course

## C. Year Two

During their second year, Ph.D. students start the transition from coursework to dissertation research. In addition to the minimum of six courses taken for a quality grade, there are two requirements.

## 1. Qualifying Exam

Ph.D. students must pass a qualifying exam, as specified by their Area of Focus. This might be a written exam, a GPA minimum in specified courses, or some other assessment as determined by faculty in the Area.

## 2. Qualifying Paper

Ph.D. students must complete the qualifying paper requirement according to guidelines prescribed by the Ph.D. committee and must present the paper in an appropriate University of Chicago forum. An acceptable qualifying paper will show evidence that the student is developing the capacity for formulating and conducting an independent research project and for creating a scholarly argument. **Although co-authors are allowed per the approval of the student's advisor, only one student may submit this paper as a qualifying paper. There is no exception to the rule.** Ideally, the qualifying paper will constitute a step toward completion of the student's dissertation proposal. The paper's length should approximate that of a conference paper or a paper to be set to a top journal in the student's field.

Students are expected to complete this qualifying paper by the end of the summer of their second year of study. ***Students who fail to meet this deadline will receive no financial aid (tuition, stipend, or assistantship) beyond that third year.*** Following the quarter in which the qualifying paper requirement has been satisfied, funding may be continued. Completion for this purpose involves having both faculty members of the student's qualifying paper committee indicate to the Director that the work is adequate to meet the requirement on forms available from the Ph.D. Program Academic Advisor.

## D. Ph.D. Thesis and Candidacy

By year three of the program, students are expected to be conducting research and writing their dissertations, presenting preliminary drafts of their dissertation work, and regularly attending at least two workshops.

### 1. Ph.D. Dissertation Committee

A Ph.D. dissertation committee of three or four current or emeritus faculty members from the University of Chicago, with academic interests related to those of the student, will guide and judge the student's dissertation research. **Faculty members who are not University of Chicago faculty or emeritus may not formally be a part of the committee. However, student may list them as fourth "readers" on their committee. These members have no voting rights on the committee.** The participation of the Ph.D. committee members is essential to the decision-making process that eventually results in the awarding of the Ph.D.

The Ph.D. dissertation committee will be formed by the Director in consultation with the student and the student's faculty advisor. The chair of the student's Ph.D. dissertation committee will thereafter be the student's primary faculty advisor. At least two members of the committee, including the chairperson, must be current or emeritus members of the faculty of the Harris School. A current or emeritus member of the University of Chicago faculty who is not on the



School's faculty may be included on the Ph.D. dissertation committee. In special cases, a professor from outside the University may be asked to participate on a committee. The Director must approve the initial composition of the dissertation committee, as well as any subsequent changes. If a committee member leaves the University, the Director and chair of the committee must approve for the member to remain on the thesis committee if he/she agrees. Forms for designating or changing committee members or the committee chair are available from the Ph.D. Program Academic Advisor.

## 2. Dissertation proposal

After successful completion of the four qualifying examinations (Microeconomics, Political Economy, Statistics/Econometrics, and the substantive field) and the qualifying paper, a proposal for the dissertation must be defended publicly before the student's Ph.D. committee and other interested parties in the University. The proposal must be submitted before a major part of the dissertation research is completed. The University requires that the proposal hearing precede the dissertation defense by at least eight months.

Students are admitted to Ph.D. candidacy upon the approval of the student's dissertation committee and the faculty Ph.D. committee after acceptance of their dissertation proposal (providing that the student has passed all qualifying examinations and met the course and qualifying paper requirements). The proposal should be completed in time for a proposal hearing by the start of the autumn quarter of their fourth year.

The dissertation proposal and the dissertation itself should address policy-relevant issues and demonstrate mastery and originality in applying methodologies of policy research and analysis. The dissertation proposal should formulate clearly the scholarly purpose of the dissertation research and lay out as carefully as possible how that purpose is to be realized. It should constitute a statement of the reasons for proposing *this* research on *this* topic, using *this* approach, in light of the current status of research in *this* field.

A draft of the proposal will be read critically by the student's dissertation committee, who will then discuss their critiques with the student. **When all members of the committee signify in writing to the Director that they believe the proposal is ready for hearing, a proposal hearing shall be scheduled. It is the responsibility of the student to obtain the form for approval of the thesis proposal from the PhD Program Academic Advisor.**

It is the student's responsibility to contact his or her dissertation committee and arrange a date and time for the proposal hearing. The date and time also must be cleared with the Director and scheduled with the Ph.D. Program Academic Advisor.

The dissertation committee members and the Harris School's faculty will be notified of the time and place of the proposal hearing and each faculty member will receive a copy of the abstract. The initial part of the hearing is a public meeting.

An electronic copy (e.g., PDF) of the final proposal to circulate by e-mail, and a brief abstract (100-250 words) should be submitted to the assistant to the Director **14 calendar days in advance of the scheduled hearing**. The length of the proposal should be adequate to describe the research problem and its context, hypotheses, the state of the relevant literature, conceptual framework or model and the methods to be used (data and qualitative or quantitative analyses that are appropriate).

At the hearing, the student presents a summary of the proposal (generally lasting 45 minutes to an hour) and has the opportunity to hear and respond to faculty reactions. Immediately following the proposal hearing, the members of the student's dissertation committee, the Director, and the other faculty present will evaluate the written proposal and the oral presentation. They then will vote privately on whether to approve the proposal. The dissertation committee will discuss the results of the hearing with the student and will suggest revisions to the proposal. If the proposal is not approved, the student will be required to submit a new proposal in a hearing at a later date. The chair of the dissertation committee will summarize the discussion and the decision in writing and submit it to the Director.

### **Human Subjects Research Issues (IRB) for PhD Thesis**

If your study involves research with human subjects, then it may require review by the Institutional Review Board (the IRB is a University committee that protects the rights of research participants). A student who does not have an approval or exemption from the IRB by the time of the thesis proposal hearing must submit a memo to the chairperson of the PhD committee informing him/her of progress to that date and **either** plans to complete the IRB process or an explanation of why the research is not human subjects research that requires IRB review. Some projects that only involve secondary data analysis do require IRB review. If your study only involves secondary data analysis, refer to the IRB document 'Guidance on Secondary Analysis of Existing Data Sets' [link]. If you are unsure whether your research will require IRB review, contact the SBS IRB office. The SBS IRB office can be reached via email at [sbs-irb@uchicago.edu](mailto:sbs-irb@uchicago.edu), and the IRB has a lot of information on their website at [sbsirb.uchicago.edu](http://sbsirb.uchicago.edu).

### **3. Admission to Candidacy**

The Harris School grants admission to candidacy for the Ph.D. to a student who has completed all necessary coursework, passed the required four qualifying examinations, completed the qualifying paper requirement and successfully defended the dissertation proposal.

### **4. Dissertation Research**

Dissertation research for a degree in Public Policy Studies may appropriately be conducted in a library, archive, research center, or other thesis-specific research site in or outside of Chicago. Many fellowship sources exist, and the student is

urged to plan ahead and apply for these fellowships well in advance. These fellowship sources often have deadlines for applications nine months or more before the funding is available. Students who are receiving a Harris School stipend are expected to be in residence during the academic year (autumn through spring quarter). **Exceptions must be approved by the Director.**

The dissertation research period generally is spent in residence at the Harris School where students can participate in workshops, seminars, etc., and, through such participation, discuss and refine their research design and findings.

During the period of dissertation research and until the Ph.D. is completed and awarded, doctoral students must be registered continuously in the University. Those who will be conducting research away from Chicago for extended periods of time must make registration plans with the Student Affairs Office prior to departure. Students are advised that serious financial problems may arise through failure to do this. Loan repayment schedules may be affected, for example, and other consequences may follow if students fail to make necessary arrangements.

## **5. Dissertation Defense**

It is the responsibility of the student to plan and coordinate a date and time for the dissertation defense with the dissertation committee. The date and time must be cleared with the Director and scheduled with the Ph.D. Program Academic Advisor.

In addition to materials distributed to dissertation committee members, the student must submit the approval form for dissertation hearing, an electronic copy (e.g., a PDF) of the dissertation and abstract (100-250 words) with the assistant to the Director **14 calendar days prior to the defense date.** The electronic copy will be circulated to the faculty and students with the notice of defense time and date.

The dissertation defense is a public meeting of faculty and students, directed by the chair of the dissertation committee. It consists of an opening statement by the candidate, questions and comments by the faculty (both those from the dissertation committee and others), and a general discussion. The opening statement, generally, 30 minutes to an hour in length, should cover such points as: (1) the nature of research in the field before the dissertation work was conducted; (2) the nature of the present findings; (3) the original contribution to the fields in theory, methods and/or findings; and (4) implications of the findings for public policy studies more generally; (5) directions for future research.

Immediately following the hearing, members of the student's dissertation committee and the other faculty members present will meet in closed session to evaluate the dissertation and its defense. The results of this evaluation will be announced to the candidate immediately following the meeting. At this point, it would not be unusual for a student to be asked to undertake revisions or additional work based on the collective assessment of the faculty. Such work would be carried out under the supervision of the student's dissertation committee members. Final approval for award of the Ph.D. is granted after those revisions

and any additional work is completed to the satisfaction of the dissertation committee.

Ph.D. students are encouraged to visit the University's dissertation secretary (located in JRL 100B) well in advance of the dissertation defense. The University has strict standards concerning the format of the dissertation, and the candidate should incorporate them into the dissertation manuscript as it is being prepared.

## **6. Convocation**

Convocation occurs the last day of spring quarter. Graduation requirements include completion of course requirements, successful completion of the four qualifying exams, approval of the qualifying paper, and the dissertation committee's signed approval of the dissertation. The student must be in full-time academic status in the quarter in which he or she graduates, which excludes Pro Forma status.

Doctoral candidates who submit their approved dissertation by Friday of the first week of a quarter and apply to graduate in that quarter will not be registered as students in that quarter. They will not be required to pay tuition or fees associated with registration (and will therefore not have access to the privileges associated with student status).

The student must apply to graduate online ([my.uchicago.edu](http://my.uchicago.edu).) This must be done no later than 5:00 pm on the first Friday of the quarter in which the student plans to graduate. The PhD Program Academic Advisor will notify the student of any incompletes and missing grades remaining on the student's transcript, GPA requirements and deadlines for completion of present and past course work.

All financial obligations to the University must be satisfied by the end of the ninth week of the quarter in which a student is to graduate. This is a non-negotiable deadline.

All grades for graduating students are due at the end of the 10<sup>th</sup> week of the quarter in which they plan to graduate; grades for courses taken in prior quarters which replace an incomplete or blank must be turned in by the end of the 9<sup>th</sup> week of that quarter.

The deadline to withdraw from convocation is the Friday, 5:00 p.m., fifth week of the quarter. After that date, the student will be assessed a \$50 fee by the Bursar's office, the student will be responsible for tuition charges the next time the student signs up for convocation.

In addition to the above information, Ph.D. students must fulfill the requirements for depositing the dissertation with the University dissertation secretary (see previous section).

## V. READING AND RESEARCH/INTERNSHIP COURSES

An individual reading and research course (PPHA52000) provide a useful way to supplement scheduled courses. While the instructor and the student will determine the nature of each reading course, it is expected that the student will meet with the instructor at least three or four times during the quarter. It also is expected that the course will lead to a paper that has not been submitted previously in any other course. This course must be taken for a quality letter grade.

Written consent of the instructor and approval by the Director is necessary for a reading and research course. Consent forms for public policy reading and research courses can be obtained online on the Student Affairs Office page.

Students may receive academic credit for internships during their course of study. Consent forms are available online on the Student Affairs Office page. Requests to take internship courses must have the written consent of the faculty supervisor and the approval of the Director of Doctoral Studies. Internship course credit will be granted only after the faculty advisor has evaluated the written project and judged its academic caliber. This course must be taken for a quality letter grade. Consent is not required for summer internships.

## VI. FINANCIAL AID

Entering Ph.D. students may be eligible to receive up to four years of full financial support, in the amount of tuition plus a stipend. All Ph.D. students are expected to make efforts to obtain financial support for their studies from non-Harris School sources, including the research centers and projects of the University. The combination of Harris School support and that from external sources should enable students to receive financial support for their entire program of doctoral studies.

The Harris School provides financial support for its Ph.D. students in the form of tuition fellowships, stipends, and teaching and research assistantships, depending on merit and qualifications. The exact terms of the award are specified in the award letter sent to each admitted student. The terms of the letter may vary from student to student.

Acceptance of an award constitutes permission for the School to furnish reports of academic progress to the donor of the fund from which the award was made. A student receiving an award from a source outside the University must notify the Director and the PhD Program Academic Advisor of that fact. In such a case the School reserves the right to make an appropriate adjustment in its own offer of award, including withdrawal of its offer if the outside award is substantial. The student's total financial aid will not be lowered, by the receipt of outside funds.

Harris School financial support will be awarded according to the following criteria:

- ◆ Students must be in full-time academic residence defined as working for remuneration for no more than 19.5 hours per week while classes are in session during the academic year. A student who finds it necessary to discontinue studies during any quarter will be expected to refund any stipend money awarded for that quarter.

- ◆ Students may receive stipends only when in residence at the University. Students in pro forma status are not eligible for stipend support. Any requests for exception to this policy must be submitted in writing to the PhD Program Academic Advisor for approval by the Director of the PhD program.
- ◆ Students are eligible to receive financial support in the first two years of the doctoral program provided they are in good academic standing, defined as being registered for at least nine courses for academic credit per year and having maintained a cumulative grade point average of not less than 2.7.
- ◆ Students are eligible to receive financial support in the third year of the doctoral program provided they are (a) in good academic standing, (b) have taken at least two of three required qualifying examinations.
- ◆ Students are eligible to receive financial support in the fourth year of the doctoral program provided they have (a) completed the 27 course requirements, (b) passed all required qualifying examinations, (c) completed the qualifying paper requirement, and (d) applied for financial support from external sources by the end of the fall quarter (or received external financial support in a prior year). The application for financial support for that year will be reviewed with regard to the student's ability to defend his or her doctoral dissertation proposal and make significant progress on his or her dissertation research during the year.
- ◆ **Students must apply for outside funding by the end of autumn quarter in their fourth year of study to be considered for fifth year tuition and stipend support from the Harris School.** Copies of applications must be submitted to the PhD Program Academic Advisor by December 31. If applications are not received by that date, students will not receive tuition and stipend support from the Harris School past the fourth year of Scholastic Residence. In addition to applying for outside funding, students must all have (a) passed all required qualifying examinations, (b) completed the qualifying paper requirement, (c) successfully defended a dissertation proposal.
- ◆ Beyond the 5<sup>th</sup> year students are expected to secure their own external financial support. **NO EXCEPTIONS.**
- ◆ The Harris School will provide tuition for the quarter in which a student graduates.
- ◆ Students accept the obligation to serve as a course teaching assistant (TA). Students are obligated to TA nine times if they receive four years of support. Students receiving fifth year funding are obligated to TA for 3 courses. Students are encouraged to begin to fulfill their TA obligations as early as their second year of doctoral study to avoid conflicts with the preparation for the qualifying examinations during the first year. Students cannot bank TAships nor put off meeting this obligation unless approved by the Director of Graduate Program.
- ◆ Students receiving stipends from the Harris School cannot receive remuneration (TAships or hourly work at the University) for more than 19.5 hours per week during the fall through spring terms that they receive stipend support. If they do so,

there stipends will be reduced accordingly. Students who did not receive stipends from the School may work for 19.5 hours per week during regular academic year.

## **VII. LEAVES OF ABSENCE**

Leaves of absence can be requested by and granted to students in the PhD program subject to the conditions and procedures described below. Note, however, that such leaves do not extend a doctoral student's eligibility for full-time student status beyond the total of twelve years from entry into the Ph.D. program. Students entering the PhD program in 2016-17 and beyond will be subject to a University-wide 9-year limit on registration. Students who entered a PhD program prior to summer 2016 will continue to be allowed to register for up to 12 years from matriculation.

Three types of leave of absence are available to students in the Ph.D. program.

- ◆ A student who has completed three or fewer years in this status may apply to the Director and the PhD Program Academic Advisor for a leave of absence of up to four academic quarters. Upon returning from such a leave, the student will be required to register until the requirement of four years of registration in that status has been fulfilled.
- ◆ A student may apply for a leave of absence only if temporarily incapacitated by major illness or injury. Applications for such a leave must be endorsed by the Director of the PhD Program and Student Affairs Office; they can only be granted by the Office of the Dean of Students in the University. A student may take such a medical leave of absence for no more than four academic quarters.
- ◆ A student who becomes a parent during his or her doctoral program may request a one-quarter Parental Relief Leave of Absence to care for the new child, and pregnant students for whom it is medically necessary, may request a Parental Relief Leave of Absence during pregnancy. Such leaves may be granted by the Student Affairs Office of the student's school or division. Students are still eligible for University benefits during a Parental Leave of Absence. <https://studentmanual.uchicago.edu/university-policies/graduate-student-parent-policy/>

## **VIII. HARRIS STUDENT ORGANIZATION (HSO)**

The HSO is the student committee of the School. It consists of student representatives from the different classes and meets regularly during the school year. Notices

of elections and meetings are publicized. The charter of the HSO is available upon request from the student committee.

## **IX. GRIEVANCE/DISCIPLINARY PROCEDURES**

### **Grievance Procedures**

For matters dealing with class procedures, grades, advising, or other academic affairs, the student first should approach that faculty member involved and attempt to resolve the issue with him or her.

If the student's concerns are not satisfactorily resolved after discussion with the faculty member, the student should present the matter to the Student Affairs Office in writing. The Student Affairs Office will work with the faculty member and the Director of the Ph.D. program to find a solution.

If the matter remains unresolved after the intervention of the Director of the Ph.D. program and the Student Affairs Office, the student may contact the University's student ombudsman, who works as an outside observer and mediator.

For matters dealing with general policies of the School, including program requirements or changes in the system, petitions should be made directly to the Director of the PhD Program.

### **Disciplinary Procedures**

The disciplinary committee of the Harris Graduate School of Public Policy Studies operates as part of the University's disciplinary system, described in the *Student Information Manual*. Students should familiarize themselves with the material in this manual.

When a question of possible misconduct arises that, in the judgment of the Student Affairs Office in the School, is substantial enough to warrant convening a disciplinary committee, the Director of the Ph.D. program will appoint a committee. The committee will consist of the Director of the Ph.D. program (or his/her appointed representative), two faculty members from the School, one person from the Office of the Dean of Students in the University (who serves as a non-voting member) and, if the accused person so wishes, a student in the School elected by the student body of the School or a member of the elected representatives of HSO. The Student Affairs Office in the School also is present as a non-voting member of the committee.

The Student Affairs Office in the School will inform the student in writing of the disciplinary questions raised and of the committee's meeting time and place. The accused student may bring individuals who have direct knowledge of the situation under discussion as well as someone to provide support. The student should, however, be prepared to speak to the committee on his or her own behalf. The accused student may wish to provide the committee with a written statement. In advance of the meeting, the student will be provided with all of the written material furnished to the committee. If the committee wishes to hear from other individuals during the



proceedings, the accused student may choose to be present when those individuals are heard.

Disciplinary sanctions available to the committee are those set out in the *Student Information Manual*. <https://studentmanual.uchicago.edu/area>.

When the committee has reached its decision, the student will be informed of the decision as soon as possible; a confirmatory letter will be sent to the student, Director of the Ph.D. program and the Office of the Dean of Students in the University will be informed of the action.

If the committee imposes a sanction, the student may have the committee's decision reviewed on one or more of the following grounds: if 1) prescribed procedures were not followed; or 2) the sanction will have unforeseen consequences for the student that are harsher than intended; or 3) that new and substantial evidence, unavailable to the committee, bears importantly in the student's favor.

For a review, the student must make a request in writing to the Office of the Dean of Students in the University not more than 15 days following the written notification of the decision of the School's committee. A review board convened by the Dean of Students in the University or his/her appointed representative, one member of the School's faculty and a student from the School conduct the review. The student presents to the review board written materials that support his request for review. He or she may be granted an additional 15 days to prepare these materials.

The review board, whose decision is final, does not conduct a rehearing of the matters that came before a disciplinary committee. Nor does the student ordinarily appear before the board, although the board reserves the right to ask the student to appear in order to clarify aspects of his/her request. The board, acting on the basis of the student's written materials may sustain or reduce the sanction; or, if satisfied that new and material evidence not available to the committee might have resulted in a different decision, may require a second hearing.

## **UNIVERSITY POLICIES**

General links to the University Student Manual:

Civil Behavior in a University Setting <https://studentmanual.uchicago.edu/university>

Statement of Nondiscrimination Policy on Unlawful Discrimination and Sexual Misconduct  
<https://studentmanual.uchicago.edu/university-policies/university-of-chicago-policy-on-harassment-discrimination-and-sexual-miscon/>

Hazing Policy <https://studentmanual.uchicago.edu/university-policies/hazing-policy/>

Academic Honesty and Plagiarism and Academic Fraud <https://studentmanual.uchicago.edu/academic-policies/academic-honesty-plagiarism/>