

HUMPHREY SCHOOL OF PUBLIC AFFAIRS

UNIVERSITY OF MINNESOTA

PhD in Public Affairs Fall 2020-Summer 2022 Handbook

Alternative format

This handbook is available in alternative formats upon request.

Navigation

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I. Introduction

The Doctor of Philosophy (PhD) in Public Affairs offers rigorous, advanced study that prepares researchers to enter academia or join highly respected institutions involved in cutting edge research in public affairs, policy, planning, and management/governance. Students are expected to make original theoretical, methodological, or substantive contributions in one of four specialization areas: Public Policy; Urban Planning; Management and Governance; or Science, Technology, and Environmental Policy.

What follows is a handbook of program requirements, policies, and procedures. Like life itself, these features are in a constant state of transformation, but are always aimed toward the best possible graduate education in public affairs. The information in this handbook and other University catalogs, publications, or announcements is subject to change without notice. University offices can provide current information about possible changes. The document is updated annually to reflect changes to program policies and procedures. Input is welcome at any time by making suggested changes in the document found [here](#).

For new graduate students, we hope that this handbook will answer some of your most important questions (along with some of your less crucial conundrums) and will ease your transition as you become a welcomed member of this program. For continuing graduate students, we hope that the updated and changed information will smooth your steps towards degree completion.

II. Humphrey School History

The Hubert H. Humphrey School of Public Affairs was founded in 1977 as the Humphrey Institute of Public Affairs. The school chose its name in honor and recognition of U.S. Senator and Vice President Hubert Humphrey, a legislator and statesman recognized internationally for his contributions to improving the well-being of humanity. The Humphrey Institute grew out of the University of Minnesota's former School of Public Affairs (1968–77) and Public Administration Center (1936–68). It was renamed the Humphrey School of Public Affairs in 2011 to better reflect its academic mission. Like its predecessors, the Humphrey School continues to instill in our brightest leaders an understanding of leadership and public service in advancing the common good. Before his death, Hubert Humphrey sought to make the institution that would carry his name more than a college. He wanted a living memorial, one that would not only prepare future leaders, but also one that would be a forum for active debate on the policy issues of the day, and an academy that would produce the best research and non-partisan advocacy based on that research.

The Humphrey School of Public Affairs is one of the top-ranked public policy and planning schools in the country where you acquire skills, expertise, and real-world experience to transform ideas into action. Faculty members are deeply engaged in interdisciplinary research and public affairs, and alumni are leading change in cities and nations around the world. The School offers six master's degrees, a doctoral degree, six certificates, a variety of dual degrees and professional development options, and numerous opportunities for undergraduates.

III. Structure and Leadership

A. Faculty

The Humphrey School of Public Affairs is fueled by world-class faculty who are actively engaged with students and deeply committed to public service and public affairs scholarship. They bring real-world experience into the classroom and offer connections to experiential learning locally and globally. Eight policy research centers at the Humphrey School make significant contributions to solutions on issues ranging from politics and governance to urban and regional planning, from early childhood policy to technology and environmental sustainability. A complete list with links to individual faculty pages can be found [here](#).

B. Humphrey School Leadership

[Dr. Laura Bloomberg](#) is the dean of the Humphrey School with responsibility for all School programs and functions, including academic programs. [Dr. Catherine Squires](#) will serve as Associate Dean beginning September 2020, leading the planning and implementation of the School's academic programs. Director of Academic Programs [Diana Beck](#) oversees the professional program curriculum.

The School is organized into six substantive "areas" led by faculty chairs:

Global Policy -- [Mary Curtin](#)

Leadership and Management -- [Jodi Sandfort](#)

Politics and Governance -- [Lawrence Jacobs](#)

Science, Technology, and the Environment -- [Gabe Chan](#)

Social Policy and Policy Analysis -- [Joe Soss](#)

Urban and Regional Planning -- [Ryan Allen](#)

In addition to this PhD program, the School offers six Master's degree programs, each of which is led by a Director of Graduate Studies (DGS) who serves for a term of two to three years:

Master of Development Practice -- [Ragui Assaad](#)

Master of Human Rights [Deborah Levison](#)

Master of Public Affairs -- [Kevin Gerdes](#)

Master of Public Policy -- [Jerry Zhao](#)

Master of Science in Science, Technology, and Environmental Policy -- [Gabe Chan](#)

Master of Urban and Regional Planning -- [Ryan Allen](#)

C. PhD Program Leadership

Director of Graduate Studies (DGS)

[Yingling Fan](#), yingling@umn.edu

The DGS is the faculty member primarily responsible for representing the graduate program in Public Affairs, both within and outside the University. In this capacity, the DGS exercises leadership in the organization and planning of graduate studies in the program; acts as liaison between graduate students and faculty; conveys the policies, interests, and views of the graduate program to the Graduate School, as well as to prospective students and the public at large; and chairs the PhD Committee. Routine decisions and information about departmental policy can be secured from the DGS and the Program Coordinator.

Program Coordinator

Carla Mantel, cmantel@umn.edu

The Program Coordinator supports program development and operation through admissions, orientation, curriculum management, student progress, and implementation of policies, procedures, and forms; maintains student records; and supports students and faculty by addressing personal and academic challenges. The Program Coordinator is your best source of information about School and University policies and requirements that apply to the PhD program and can help you navigate them.

PhD Committee

The PhD Committee, chaired by the DGS, serves as the primary consultative body for the program and is comprised of five or six program faculty on rotating terms, plus Associate Dean, Humphrey School Director of Admissions, Program Coordinator, and a student representative (excluded from admissions and individual student issues). The PhD Committee is the admissions committee for the PhD program and may act as a due process body to hear and rule on matters involving any exception to policy, scholarly dishonesty and/or misconduct within the graduate program. The currently serving committee members can be found [here](#).

Students

PhD student photos/bios can be reviewed [here](#).

D. Faculty Advisor(s)

You are assigned an advisor, and potentially a co-advisor, before the start of your first semester. Your faculty advisor is the person who seems at the time you matriculate to be best suited to guide you in your research. Most students remain with their initial advisor through completion of their dissertation, but some students change advisors because their interests change or because both the student and faculty member agree another faculty member is better suited to serve in that role. The faculty member who serves as your dissertation advisor is likely the most important individual in your graduate school career. She or he will be responsible for assisting you through your coursework, research, and PhD requirements and will also serve on your prelim exam committee (as chair) and on your final defense committee (as member). If there is a need to change advisors, consult with the DGS. If the change is approved, the Program Coordinator informs the Graduate School of the change so that it will be reflected on both student and faculty records. Helpful information about maintaining a productive relationship with your advisor can be found [here](#).

E. Faculty Supervisor

F. Staff

Many staff work to support the mission of the School and assist the faculty and students in their endeavors. Staff with whom you may interact:

Stacey Grimes

Administrative Consultant/Analyst and Supervisor of Curriculum and Instruction

(612) 626-1329, grime004@umn.edu

Responsible for: course scheduling

Mary Lou Garza
HR and Administrative Coordinator
612-625-3032, garza001@umn.edu
Responsible for: employment appointment letters

Sherri Holmen
Director of Facilities and Events
(612) 626-1090, holme021@umn.edu
Responsible for: space assignments

Gayle Peters
Director of Human Resources
(612) 626-9326, gfpeters@umn.edu
Responsible for: Humphrey Human Resources

Suneil Sood
Payroll Specialist
(612) 626-7440, ssood@umn.edu
Responsible for: your paycheck!

G. Graduate School

The mission of the [Graduate School at the University of Minnesota](#) is to ensure quality in graduate education, advocate for the academic and professional development of graduate students, advance intellectual communication and scholarship across disciplines, and promote cultural diversity, scholarly integrity, and inclusivity. The Graduate School leads efforts to establish and review general policies and requirements that all graduate programs and students must follow. The Graduate School has created an online orientation called [GEAR](#) to help acclimate you to its programs and find additional resources for academic writing, research, and other skills.

H. Graduate Student Services and Progress (GSSP)

GSSP is a central University office housed in Onestop Student Services that advises faculty and students concerning graduate education and University policies and procedures. GSSP serves as gatekeeper for graduate student milestone requirements, strictly enforcing policies and procedures. For example, failure to meet deadlines for filing certain forms and online processes can delay dates of examinations or dates when degrees are conferred. GSSP is located in 333 Bruininks Hall (just across the bridge to the East Bank). Contact information: gssp@umn.edu or 612-625-3490.

IV. Communications

A. PhD/Public Affairs Google sites

Newly Admitted Students

Information for Newly Admitted Students [here](#).

Important First Steps, Orientation Events, Twin Cities Campus Information, Living in Minnesota, U Card, Curriculum Requirements and Fall Registration, International Students, Registration Holds, Class Search, Registration Tutorial, Academic Integrity, Funding Opportunities (Fellowships; Travel), Graduate and Professional Student Advising (Best Practices), PhD Student Group, Helpful Resources, Business Cards, Important Contacts (including current student bios)

Current Students

Information for Current Students [here](#).

Tuition Band Allowances/Restrictions + Program Overview, Graduate Degree Plan (GDP), Prelim, Prospectus Review, and Final Defense Processes, Pedagogy Training Options, Co-authorship Policy (dissertation and prelims), Funding Opportunities (fellowships; travel), Graduate and Professional Student Advising (Best Practices), UM Library Resources Specific to PhD/Public Affairs, PhD Student Group, Ordering Business Cards, Important Message about Stress!, Student Bio/Photos

B. Email and Listservs

All official communication from University sources is sent to your @umn.edu email account. You are responsible for checking this email regularly and when requested, respond in a timely manner. The Humphrey School has two student listservs that you are on and are welcome to use:

hjh-phd-l@lists.umn.edu - This list includes only PhD/Public Affairs students and is used by the DGS and Program Coordinator to share important information such as deadlines or changes in University requirements; opportunities for professional development, fellowship applications, or award nominations; and invitations to academic events.

hjh-stu-personal-L@lists.umn.edu - This list includes all Humphrey students and is used to share information about social activities, opportunities for housing, and other matters that are not necessarily official University business.

V. Public Affairs Ph.D. Requirements

As a graduate student in Public Affairs, three different organizational units at the University of Minnesota will set requirements pertaining to your degree completion:

1. University-Wide Graduate Education Requirements, as enforced by Graduate Student Services and Progress (GSSP) on behalf of the University's Graduate School.
2. Humphrey School of Public Affairs (the "college" in University terminology)
3. PhD in Public Affairs Program (the "program" or "department" in University terminology)

The requirements include expectations regarding student conduct, coursework, research, preliminary exams, and a Ph.D. dissertation and defense. All program requirements are in compliance with University-wide requirements regarding graduate education. Some program requirements, as allowed in University-wide policies, are more specific or strict than University-wide requirements.

A summary of the formal steps meeting these expectations is given below, but be aware there is more to becoming an expert scholar/researcher/practitioner in the field than is captured by these formal requirements. The DGS, the Program Coordinator, and your faculty advisor(s) assist you and answer questions, but it is your responsibility to submit required documentation in a timely fashion on your path towards obtaining your doctorate degree.

A. University-Wide Graduate Education Requirements (1)

The Graduate School, in wide consultation with colleges, schools, and programs, holds the responsibility for maintaining and updating requirements about University-wide graduate education. Graduate Student Services and Progress (GSSP) implements policies and requirements and serves as a gatekeeper for University-wide graduate education policies and tracking of graduate milestones. These requirements are non-negotiable but tend to be basic and achievable. The full policies are available via the UMN Policy Library under the heading "Graduate Students" found [here](#) and are summarized below.

1. Active Status

Students must maintain active status (i.e. be registered for courses) each fall and spring semester until their degree is granted. For doctoral students, this requirements includes students at the All But Dissertation (ABD) level (also referred to as Advanced Standing).

2. Time Limit

Students have eight academic years to earn their PhD. Students who do not complete the degree within eight years must petition for an extension no less than six months before their time will expire. The extension request form is found [here](#).

3. Cumulative GPA

Students must maintain a cumulative GPA of a 3.0 (i.e., at least a B average).

4. Transfer Credits

- Graduate credits taken before the award of a baccalaureate degree may not be counted toward a graduate degree.

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- The number of transfer credits allowed is determined by the graduate program (e.g., the Humphrey School doctoral program).
- Graduate course credits earned while enrolled in one University graduate program may be applied to another University graduate program.
- Graduate course credits from other accredited institutions may be transferred. To use credits from non-U.S. institutions, courses must be deemed “comparable” to a course from an accredited U.S.-based institution, as vetted by the advisor, DGS, and Graduate School.
- Doctoral students must take a minimum of 12 course credits at the University.
- A maximum of 12 graduate course credits are allowed if taken in non-degree seeking or non-admitted status (total of both University of Minnesota and external institutions).
- Transfer of thesis credits is not allowed.
- Earned doctorate thesis credits (8888) in one University graduate program cannot be applied toward the thesis credit requirement for another University graduate program.

5. Graduate Degree Plan (GDP)

All students must file a Graduate Degree Plan (GDP) with GSSP before scheduling their preliminary exams. The GDP is a form that lists courses to be completed to fulfill requirements of the doctoral program. In most cases, all courses will be completed prior to the preliminary exam. This is the document that formalized any transfer of credits and communicates the coursework you intend to use to fulfill the PhD degree requirements.

6. Minimum Grade Requirements

Only courses with grades of A, B, C (including C-) and S (if course is taken S/N) may be counted toward the degree and listed on the GDP. A minimum of 2/3 of the course credits included on a degree plan must be taken A/F. Audited courses are not permitted to be listed or counted towards degree progress.

7. Preliminary Exams

Each doctoral candidate must pass a written and an oral preliminary exam. The written exam must be passed before the oral exam, and a student may only attempt the oral exam twice before being discontinued from the program.

8. Dissertation and Final Defense

Each doctoral candidate must complete a dissertation and final defense (also referred to as the “final oral examination”). The dissertation must be presented publically, followed by a closed-door “defense” session with the student’s committee. To be recommended for the award of the doctoral degree, all committee members, or all committee members save one, must vote that the student has passed the doctoral final oral examination. Students are not allowed to retake the final oral examination. Within seven (7) days of the final oral examination, committee members must notify the candidate in writing of all required revisions to the doctoral dissertation as well as specifying a time limit for the submission of the revised doctoral dissertation.

9. Dissertation Submission

All students who complete a doctoral dissertation must file a digital copy of the dissertation with the University in accordance with University standards. Students may choose whether or not to request an [embargo of the publication of the dissertation](#) for a limited period of time.

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10. Dual PhD Degrees (not allowed)

Students are not permitted to earn two Ph.D. degrees at the same time in two fields using the same program of study and dissertation. Although students are generally discouraged from doing so, special circumstances may warrant taking a second Ph.D. degree at a later date, but only when a completely separate program and dissertation are involved.

B. Humphrey School (“College”) Requirements (2)

The Humphrey School of Public Affairs at the University of Minnesota houses the PhD program in Public Affairs. As such, the Associate Dean and the College Coordinator oversee and verify several aspects of a student’s progress towards graduation. The Graduate Degree Plan and all committee approvals, for example, must be signed off on by the College Coordinator (or their designated representative) before being forwarded to GSSP. Other than overseeing and reinforcing the U-wide graduate education policies, the Humphrey School does not specify any additional policies or requirements. For most practical matters, including day-to-day administration of program requirements, the Associate Dean and College Coordinator have delegated authority and responsibility to the PhD Program DGS and the Program Coordinator.

C. Program Requirements for PhD in Public Affairs (3)

The PhD/Public Affairs has several requirements for students in addition to University-wide graduate education requirements. ***It is crucial that students talk with their advisor(s) before registration each semester to ensure they are meeting requirements and expectations.*** Requirements are also available on websites and google sites or via the Program Coordinator or DGS. Carefully review the following section to become familiar with all requirements for the PhD in Public Affairs.

VI. Program Requirements for PhD in Public Affairs

A. Expected Time to Degree Completion

Students are expected to graduate in 4-5 years. For a basic timeline on expected progress, review [Appendix I](#).

B. Full-time Status and ABD

Students must hold full-time status (6-14 credit hours) each semester until they have obtained All but Dissertation (ABD) status, also called Advanced Standing. ABD status is awarded when all required coursework has been completed, all 24 credits of PA 8888 thesis credits have been registered for, and both written and oral prelim exams have been passed.

C. Coursework Requirements

1. Required Coursework

View/print chart [here](#)

- 12 credits of coursework in Public Affairs PhD seminars -- taken by all PhD students
 - PA 8003 Integrative Doctoral Seminar in Public Affairs I (3) – taken 1st semester
 - PA 8004 Integrative Doctoral Seminar in Public Affairs II (3) – taken 2nd semester

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- PA 8005 Doctoral Research Seminar in Public Affairs (3) – taken semester prior to prelims
- PA 8006 Current Research in Public Affairs: Topics, Approaches, & Cultures (1.5+1.5) – Year 1: attend both semesters without registering; Year 2: register and attend both semesters
- 12 credits (minimum of four courses) research methodology, chosen in consultation with advisor, including at least one course each in quantitative methods and qualitative methods. Courses are chosen in consultation with advisor based on student's background and research interests. Students may use previous graduate-level coursework for up to three of the four methods courses (up to 9 credits) with approval of PhD program director. (see example courses [here](#), but others can be considered).
- 18 credits in one of four sub-plans [Public Policy; Urban Planning; Management and Governance; Science, Technology, and Environmental Policy] as defined by the sub-plan area and chosen in consultation with advisor (see next section for sub-plan details)
- 24 hours of PA 8888: Thesis credits

2. Sub-Plan Requirements -- Total of 18 Credits

Public Policy

- Six courses selected by student and advisor, with consent of sub-plan faculty

Urban Planning

- PA 8206 Planning Theory (3)
- PA 5204 Urban Spatial & Social Dynamics (3)
- Four additional courses
- GIS proficiency

Management and Governance

- PA 8106 Research Seminar in Leadership & Management (3)
- PA 5012 Politics of Public Affairs (3)
- Four additional courses

Science, Technology, and Environmental Policy

- Six courses selected by student and advisor, with consent of sub-plan faculty

3. Transfer Work

As long as University-wide policies ([above](#)) are followed, transfer coursework is allowed from previous master's or PhD programs or from graduate non-degree status in the area of research methodology (up to three courses) and in the sub-plan area (up to 18 credits). The advisor(s) will assess and approve which research methodology and sub-plan course requirements may be fulfilled with transfer work, subject to DGS approval. This transfer is formalized using the GDP form, in the second year of study.

4. Optional Minor

An optional minor is allowed. University policy requires a minimum of 12 credits for a PhD minor, but specific course and credit requirements are set by the department. Contact the minor program's DGS to request a minor. The formal minor will appear on your transcript after being declared and approved on

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the Graduate Degree Plan, where minor courses are marked as “other.” Signature of the DGS from minor program is required on the form before final approval from the DGS of the PhD in Public Affairs.

5. Teaching

Students are required to take one formal or informal course in pedagogy (this can be fulfilled with previous education) and undergo one teaching experience during their PhD program (this can also be fulfilled if the student has previous teaching experience).

D. Non-coursework Requirements

1. Master's Degree

When students are admitted to the PhD program without a completed master's degree, they are required to concurrently complete the core curriculum of one of these five degrees from the Humphrey School:

- Master of Public Policy (MPP)
- Master of Urban and Regional Planning (MURP)
- Master of Science in Science, Technology, and Environmental Policy (MS-STEP)
- Master of Development Practice (MDP)
- Master of Human Rights (MHR)

Formal Admission to the master's program is not required. If you are not formally enrolled in a master's program, you do not need to complete the Professional Paper, Internship, or other capstone project requirement for that program.

2. Teaching and Pedagogy Training

Students must fulfill two requirements related to acquiring teaching experience. The first is completion of a training course in pedagogy and the second is completion of a University-level teaching experience:

- At least one training course (not necessarily for credit) in pedagogy, subject to the approval of advisor and DGS must be completed. This training should be completed prior to the teaching experience. Some options to explore are found [here](#).
- At least one teaching experience must be completed, subject to approval of the DGS. The teaching requirement may be fulfilled as a Teaching Assistant with major teaching responsibilities, co-instructor, or sole instructor of a substantial course. Teaching assistant positions also require approval of the faculty member who will serve as the instructor of record. Co- and sole instructor positions, in addition to endorsement by the faculty advisor and approval of the DGS, require approval of the Associate Dean. No courses can be taught as part of the Humphrey School curriculum without approval of the Associate Dean.

The pedagogy training and teaching experience requirements will be waived if the student can document previous teaching experience at the University level or other equivalent experience. For example, teaching experience requirements have been waived for students who hold degrees in education.

3. English Language Proficiency

- If English is not your first language, to be eligible for full teaching responsibilities, you must obtain an “ELP 1” rating.

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- Check the "Speaking" sub-score on your TOEFL test and find your ELP rating under "English Language Proficiency Rating & TA Eligibility" [here](#).
- Note that if your TOEFL speaking score is less than 27, you will need to take an exam at the University of Minnesota (SETTA), and you may be required to take a full semester course before you will be allowed to teach. It is advisable to take this course early in your program. Accordingly, find out your ranking early, discuss with your advisor, and plan to take the SETTA by late in your first semester so that you can take any required courses in your second semester.

4. Adequate Progress and Annual Review

The University of Minnesota and the Humphrey School require that the progress of each doctoral student be reviewed annually and the results made available to the student in writing. The review is done to ensure that the student makes adequate progress toward the degree, to document outstanding achievements by the students, and to identify any potential problems for the student related to their performance. The reviews are meant to be an opportunity for the student and the advisor to talk about the student's experiences in order to facilitate the successful completion of the degree requirements. The annual review is based on such things as course grades and completions, seminar evaluations, advisor feedback, and the student's overall progress toward the degree. The annual review becomes part of the student's permanent file.

Near the end of spring semester, the PhD Coordinator will initiate the Annual Review workflow, which will first ask the student to fill out their self-assessment regarding the topics below. You should meet with your advisor either before or after completing this assessment to go over your progress. This assessment will then be sent on to the advisor and DGS for their comments. Topics to be reviewed include:

- progress towards completion of coursework;
- classroom performance and experience;
- plan for preliminary exams;
- experience and performance in research or teaching assistantship (when applicable);
- plans to complete pedagogy training and teaching requirements;
- competitive fellowships and grants applied for and received;
- conference and other presentations;
- articles and other publications;
- external travel and conference awards;
- funding source for the following year.

On the basis of the annual review a student may be advised to take one of several courses of action:

- continue toward the PhD (with possible suggestions for improvement)
- continue toward the PhD pending the fulfillment of certain conditions related to milestones, incomplete grades, etc.; deadlines for fulfilling conditions may also be set and failure to meet these deadlines may result in dismissal from the program
- withdraw from the program

E. Preliminary Written and Oral Examinations

1. General Description

Process and procedures associated with the preliminary examination are detailed [here](#) and must be followed to the letter or continued progress in the program will be compromised!!

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In addition to the completion of program course and non-coursework requirements, students must pass both a written preliminary exam and an oral preliminary exam. Students are required to take the preliminary exams within six (6) months after completing course work for the degree or within three and one-half (3.5) academic years (i.e., by the end of the seventh semester) from initial matriculation, whichever comes first.

Students will have only two opportunities to pass the preliminary exams.

There are two methods for completing the written preliminary exam requirements. The first method (Option A) is a formal written comprehensive examination that covers theory, research methodology, and substantive knowledge in the student's chosen field. The second method (Option B) is the preparation of a research paper and/or prospectus for the final dissertation. In both Option A and B, the written examination is followed by an oral preliminary exam that focuses on but is not strictly limited to the content of the written exam.

- Students in Urban Planning, STEP, and Management and Governance sub-plans will follow Option A.
- Students in Public Policy will choose (in consultation with advisor) either Option A or B.

2. Examination Committee

Students must be guided and assessed in the examination process by a committee of faculty. The student's advisor, in consultation with the student and the DGS, approves the examination committee. The advisor is typically (but not necessarily) the chair of the committee. Each committee shall be composed of no fewer than four persons. At least three committee members, including the chair, shall hold faculty appointments at the Humphrey School. At least one of the committee members shall hold faculty appointments outside the Humphrey School. In addition, at least three of the committee members shall be tenured or tenure-track faculty members, and at least 2 members must have a doctoral degree or designated equivalent with areas of expertise related to the content of the student's examination. [See [related section on appointing non-University of MN experts to committee.](#)]

3. Prelim Option A. The Comprehensive Written and Oral Exam

Required for *Urban Planning, Management and Governance, and Science, Technology, Environmental Policy*; optional for *Public Policy*.

In Option A students take a comprehensive examination that includes a written exam in three subject areas including theory, research methods, and area of specialization, followed by an oral exam that demonstrates the student's knowledge and understanding of the three subject areas.

a. Comprehensive Examination Memorandum of Understanding (MOU)

The purpose of the MOU is to establish an agreement between the student and the committee regarding the scope and details of the exams. To that end, the memo must include information on the following:

- Examination date for the written examination.
- A well-defined area of topical specialization that reflects the research and teaching interests of the student.
- Finalized versions of reading lists for each subject area (i.e., theory, methods, substantive area).

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The MOU will be written by the student, signed by the committee chair in consultation with all committee members, and distributed at least two weeks before the exams are scheduled. The student shall discuss and clarify the scope and contents of the MOU with individual committee members. This should be done reasonably early during the development of the MOU. By policy, all readings and course materials included in the Humphrey School required courses (i.e., PA 8003, PA 8004, PA 8005, and PA 8006) is incorporated by reference in the MOU, if not explicitly by author and title. The chair is responsible for the implementation of the contents of the memo.

b. Written Exams

i. Topics and Questions

The committee will develop written exam questions that reflect appropriate detail, depth, and sophistication of the materials covered in the required courses and in the MOU. Each of the three subject areas (i.e., theory, research methods, and area of specialization) will have up to three questions of which students will answer one or two determined by the exam committee.

The DGS will review exam questions and may propose revisions to the committee. The primary concern of the DGS review will be to ensure that the questions fairly reflect the topics covered in coursework required of all PhD students. In making this determination, the DGS may consult with the instructors teaching required PhD courses.

ii. Format and Distribution

- The written exams will take place over a 7-day period.
- The student will be given all of the questions at the beginning of the 7-day period.
- All questions will be emailed to the student, and once the questions are emailed, the timed exam commences.
- The deadline for the completed exam, down to the minute, will be provided to the student in the same email containing the exam questions.
- The student will email the full set of answers to all members of the committee at the end of the 7-day period.
- Failure to meet the 7-day deadline constitutes failure of the examination. The student's response to each exam subject area shall be no more than 10 pages, not inclusive of bibliography, with double spacing, a font size of 12, and 1-inch margins.

iii. Assessment

The written preliminary examination will be graded either pass, pass with reservations, or fail. Results of the written examination are forwarded by the student's advisor to the DGS and Program Coordinator. A passing grade must be achieved before the student may take the preliminary oral exam.

For students who pass with reservations, conditions to be met must be given in writing to the student within ten working days, including a timeline for completion. Reservations must be removed by the committee before the student may advance to the oral exam.

If a student fails the exam, he or she may retake the examination once. All committee members, or all committee members save one, must approve this option. The second attempt to pass the preliminary written examination must use the same committee members unless an emergency situation necessitates a substitution. If the committee does not approve a retake, or if the student fails the retake, the student will be terminated from the program.

c. Oral Exam Format and Assessment

- The oral exams must be taken within 7-14 days of the written exam results being entered, preferably sooner. The oral exam is another opportunity to demonstrate the breadth and depth with which the student understands the field in general and the student's specialty in particular.
- The preliminary oral examination will be graded either pass, pass with reservations, or fail.
- If a student fails the exam, he or she may retake the examination once. All committee members, or all committee members save one, must approve this option. The second attempt to pass the preliminary oral examination must use the same committee members unless an emergency situation necessitates a substitution. If the committee does not approve a retake, or if the student fails the retake, the student will be terminated from the program.

4. Prelim Option B. Paper or Prospectus and Defense

Optional for *Public Policy*

In Option B the student prepares and defends a paper or research prospectus that relates to the student's area of specialization. The *paper or prospectus* serves as the student's preliminary *written* examination. The *defense* of the paper or prospectus serves as the student's preliminary *oral* examination.

a. Paper or Prospectus

The student has a choice of preparing either a research paper or a prospectus for research. The choice will be made in consultation with and approval from the student's advisor.

- Research Paper -- The research paper shall be of a length and quality as to make it suitable and ready for submission to a prominent journal. It is expected that the paper will serve as one of the three papers constituting the student's dissertation research.
- Research Prospectus -- The research prospectus shall constitute a plan of research large enough to constitute a dissertation (in either book-length thesis form or 3-paper form). The prospectus shall include at a minimum the following:
 - a statement and description of the research question(s) and objectives
 - a placement of the proposed research within a theoretical and conceptual framework
 - a well-developed plan for data collection and analysis that includes a description of the research methods to be used
 - appropriate references and full citation of references

b. Certification and Availability

The student's advisor must certify in advance that the paper or prospectus is ready for presentation. Such certification implies that in the judgment of the advisor, the student can successfully defend the work. This must be done at least 7 days before the scheduled oral exam. This certification should be made to the DGS and communicated to the Program Coordinator. If an advisor indicates the student is not ready, the reasons should be documented with the DGS.

A digital version of the paper or prospectus should be sent to the DGS. Program Coordinator, and examination committee no later than one week prior to the oral presentation/defense date. No presentation will be allowed without a completed copy of the paper or prospectus.

c. Oral Defense Format and Assessment

- The oral defense will be a presentation and defense of the paper or prospectus. The oral defense will be scheduled no sooner than 7 days after submission of the paper or prospectus
- The student will make a formal presentation of the paper or prospectus, limited to 30 minutes. Only clarifying questions are permitted during the presentation. The chair of the session will moderate the presentation and judge whether a question is clarifying. The formal presentation is followed by a period of questions from the committee.
- The preliminary oral examination will be graded either pass, pass with reservations, or fail.
- For students who pass with reservations, conditions to be met must be given in writing to the student within ten working days, including a timeline for completion. Reservations must be removed by the committee before the student may be admitted to candidacy.
- For students who complete prelims through Option A (comprehensive written and oral exams), the research prospectus is reviewed and approved after the student has successfully passed the preliminary oral examination. The procedures for this review and approval are described below.
- If a student fails the exam he or she may retake the examination once. All committee members, or all committee members save one must approve this option. The second attempt to pass the preliminary oral examination must use the same committee members unless an emergency situation necessitates a substitution. If the committee does not approve a retake, or if the student fails the retake, the student will be terminated from the program.

F. Dissertation and Final Defense/Examination

1. General Description

Process and procedures associated with the final defense of your dissertation are detailed [here](#) and must be followed closely or degree conferral will be compromised!!

After a student passes the preliminary examinations (see previous section), he or she is admitted to Candidacy. Students have two options for completing the dissertation: 1) traditional book-length thesis (Thesis Option), or 2) completing a series of three research papers (Three-Paper Option) that comprise a single dissertation for submission to the University.

- Students choose one of the two options in consultation with their advisor.
- Students must declare which option they are pursuing prior to the preliminary oral examination.
- Students must complete and defend their dissertations within five years after achieving candidacy. Failure to complete the dissertation within five years after achieving candidacy will result in termination from the program. The Humphrey School will follow University policies governing appeals for extensions of time for completion of the dissertation and for termination of students from the program. For University policies see Section III.b. [here](#).

2. Thesis Option

In the Thesis Option, students prepare a major, book-length thesis on a topic of their choosing. Students choosing this option must have their dissertation topic and research *prospectus* reviewed and approved by their Advisor and final examination committee.

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a. Prospectus Review

The manner and timing of the research prospectus review depends upon the preliminary examination ("prelims") option chosen by the student.

- For students who complete prelims through Option A (comprehensive written and oral exams), the research prospectus is reviewed and approved after the student has successfully passed the preliminary oral examination. The procedures for this review and approval are described below.
- For students who complete prelims through Option B (paper or prospectus and oral defense), the prelim process itself constitutes the review and approval of the research prospectus.

b. Prospectus Content

The research prospectus shall constitute a plan of research for a major, book-length thesis. The prospectus shall include at a minimum the following:

- a statement and description of the research question(s) and objectives
- a placement of the proposed research within a theoretical and conceptual framework
- a well-developed plan for data collection and analysis that includes a description of the research methods to be used
- appropriate references and full citation of references

c. Prospectus Certification and Availability

- The student's advisor must certify in advance that the prospectus is ready for presentation. Such certification implies that in the judgment of the advisor, the student can successfully defend the work. This certification should be made to the PhD Director of Graduate Studies (DGS). If an advisor indicates the student is not ready, the reasons should be documented with the DGS.
- A digital version of the prospectus should be sent to the DGS, the Program Coordinator, and the final examination committee no later than one week prior to the defense date. No presentation will be allowed without a completed copy of the prospectus.

d. Prospectus Presentation, Defense, Discussion, and Evaluation

- The student shall present and defend the prospectus to the final examination committee.
- The oral defense will be scheduled no sooner than 7 days after submission of the prospectus.
- The student will make a formal presentation of the prospectus, limited to 30 minutes. The formal presentation is followed by a period of questions from the student's committee.
- The student's committee will deliberate in private on the question of whether the student can proceed with the proposed research.
- The committee's approval is necessary on the [Prospectus Defense Approval Form](#) before the student may proceed with the research.

3. Three-Paper Option

In the Three-Paper Option students produce three research papers that are ready or almost ready for publication by the time of the defense. The papers shall relate to the same overarching topic, though they may address the topic in separate and independent ways. Students may choose the Three-Paper Option regardless of the method by which they completed their preliminary examinations.

- Students who complete preliminary exams through Option A (comprehensive written and oral exams) must prepare three papers for review and approval.

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- Students who complete preliminary exams through Option B *paper* and oral defense need only prepare and defend two additional papers to the one that served as the basis for the preliminary exams. The two additional papers must relate to the same overarching topic that was the topic of the initial paper and subject of the preliminary oral defense. The student's advisor must approve the topics of the two additional papers.
- Students who complete preliminary exams through Option B by presenting a *research prospectus* and oral defense must prepare three papers for review and approval. All papers must related to the same overarching topic that was the topic of the prospectus and preliminary oral defense.

4. Dissertation Defense and Final Examination

The Humphrey School follows University Guidelines for the doctoral defense and final oral exam. Specific requirements are:

- A. The doctoral final oral committee must consist of at least four members, including the advisor(s). All members of the committee and the candidate must participate in the final oral examination. Committee members and/or the student may participate remotely as long as all conditions for remote participation in the examination are met.
 - a. At least three members (including the advisor) must be from the student's major field.
 - b. At least one member must represent a field outside the major. If the student has declared a minor, the outside member, or one of the outside members, must represent the minor field.
 - c. Members cannot satisfy the requirement with respect to more than one field.
 - d. The chair of the committee must not be the candidate's advisor or co-advisor.
 - e. At least two members of the committee must be tenured or tenure-track University faculty members who hold earned doctorate degrees or designated equivalents in appropriate fields from an accredited institution. At least one of the committee members must be a tenured University faculty member.
 - f. The Humphrey School Dean, Associate Dean, or DGS of the PhD program must verify eligibility and approve the members of the final oral examination committee.
- B. Thesis Reviewers for final oral examination:
 - a. A minimum of 2 major field reviewers and 1 minor/outside reviewer are required. In the case of multiple minors, there must be a reviewer for each minor.
 - b. Advisor(s) and co-advisor(s) must serve as reviewers.
 - c. Students must provide reviewers with a copy of the dissertation at least 14 days before the scheduled date of the doctoral final oral examination.
 - d. Every designated reviewer on the doctoral dissertation reviewer's report must certify that the dissertation is ready for defense before the doctoral final oral examination may take place.
- C. The doctoral final oral examination must include:
 - a. A public presentation of the candidate's dissertation to the doctoral final oral examination committee and the invited scholarly community.
 - b. A closed session (open only to the doctoral final oral examination committee and the candidate) immediately following the public presentation.
- D. To be recommended for the award of the doctoral degree, all committee members, or all committee members save one, must vote that the student has passed the doctoral final oral examination.
- E. Students are not allowed to retake the final oral examination.

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Source: <https://policy.umn.edu/education/doctoralcompletion>

5. Submission of Final Copy of the Doctoral Dissertation

- A. Committee members must notify the candidate in writing of all required revisions to the doctoral dissertation as well as specifying a time limit for the submission of the revised doctoral dissertation within seven (7) days of the final oral examination.
- B. All students who complete a doctoral dissertation must file a digital copy of the dissertation with the University in accordance with University standards. Students may choose whether or not to request an embargo of the publication of the dissertation for a limited period of time.

Source: <https://policy.umn.edu/education/doctoralcompletion>

G. Co-authorship of dissertation work

The bulk of the work submitted for dissertation credit must reflect the independent substantive intellectual contribution of the candidate. Such work may be done in the context of a broader research initiative, funding from a research grant, or in a laboratory environment in which more than one person contributes. Within such a collaborative research context, the student need not be the lead intellectual contributor. It may be the case that one or more of the papers submitted as part of the dissertation are the joint or collaborative product of multiple authors. In such cases, the candidate must acknowledge all co-authors in the dissertation, and the contributions of each author must be made explicit in the dissertation.

H. Non-UM experts on PhD Committees

Experts outside of the University of Minnesota, with or without faculty appointments elsewhere, may serve on preliminary examination committees.

- Such appointments shall be approved upon agreement by the student's advisor and the DGS.
- Persons given such appointments must have a PhD or the equivalent doctoral degree in their field.
- Such appointments are limited to service on the committee for the student requesting it; they do not constitute appointment to Graduate Faculty status at the Humphrey School. The appointment carries with no privileges or responsibilities other than service as a member of the examination committee for the student requesting it.
- There will be no travel funds or honoraria offered to persons given such appointments.
- The DGS will provide an annual report of such appointments to the HHH faculty.

(adopted by Humphrey School faculty 4/21/16)

VII. Program Policies

A. Coursework Policies

1. Coursework and Thesis Credits Covered by Tuition Benefits

- Minimum credit registration each semester is 6 and maximum credit registration each semester is 14.
- All coursework should pertain directly to the Public Affairs PhD degree, which includes a formal minor when declared. If the student is in good standing and making satisfactory degree progress

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and has additional room within the full-time credit range (6-14 credits), outside courses may be taken (for example, a recreational health course).

- Credits above 14 will incur additional tuition costs for which the student may be responsible. IMPORTANT NOTE: If you register for a class as "audit," the credits for the class count toward the 14-credit total!! Contact Program Coordinator if this becomes necessary in any given semester.
- During the course of your program, you must register for a total of 24 credits of PA 8888 (Thesis Credit: Doctoral). You will be spreading the 24 credits throughout multiple semesters. Because most of our students come in with masters degrees and begin working as research assistants, we have qualified our students as "research ready" and eligible for early thesis registration prior to completion of the preliminary exam. For any semester that you have a less than 14 credits of coursework, register for PA 8888 for the number of credits to bring your credit total to 14. For example, if the courses you and your advisor have agreed for you to take come to a total of 12, add 2 credits of PA 8888. First year students should take no more than 5 thesis credits per semester.
- On occasion, students may decide to register over 14 credits with a plan to drop to 14 once they have attended various classes. If you have registered for over 14 credits -- including audited classes -- you must drop to 14 ***within the first week of class*** to avoid being charged!! These additional per credit charges will not be covered by the PhD program -- they will be at your expense.
- Again, after the first week of class, do not go over 14 credits (including audited classes!!) without specific permission.

2. Definition of "Graduate-Level" Coursework

Graduate level courses are defined as 5000, 6000, 7000, or 8000 level courses. Courses are taken both to satisfy formal requirements and, in the opinion of your faculty advisor(s), to best prepare you for high performance in your specific area of research. Consequently, you should consult with your advisor *every semester* about appropriate courses.

B. Other Policies

1. Changing or Adding Faculty Advisors

If you discover that another faculty member would be a better fit than the advisor assigned to you, you may request a change of advisor by speaking first with the Director of Graduate Studies (DGS), clarifying your intent with your current advisor, and obtaining the new advisor's permission. To request a change, send an email to the DGS. Once approved, the Program Coordinator should be informed in order to make the change official with the University so that it appears in both the student's and the advisor's file.

2. Changing Sub-plans

To change sub-plans (e.g., from Urban Planning to Public Policy), students must formally apply to the new sub-plan via a "Change of Status" in the online application system (an application fee payable to the Graduate School will be charged). Before doing so, students should consult their advisor, the DGS, and the Program Coordinator to determine the appropriate procedures.

3. Withdrawing from the PhD in Public Affairs and Changing Degree Programs

Occasionally a student will need to withdraw from the PhD program for academic or personal reasons. After careful consultation with the student's advisor(s) and the DGS, the student may be permitted to earn one of the five Humphrey master's degrees listed above instead of completing the PhD program. The student is then discontinued from the PhD program and the master's degree program is added to their student record upon completion of the "Change of Status" form found [here](#).

4. Leave of Absence

Graduate students are expected to maintain active status through continuous registration in fall and spring semesters from the time they matriculate until they graduate. Students who are not able to maintain active status are strongly encouraged to consult with the faculty advisor, DGS, and Program Coordinator to determine whether requesting a Leave of Absence is the most appropriate course of action. Students who do not have an approved Leave of Absence and are not continuously enrolled go into "inactive" status and will experience negative consequences related to academic, visa, financial aid, and other student issues, including having to apply for readmission.

Students are encouraged to take a Leave of Absence if the circumstances merit it. Taking a Leave of absence "stops the clock" in calculating time to degree completion, and under approved conditions, will not affect a student's four year funding guarantee. Information about Leave of Absence and Reinstatement from Leave of Absence (including request forms) can be reviewed [here](#).

VIII. Registration Information

A. Registration Requirements

- Students are required to maintain active status through continuous registration every fall and spring from the time they matriculate until they graduate. Students are also required to be registered full time (6-14 credits) until they have achieved ABD status. *Note that while registering for six credits is technically defined as full time, to make adequate degree progress to the expected time of degree completion, it is necessary to register each semester for 9-12 course credits and PA 8888 thesis credits up to the maximum registration of 14 credits per semester.*
 - Students in first year should take no more than 5 thesis credits per semester.
 - Students who are not able to maintain active or full-time status must consult with advisor, DGS, and Program Coordinator to determine whether requesting a Leave of Absence is the most appropriate course of action (see [Leave of Absence section](#)).
 - Students who do not maintain active status face issues with employment, health insurance, visas, student loan repayments, and timely progress towards degree completion.
 - Students who do not maintain active status through continuous enrollment must be readmitted to the PhD program in order to continue taking courses or to graduate.
 - Any fees a student incurs from not maintaining continuous or full-time enrollment (when appropriate) are the student's responsibility.
- All new students (no matter which sub-plan) will take PA 8003 in fall semester of Year 1 and PA 8004 will be taken in the spring semester of Year 1. PA 8005 normally will be taken during the second year of study. Students will enroll in PA 8006 for credit in their second year of study. All PhD students will be expected to attend research seminars held as part of PA 8006 while in

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residence at the Humphrey School. Find course details in Class Search (via MyU or onestop.umn.edu)

- Explore [this list of suitable methods courses](#) with advisor. Other courses may also be acceptable.
- The maximum credit registration each semester is 14. Credits above 14 will incur additional tuition costs for which the student will be responsible. Contact Program Coordinator if this becomes necessary in any given semester. IMPORTANT NOTE: If you register for a class as "audit," the credits for the class count toward the 14-credit total!!
- During the course of your program, register for a total of 24 credits of PA 8888 (Thesis Credit: Doctoral), spreading the 24 credits throughout multiple semesters. For any semester that you have a less than 14 credits of coursework, register for PA 8888 for the number of credits to bring your credit total to 14. For example, if the courses you and your advisor have agreed for you to take come to a total of 12, add 2 credits of PA 8888. First year students should register for no more than 5 thesis credits per semester. Thesis credits can only be added in whole credit increments.
- On occasion, you may decide to register over 14 credits with a plan to drop to 14 once you have attended various classes. If you have registered for over 14 credits -- including audited classes -- you must drop to 14 within the first week of class to avoid being charged!! These additional per credit charges will not be covered by the PhD program -- they will be at your expense. Again, after the first week of class, do not go over 14 credits (including audited classes!!) without specific permission. Contact Program Coordinator to discuss.

B. Registration Tips

- Students should consult with their faculty advisor before registering each semester. Be familiar with all program requirements as described in other parts of this Handbook.
- Students are able to view course offerings for future semesters in the registration system ("Search for Classes") weeks and months in advance of being able to register. Each student is assigned each semester to a "registration appointment time" in the registration system. This appointment provides you with the date and time that the system will allow you to begin registering and is set based on progression – graduate students are able to enroll at the very start of the registration process, but your individual appointment time may not be on the first day. Students can view information on how to see their registration appointments in MyU.
- Students will be unable to register if they have any **holds** on their record. Holds are imposed for financial accounts due, immunizations, or for disciplinary or scholastic reasons. Students are notified of an existing or impending hold by the department or office authorizing the hold. If you have a hold on your account, please view it using the instructions in MyU. Contact the Program Coordinator for assistance.
- Once a student's registration appointment time is open, students should register as soon as possible to avoid course conflicts and closures. The PhD core courses (PA 8003, 8004, 8005, and 8006) will always be available, but other courses may fill. Registration is done on-line via the student's MyU page.
- Instructions on how to use the online registration system can be found [here](#).
- Given the size of our PhD cohorts and the four separate sub-plans, creating substantive 8000-level courses in each specialty area is not always feasible. Therefore, the PhD program relies on the range of PA 5000-level courses to serve this purpose. Faculty, at their own discretion, make 5000-level courses welcoming and appropriate for PhD students who already have their

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master's, including substituting certain types of assignments (group work, policy memos) for substantive research assignments. Note that some courses, such as quantitative methods courses, may not lend themselves to this kind adjustment. Always discuss with the instructor what the adjustments will be made for PhD-level study in that course.

- Some courses require a **course permission number** to register. This number allows you to override registration restrictions for the courses. Course permission numbers can be obtained from course instructors.

C. Maintaining Active Status after Achieving ABD Status (PA 8444 and GRAD 999)

After completing all coursework, passing prelims, and registering for 24 thesis credits, a student is in ABD (All But Dissertation) or Advanced Standing status. This typically occurs in Year 3 or 4. Students must continue to maintain active status by being registered for something each fall and spring semester. There are two options for maintaining full-time student status – PA 8444 or GRAD 999 (rarely approved). Contact the Program Coordinator to determine which option will be recommended and allowed.

a. PA 8444 FTE: Doctoral

This is a one-credit “course” (no course requirements) that maintains not only active student status but also *full-time* status. The tuition charge is for **one** credit. This registration status requires that students have passed their prelim exam and completed all thesis credits for their program, and allows the student to be considered full-time for the purposes of visa status, assistantship and fellowship eligibility, health insurance coverage, etc.

b. GRAD 999 Graduate Active Status

Only rarely approved, this is a zero-credit, no-fee registration option that allows a student to remain active in the University system. For some students, this course is the best option for enrollment once their funding from the department has expired. GRAD 999 registration permission must be requested each semester by contacting Program Coordinator and DGS.

IX. Funding Sources

A. Within Humphrey

Principles for Assigning Assistantships and Fellowships

Approved on November 6, 2019

This section establishes principles for awarding assistantships and fellowships to students who matriculate into the Humphrey School Ph.D. Program in Public Affairs (Program). These principles are not applicable to students who are UMN employees and are receiving Regents Scholarships or to students who are funded by external sources (e.g., foreign governments) because they are not eligible to be appointed to research or teaching assistantships or to be awarded School-based fellowships.

Students who fulfill the required graduate assistant work responsibilities will receive a maximum of eight semesters and three summers of financial aid to support completion of their doctoral studies. As

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specified in letters of admission, this support will consist of research assistantships, teaching opportunities (assistantships or instructor positions), and/or fellowships. Most funding support will be research assistantships at the 50% level. Many teaching assistants may be at the 25% level and may be combined with 25% level research assistantships. This financial support will be provided in years 1-4 and cannot be extended without permission from the Associate dean.

Research and Teaching Assistantships

Students appointed to research and teaching assistantships and instructor positions will receive salary and fringe benefits and be expected to fulfill work obligations particular to the appointment. These appointments typically cannot exceed 50% time, carrying with them the obligation for 20 hours of work per week during the period of appointment. Permission from the Associate Dean is required for appointments that exceed 50%.

During their first year of study, students ordinarily will be appointed to research assistantships. Efforts will be made, whenever possible, to provide students with opportunities to work in research assistantship positions related to their research interests. However, it is not guaranteed that research assistantship appointments will be directly related to student research interests.

Students may receive research assistantship appointments outside the Humphrey School that may have higher or lower rates of pay than the Humphrey School Ph.D. student pay rate. To ensure equitable pay at the Humphrey School, the PhD program will supplement the pay for students whose appointments have a lower pay rate than the Humphrey rate. The Humphrey School will not supplement doctoral student pay to match any higher rates paid by other academic units.

A goal of the program is to provide teaching opportunities (assistantships or instructor positions) for all students at least once. Teaching appointments will be made to meet curricular needs. Due to the funding implications associated with the creation of new courses, students will not typically have opportunities to teach courses of their own design. Faculty advisers and the Ph.D. program DGS will assist students in finding teaching opportunities. The Ph.D. program, per se, has no authority to appoint students as teaching assistants or course instructors. Appointments as teaching assistants will be approved by the faculty instructor who has been authorized by the Associate Dean to hire a teaching assistant. Appointments as instructors will be approved by DGS of the relevant Master's degree programs (MPP, MURP, MS-STEP, MDP, MHR, or MPA), administrators responsible for other teaching opportunities such as the Junior Summer Institute for undergraduates, and the Associate Dean.

The percent time appointments for teaching assistantships vary, depending on course enrollments, and are determined by the Associate Dean. The percent time appointments for instructor positions is typically prorated based on the number of credits for the course as below:

- 1 credit course = 12.5% appointment
- 1.5 credit course = 18% appointment
- 2 credit course = 25% appointment
- 3 credits course = 37.5% appointment
- 4 credit course = 50% appointment

Per authorization by the Associate Dean, teaching lab-based courses with a large enrollment may be

eligible for appointments with higher percentages.

Summer Support

Most summer appointments will be research assistantships. During the summer following their first year of study, students ordinarily will be appointed to research assistantships that enable them to gain experience in academic research. These research appointments typically cannot exceed 50% level (20 hours per week). Permission from the Associate Dean is required for appointments that exceed 50%.

One summer fellowship typically will be provided to each student during their enrollment in the Ph.D. Program. A fellowship is a financial stipend (as distinct from salary) and does not include any obligations for work other than the student's own research and continued progress towards the completion of the dissertation and degree. This summer fellowship generally will be awarded after the second academic year. The timing of the summer fellowships will be scheduled to maximize the value of the award with respect to completion of the student's dissertation and degree.

Travel and Professional Development Support

Students will receive up to \$4,000 per student for conference travel and professional development activities over the course of enrollment.

Funding Beyond the Fourth Year

Students are expected to seek their own funding support for years five or beyond. Faculty advisers and the Ph.D. program DGS will assist students in identifying financial assistance if students need a fifth year to complete their dissertation and degree.

B. Outside of Humphrey

Fellowships

Fellowships are competitive awards. They include a stipend rather than a salary (that is, no work hours expected in order to earn the stipend). Some fellowships allow up to an additional 25% research or teaching assistantship appointment. Fellowship recipients typically receive a stipend, tuition benefits, and health insurance benefits. There are fellowship awards through the University of MN ([here](#)) and externally ([here](#)). Below are some of the most common. We also keep a departmental list [here](#).

1. Doctoral Dissertation Fellowship (DDF)

These are University-wide grants for which graduate students working (or starting to work) on their dissertations can apply. The program must nominate you, so when interested, contact the DGS. The deadline for these fellowships is in **February**. Details [here](#). You can find the Humphrey internal application process [here](#).

2. NSF Graduate Research Fellowship Program (GRFP)

Highly competitive, but a generous fellowship package with multiple years of support possible. Application deadline is in **October**. Details [here](#).

3. Bridging Funds

When a student receives a prestigious external fellowship that does not include full tuition and health insurance benefits, the Graduate School has funding to help bridge the gap (description [here](#)). Application for funds must come through the program, so contact Program Coordinator and DGS if you wish to apply for these funds.

Travel Funds

1. Council of Graduate Students (COGS)

Funds are available to support travel. Review specifics (including application deadlines) [here](#).

2. UMN Thesis Research Travel Grants

Grants of up to \$2,500 for domestic research and up to \$5,000 for international research are available through the Graduate School for PhD students who have completed a minimum of one academic year of graduate work at the University of Minnesota. Travel must be completed by December 31 of the year following application. Application deadline is early December. Details [here](#).

X. Employment Benefits

Students who hold a 50% appointment will be provided with an hourly salary (20 hours/week), full tuition, and health insurance benefits. These benefits are guaranteed for your first three years in the program.

A. Tuition Benefits

Tuition Benefits are direct benefits from a TA or RA position. With a 50% position (or two or more positions totaling 50%), tuition is covered at 100%, up to 14 credits each fall and spring academic term. There are no tuition benefits for summer appointments.

B. ABD/Advanced Standing -- Lower Tuition & Fringe

When a student completes all coursework, passes the preliminary oral examination, and has completed registration for 24 doctoral thesis credits, they move into Advanced Standing (also called "ABD" -- All But Dissertation). This would typically occur in year 3 or 4. The maximum tuition benefit for a student in Advanced Standing is **ONE** credit via registration in PA 8444. This registration status requires that you complete your prelim oral exam and all required thesis credits, and allows the student to be considered full-time for the purposes of visa status, assistantship and fellowship eligibility, health insurance coverage, etc.

C. Health Insurance Benefits

University policy requires that all students registering for six or more credits (or Advanced Standing, per above) have health plan coverage. Students may satisfy the University policy in one of three ways,

1. Graduate Assistant Health Plan

Students with assistantships, fellowships, or traineeships are eligible for the Graduate Assistant Health Plan. More information on the plan can be found [here](#). Students enrolled in the Graduate Assistant Plan are billed 5% of the cost of coverage each semester, approximately \$120, charged to the student account at the beginning of each semester.

When students continue beyond their third year in the program without funding, there is an option to continue coverage on the Graduate Assistant Health Plan at their own cost. This information can be found [here](#).

2. Private Insurance Policy

Students carrying their own insurance policy will not be required to purchase the University-sponsored Student Health Benefit Plan. To ensure that you will not be billed for the University-sponsored plan, you will need to provide the following:

- the name of the company providing your health plan
- the company phone number
- health plan member ID

3. University-sponsored Student Health Benefit Plan

Full-time students who are not covered through a private policy or the Graduate Assistant Health Plan must enroll in the University-sponsored Student Health Benefit Plan. More information, including costs, can be found [here](#). This is typically not utilized by PhD students, as it is less comprehensive than the GAHB plan, and costs the student more.

D. Payroll

All personnel are on a biweekly payroll system. Paychecks are distributed every other Wednesday. Complete the direct deposit form on your MyU page to have paychecks deposited directly into a bank account each payday.

Pay statements are available in the My Pay section on your MyU page. Please review your pay statement carefully. Report any discrepancies to Suneil Sood (ssood@umn.edu) in the Humphrey School's Financial Services Office (FSO).

E. Scholarship Payment

Scholarships awards are credited directly to the student account, where they will be applied to any outstanding fees with any outstanding balance owed reimbursed to the student.

F. Graduate Assistant Employment (central Office of Human Resources)

Important information about graduate assistant employment from the University of Minnesota's Office of Human Resources can be reviewed [here](#).

XI. Information Technology

IT resources available to Humphrey students, including support, remote access, shared drives, software licenses, and web conferencing are described in detail [here](#). Network printer access will be set-up on the computer available in your assigned space. It is highly recommended that you acquire a personal laptop, and shared resources (including network printers) can be added to personal computers upon request. For immediate assistance, email help@umn.edu or call 612-301-4357 (1-HELP from campus phones).

XII. Humphrey School Access, Space Allocations, PhD Lounge/Meeting Room

Front Desk

Humphrey School, Room 130

Hours: Monday-Friday 8:00am - 4:30pm (key card access after regular business hours)

hfhfdesk@umn.edu

612 626-8910

Mailing Address

Use this address as a return address on outgoing mail or as the address to have mail sent to you at the Humphrey School. If mail is delivered for you, it will go to room 130 and the front desk staff will email you to pick it up.

Your Name

Hubert H. Humphrey School of Public Affairs

University of Minnesota-Twin Cities

301 19th Avenue South, Room 130

Minneapolis, Minnesota 55455

Phones

Assigned cubicle space may or may not include a phone. University phone numbers are in area code 612. Following the area code, the initial prefix can be 624-, 625-, 626-, or 301-.

- When calling a University phone number to an outside line, dial 8 first.
- When calling a University phone number from a University phone, it is only necessary to dial the last five digits of the number. Examples:
 - Phone number 612-624-2900 dialed from a University phone would be 4-2900.
 - To reach 1-HELP (University technology helpline) from an outside phone, dial 612-301-4357.

Facilities Management

For building problems or maintenance requests, during office hours, contact staff in Humphrey 130. After hours, contact Facilities Management at 612-624-2900.

Emergency Procedures

For a thorough but succinct guide to emergency procedures, review [this chart](#). Consider printing and posting it for easy access.

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Packages

Packages from USPS mail, FedEx, UPS, etc. are delivered to Humphrey 130. When a package has been delivered for you, you will be notified by email by staff in Humphrey 130. Please refrain from having personal deliveries made to the Humphrey School.

PhD Student Lounge and Meeting Room

Inside of Humphrey School suite 55, there is a PhD student lounge (room 56) and PhD student meeting room (room 57). The lounge includes a microwave, refrigerator, sink, etc. Access to suite 55 is via your UCard on a keypad. To get access to room 55, go to room 130 and request that your card be activated for room 55. This is a request that is *in addition to* the “normal” access given to students (outside doors after hours and other areas inside the building that require key pad entry). For supplies related to this lounge, visit the front desk or email at hfhdesk@umn.edu.

The lounge can be used anytime. People who have reserved the meeting room (57) will have priority for its use. When setting up a meeting in gcal, choose “rooms” in the invitee section. Select HHH, and room 57 will appear on the list. If the room is not reserved, it is available on a first-come/first-served basis.

Office Space Allocation

As a PhD student, you are provided with one work space in the Humphrey School. Space assignments are made by the Humphrey School facilities manager, PhD DGS, and PhD Program Coordinator in consultation with faculty advisors. In most cases, a work space may be assigned in suite 55 of the Humphrey School, though some may be assigned space closer to their RA assignment. Types of spaces vary across the School. For example, some cubicles may have full walls, while others do not; some cubicles are large enough for two people to share, some are not. Criteria for space assignments may include such things as faculty advisor preference, availability within the building, seniority, and nature of work (TA, RA, fellowship). PhD students who are also 75-100% University employees on Regents Scholarship are not guaranteed individual cube space, and may be asked to share if needs arise.

Reserving Rooms

On occasion, you will need to reserve a meeting room at the Humphrey School. [Here](#) you will find a list of what rooms are available for free and directions to reserve them using your g-calendar. You can also go to the front desk in 130 during business hours to request that staff there make the reservation. In addition, the Humphrey School houses a Conference Center that manages some of the larger meeting spaces. Most of those spaces (with the exception of Freeman Commons, room 205) have a charge. Review the Conference Center resources [here](#).

UCard

When you arrive on campus, obtain a University ID card, called the UCard. Information about its benefits and obtaining one can be found [here](#). One important function is that it will be used as a key card for building access.

Access to Humphrey School with UCard

After obtaining your UCard, go to room 130 during business hours to have it activated for building access [Show Navigable left panel Outline](#) under the Tools menu > “Document Outline.” In **ToC**, click item to jump to that section. [Return to ToC](#)

because certain areas of the Humphrey School are accessed only via your U Card by holding your card in front of a key pad. These areas include:

- outside entrances to the building after hours
- room 130 after hours
- room 230 access (front and back doors)
- Jernberg student lounge
- student computer labs 80 and 85
- Suite 55 -- PhD student lounge, meeting, and cubicle space -- must make a special request!

Keys

Most areas will be accessible via your activated UCard, including the building itself after hours and any room or areas that have key pads. If you need a key, consult with Sherri Holmen, holme021@umn (office behind front desk in Humphrey 130). You will be charged for key replacement and/or lock replacement through an assessment on your student account.

XIII. Academic Integrity

A. Student Responsibilities

Your responsibility to maintain academic integrity and to comply with University policies and procedures governing the conduct of research involving human subjects cannot be overstated. Academic integrity includes numerous components. The Student Code of Conduct specifies that violations of academic integrity are grounds for dismissal from the University. The [UMN Institutional Review Board \(IRB\)](#) establishes policies, provides training, and ensures compliance with all requirements governing research with human subjects.

B. Resources

Review these important University resources because you are responsible for understanding and upholding all policies and expectations of academic integrity and student conduct:

- [Office for Community Standards \(OCS\) \[formerly OSCAI\]](#)
- [Student Conduct Code](#)
- [Sexual Harassment Policy](#)
- [Institutional Review Board \(IRB\)](#)

C. Academic Dishonesty

Academic dishonesty, which is grounds for dismissal, consists of plagiarism, cheating, unauthorized collaboration, obtaining test materials without faculty permission, submitting false records of achievement, falsifying, altering, or forging records, and fabricating data for research and analysis.

D. Plagiarism

Plagiarism (again, grounds for dismissal) is the most common form of academic dishonesty and is often unintentional, but the consequences are nonetheless serious and severe. Understand how to do citations and the difference between plagiarism and paraphrasing. Plagiarism is presenting the ideas, words, and work of someone else as your own instead of appropriately citing the originator of the work. Ease of

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access to information via the internet has caused an increase in plagiarism. Any information, data, or expressions coming from someone else or another source must be properly cited. If there is any doubt in your mind regarding what needs to be cited, it is your responsibility to seek clarification from instructors, faculty advisers, and librarians.

E. Citing Sources

To learn more about how to cite sources and avoid plagiarism, complete online tutorials prepared by the University of Minnesota Libraries or work with the Center for Writing which will provide feedback in particular papers before you submit them to instructors. Links to these resources can be found in the [Humphrey Help Center](#).

F. Protection of Human Subjects

The [Institutional Review Board \(IRB\)](#) plays a central role in the UMN's Human Research Protection Program. The principle aim of the IRB is to ensure the ethical conduct of human research. Other UMN units that work closely with the IRB include the Research Compliance Office, Sponsored Projects Administration, the Center of Bioethics, and the Health Information and Privacy Office. It is your responsibility as a researcher to learn about the ethical conduct of human research, complete training, and ensure that any research you undertake as an employee or as part of your dissertation research complies with all IRB requirements. Procedures for completing training and for submission of research proposal for IRB review and approval may be accessed at the [IRB website](#). (<https://research.umn.edu/units/irb>).

XIV. Resources for Students

Humphrey Help Center

Thorough, well-organized collection of resources that include the broad categories of IT/Technology; Library and Writing Resources; Health and Accessibility; Parking/Dining/Humphrey Maps; and Discounts/Services. Take time to explore the resources in each category and keep [this link](#) close at hand.

MyU

MyU.umn.edu is the primary university portal for all things about your personal account: student account, payroll, registration, transcript, grades, milestones, on-line course platforms, etc. To login, you will need your internet ID and password.

- Your internet ID is the combination of letters and numbers that come before @umn.edu in your University email.
- Your password is something you created. Both of these (along with your UM ID number) will be needed repeatedly, so commit them to memory.

OneStop Student Services

[OneStop Student Services](#), housed in the West Bank Skyway and in Bruininks Hall (just across the bridge to the East Bank), is a set of services designed to answer any and all student questions related to registration, billing, transcripts, federal financial aid, etc. If they cannot answer your question, they can

normally direct you to someone else on campus who can! Always have your student ID ready when interacting with staff in Onestop. 612-624-1111; onestop@umn.edu

Campus Escort Service

Trained security monitors are available 24/7 to walk or bike with anyone on campus. This FREE service is provided by the University of Minnesota Police Department. To request an escort, call 612-624-WALK (4-9255 from campus phone). More information [here](#).

TXT-U Emergency Notification

TXT-U is the University of Minnesota's emergency notification text messaging system. Students, faculty, and staff should stay informed about critical campus safety information by registering to receive TXT-U messages. More information [here](#).

Council of Graduate Students (COGS)

[COGS](#) is the student organization that represents, advocates for, informs, facilitates communications among, and supports graduate students. PhD in Public Affairs students select a representative to serve on COGS. Among other things, COGS provides some individual and group grants.

HHH PhD Student Group

Working for PhD/Public Affairs students! Find full description [here](#).

ISSS -- International Student and Scholar Services

This is where you should direct questions about visa clearance and status. International Student and Scholar Services (ISSS) serves the University of Minnesota's international community by supporting the University's internationalization efforts by helping departments bring new foreign nationals into the community; by providing intercultural training for students, staff, and faculty; and by offering events that build links between the U.S. and international communities on campus. They provide information about non-immigrant visa issues for students and scholars holding F, J, H, and O visas. ISSS staff provide counseling to international students and scholars about academic, personal, and family matters, as well as issues of cross-cultural adjustment and professional integration upon returning home. ISSS offers training and programs that enhance the awareness and understanding of cross-cultural and international issues across campus and consults with University faculty and staff on issues related to international students and scholars in their departments.

ISSS is part of the [Global Programs and Strategy Alliance](#), in the purview of the University's Academic Administration, University of Minnesota System. Explore [here](#).

Disability Resource Center (DRC)

Contact instructors early and be in touch often if you require course accommodations. The Disability Resource Center (DRC) collaborates with all members of the University community to improve access for people with disabilities by determining and implementing reasonable academic, workplace, and guest accommodations; providing education on access and inclusion; and partnering with University offices to ensure meaningful physical and technological access. Explore and register for services [here](#).

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Aurora Center

The Aurora Center for Advocacy & Education provides a free and confidential space for students, faculty, staff, alumni, family members and friends affiliated with the University of Minnesota, Twin Cities or Augsburg College who are victims/survivors/concerned people of sexual assault, relationship violence, or stalking. Explore information [here](#).

Equity and Diversity, University Office of

Many, many rich resources to explore [here](#)!

Business Cards

Description of how to order business cards [here](#).

Parking

- Parking lottery for students described [here](#)
- Additional option for grad students [here](#) (but only allows parking 22 times/semester)
- Bike, bus, or use LRT -- or some combination of those.
- Metered parking -- Check out the MPLS Parking app that allows you to pay for parking using your phone -- it alerts you when the meter needs to be plugged, which you can do from your phone
-
- Explore private lots in Cedar-Riverside area [here](#)
- Check out what the Humphrey Help Center site says about parking [here](#)
- Depending on where you live and what hours you keep, consider carpooling
- To explore what others do, an email all Public Affairs PhD students at hjh-phd-l@umn.edu or email all Public Affairs students at hjh-stu-personal-l@lists.umn.edu

Stress and Mental Health

- As a strong, intelligent, independent person, it may be difficult to accept the deep (and [documented](#)) stress of being a graduate student. You are not alone!
- Be familiar with and *use* the resources found [here](#). Note that there is a special section for graduate students under the “Information for...” menu.
- See message and resources from your graduate student colleagues on the Council of Graduate Student (COGS) Mental Health [here](#).

Conflict Resolution

Your advisor, the DGS, and the Program Coordinator are available to help manage difficult situations that arise. University services are provided to help address a variety of conflicts. Review resources [here](#).

Advisor/Student Relationship

Helpful information about navigating the relationship with your advisor can be found [here](#).

Grievance Process for Students

The university has a formal process for students who have academic grievances. Please see the full policy, along with resources [here](#).

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Appendix I - PhD/Public Affairs Degree Guidelines and Timeline

A more extensive timeline can be found [here](#).

YEAR	REQUIREMENTS
Years 1-2	<p>Graduate Coursework</p> <ul style="list-style-type: none"> ● Graduate level coursework is at the 5000, 6000, 7000, and 8000 level. ● Coursework completion should take approximately two years unless a formal minor is declared (usually requiring an additional 1-2 semesters). ● Review and comply with course requirements here. ● Always consult with advisor and/or DGS before making course selections. <p>DUE: GDP Form</p> <p>The Graduate Degree Plan (GDP) is required by central University policy. It should be submitted near the end of year 2, at least 6-8 weeks prior to prelims. List all courses that will fulfill degree requirements (including a minor, if declared): transfer courses, courses completed at UM, courses in progress, and planned courses.</p>
Year 3-4	<p>Prelims and Prospectus, Pedagogy Training, and Teaching Requirement</p> <ul style="list-style-type: none"> ● Prelims will typically be taken near the end of Year 2 or beginning of Year 3 (or the summer in between). Requirements and process described in detail here. ● Register for PA 8888 or PA 8444 after passing prelims. ● Complete prospectus and committee review/approval (prospectus review details here). ● Seek opportunities for pedagogy training experiences. Review some options here. ● Complete pedagogy training and teaching requirement. ● Seek funding for Year 5. Review resources in Funding Sources above.
Year 4-5	<p>PhD Final Defense/Degree(s) Completion</p> <ul style="list-style-type: none"> ● Determine membership of your PhD final examination committee. ● Focus on dissertation research and writing. ● Follow process and timeline to prepare for PhD final defense and degree completion here. <p>Completion of PhD final dissertation is expected by the end of year 5 (if not earlier), but with special permission and registration status, can be extended (without program funding) to year 8.</p>