



UNIVERSITY OF KENTUCKY

Martin School of Public Policy and Administration

***POLICIES AND PROCEDURES
FOR THE PH.D. PROGRAM IN PUBLIC ADMINISTRATION***

2011-12

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PREFACE

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This handbook is designed for the Doctorate degree in Public Policy and Administration (Ph.D.) students as a source of information concerning regulations and procedures of the Martin School, and is supplementary to the University of Kentucky Graduate School Bulletin which is on-line at: <http://www.research.uky.edu/gs/CurrentStudents/bulletin.html> . Students must meet all Graduate School as well as Martin School requirements. Questions should be directed to the Ph.D. director of Graduate Studies or the Student Affairs Officer.

It is the student's responsibility to be informed concerning all regulations and procedures required by the program of study being pursued. Therefore, the student should become familiar with The Graduate School Bulletin (especially the section on "student responsibility") and the Ph.D. Student Handbook. Ignorance of departmental or university regulations and procedures is not a valid excuse.

Faculty biographies, a calendar of events and deadlines and the Martin School Directory are on the Martin School web <http://www.martin.uky.edu/>. Please bookmark these pages and use them for reference. We would appreciate any corrections and updates, as links and information are frequently changed. Please e-mail these to solee@uky.edu . Thank you!

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INTRODUCTION

James W. Martin

The Martin School of Public Policy and Administration is named in honor of Dr. James W. Martin, Emeritus Distinguished Professor of Economics, University of Kentucky, whose career spanned many decades of service to both academe and state government in the fields of public administration and economics.

Dr. Martin served on the faculty of the University of Kentucky, the University of Chicago, Northwestern University, Emory University, and Alabama Women's College. He received a B.A. at East Texas State, an M.A. at George Peabody College and Doctor of Law degree from the University of Kentucky. Dr. Martin was Director of the University of Kentucky's Bureau of Business Research.

In government service, Dr. Martin had major assignments at the state and local level in Arkansas, Colorado, Georgia, Kentucky, Missouri, and Virginia. He served the Commonwealth of Kentucky as Commissioner of the Departments of Finance, Revenue, and Highways. He published hundreds of scholarly and professional papers on the subjects of taxation, budget management, government administration, and public debt.

The Martin School

The Martin School is a multidisciplinary research and graduate education center. It has been designated a Center of Excellence at the University of Kentucky and targeted for additional enhancement by the university administration. Public financial management, public policy, and health finance and policy are areas of demonstrated strength.

In the most recent U.S. News and World Report rankings of American graduate schools, the Martin School ranked 21st among public policy and administration programs at public universities. In the field of public financial management, the school ranked 4th.

Former students have received teaching and research appointments at institutions such as: Michigan State University, the University of Arizona, New York University, University of Kansas, and the Rand Institute, and have served in senior policy research positions in state and federal agencies.

In 1999 the Martin School bolstered an already strong faculty by adding the newly endowed William T. Bryan chair in public finance and by securing the services of Senator Wendell Ford as distinguished fellow. Ford served the Commonwealth of Kentucky as Governor from 1971 to 1974 and in the United States Senate from 1974 to 1998.

Members of the Martin school faculty have served as President of the American Society for Public Administration, as National Science Foundation economics program director, as budget director for Kentucky, as President of the Association for Budgeting and Financial Management, as Fulbright and Robert Wood Johnson fellows, as President of the Southern Economic Association, and President of the National Association of Schools of Public Affairs and Administration.

The Martin School receives more than \$100,000 per faculty member in grants and contracts each year.

The University of Kentucky

The University offers bachelors and masters degrees in nearly 100 disciplines and doctoral degrees in 62 fields.

UK boasts one of the nation's most modern and advanced research libraries, the William T. Young library. Completed in 1998, the library contains 37 miles of shelving housing 1.2 million volumes and over 640 personal computer stations for students, faculty and staff. The library also offers laptop computers that can be checked out and connected any one of the more than 3,000 internet capable ports within the library complex. The University has a total enrollment of more than 26,000 students.

Lexington Kentucky

Lexington is located in the heart of renowned Bluegrass country, and is a center for technology, trade, health care, finance, and the horse industry. The greater metropolitan area is home to 400,000 and offers a variety of recreational activities and cultural amenities. The region enjoys a mild climate and a modest cost of living. Go to the Lexington Visitor's Center web site for maps, events, and suggestions of sites to see and things to do! <http://www.visitlex.com/>

ADMISSIONS

The Ph.D. program is a multi-disciplinary program that prepares students for research and teaching careers. It is a full-time residential program. Students are admitted to the University of Kentucky Graduate School upon the recommendation of the program's admissions committee. New students in the Ph.D. program are admitted for the fall semester only. All inquiries about the Martin School Ph.D. program and requests for application packets should be directed to: Student Services Office, Martin School of Public Policy and Administration, 413 Patterson Office Tower, University of Kentucky, Lexington, KY 40506-0027, or through the school's website at <http://www.martin.uky.edu/>

All applicants must meet the admission requirements of both the University of Kentucky Graduate School and the Martin School. Follow the instructions to submit the Graduate School application on-line at: http://www.rgs.uky.edu/gs/gsprocedure_onlineapp.html. You will need to send the Graduate School an unofficial transcript of all previous university level work, scores from a Graduate Record Examination (quantitative, verbal and analytical) or the Graduate Management Aptitude Test taken within the last eight years, and pay the application fee. International students must also submit TOEFL scores.

Send the Martin School three letters of recommendation, preferably from faculty members, describing the applicant's academic achievements and potential (no form required); a one to three page statement explaining why you would like to pursue the Ph.D. degree; a writing sample, such as a research paper, and the applicant information form. This can be completed on-line at <http://www.martin.uky.edu/application.pdf> or printed out and submitted with the rest of the documents. Please send these materials together in one envelope.

Deadlines

To receive full consideration for financial aid, students must submit completed applications by February 1. All applications must be received by July 1; however, submission of applications by February 1 is encouraged. International Student Applications should be received by the Graduate School deadline.

Admission Standards

Entering students are expected to have at least a 3.0 grade point average (on a 4.0 scale), a 3.5 in all graduate level work, a cumulative score of 1200 or more on the quantitative and verbal sections of the GRE, a strong showing on the analytical section, or a minimum score of 600 on the GMAT, and letters of recommendation that provide convincing evidence about the applicant's ability and potential. The Martin School uses full file review, which means that we consider all aspects of the student's record, including evidence of improving performance during the student's academic career.

Pre-requisites and Exemptions

Many incoming students will hold a master's degree in public administration from a NASPAA-accredited program. Other students may hold master's degrees in such areas as political science, economics, agricultural economics, agricultural economics or business administration. All students are expected to have taken four University of Kentucky courses, PA 652 (Public Policy Economics), PA 631 (Public Financial Management), PA 642 (Public Organizational Theory and Behavior), and PA 651 (The Policy Process), or their equivalents in NASPAA-accredited programs. Details about these requirements will be provided by the Director of Graduate studies (DGS). All students are also expected to have a strong background in research methodology as well as a course in calculus. Students who have not had previous coursework in calculus and economics will enroll in pre-requisite courses prior to entering certain Ph.D. classes.

PROGRAM DESCRIPTION

The doctoral degree in public administration offered by the University of Kentucky through the Martin School of Public Policy and Administration is an academic credential of the highest order.

Offered since 1988, the degree prepares scholars and researchers for higher education and policy research organizations.

The Ph.D. program is designed to provide knowledge of the principles of organizational behavior and administrative decision making in public and quasi-public organizations; an understanding of the public policy process, including the interrelationships of economic, political and social factors that facilitate and constrain change; an ability to apply research and analytical methods to the analysis of policy and administrative problems; and an in-depth understanding of policy issues and analytical approaches in a functional public affairs area.

Course work toward the Ph.D. in Public Administration is divided into four phases with a total requirement of 42 hours of graduate course work beyond the master's level as well as the completion and successful defense of a dissertation of original research. Course work includes 12 credit hours of core courses, 9 hours of research methods, 3 hours of microeconomics, 3 additional hours of theory, and 15 hours in the area of concentration.

Preparation

Normally, applicants will hold a master's degree in public administration, economics, business administration, political science or other related area. However, students who have earned a bachelor's degree may also apply to the Ph.D. program. These candidates must complete the 31-hour MPP core as part of their course work beyond the bachelor's degree to qualify for the Ph.D. Students without government experience complete an approved internship and take their qualifying exams before being awarded the master's degree in public policy. Students with professional experience may bypass the internship and receive the degree after passing their qualifying examinations.

Curriculum

Program of Study for the Ph.D. in Public Administration

To earn the Ph.D., students must complete the following course components:

Microeconomic theory (3 hrs.)

Core (12 hrs.)

Research Methods (9 hrs.)

Theory appropriate for area of concentration (6 hrs.)

Area of Concentration (15 hrs.)

Core Courses

PA 692 ECONOMETRICS FOR POLICY ANALYSTS (3)

Maximum likelihood estimation, ordinary least squares (OLS), regression, instrumental variables (IV) regression, heteroscedasticity-consistent regression, fixed and random effects models, probit, logit, and tobit models, and identification and two-state least squares estimation of simultaneous equations models. Pre-requisites: any undergraduate statistics class. MPA, MPP or PhD program status.

PA 731 FISCAL AND BUDGETARY POLICY. (3)

This course examines public budgeting and finance in the public sector. Included is an analysis of economic, managerial, and political approaches to public budgeting and finance. These approaches are then used to analyze several current topics in public finance. Pre-requisite: PA 631 or equivalent, and Ph.D. program status or consent of instructor.

PA 742 THEORY OF PUBLIC ORGANIZATIONS. (3)

This course provides doctoral students an in-depth knowledge of the various aspects of public organization theory. It will attempt to integrate the work on public organizations which is currently spread over the fields of organization theory and behavior, executive and bureaucratic politics and public choice economics. Pre-requisite: PA 642 or equivalent, and Ph.D. program status or consent

PA 750 INTRODUCTION TO ECONOMICS FOR PUBLIC POLICY (3) .

The goal of this course is to introduce Ph.D. students from the Martin School to the tools of economics and to show how these tools are useful for policy analysis. This course will be followed by PA 752, which builds on the ideas and methods developed in this course. At the

conclusion of these two courses students should have a solid grounding in basic ideas in economics and should have begun to develop an understanding of how economic modeling is used in applied public policy analysis.

PA 751 PUBLIC POLICY FORMULATION AND IMPLEMENTATION. (3)

The major goals of this course are to examine how public issues become policy proposals, how various proposals are filtered into (or out of) the political process, shaped by political institutions and rules, and the process by which policy is implemented. Pre-requisite: PA 651, or equivalent and Ph.D. program status or consent of instructor.

PA 752 THE ECONOMICS OF POLICY ANALYSIS. (3)

This course examines economic approaches to policy analysis. Included is an analysis of the major concepts of economic analysis and their application to a number of policy problems. Pre-requisite: PA 652 or equivalent, and Ph.D. program status or consent of instructor. (Same as ECO 752.)

Methods

Each Ph.D. student will take an additional two courses (six credit hours) in **research methods**, based upon faculty recommendations, the student's area of interest and approval by the student's advisory committee.

Each student will take at least one course in **theory** related to the student's area of concentration in addition to the required PA 750 Introduction to Economics for Public Policy.

Area of Concentration:

Courses are drawn from the Martin School and supporting university graduate programs. The 15 semester hours in the student's area of concentration will be determined through discussions with the advisory committee.

Courses must be at the 600 and 700 level. An example of a financial management concentration program might include the following courses: Municipal Securities, Monetary Economics, Financial Institutions, Finance Theory and one semester of Independent Study. Other concentrations would include appropriate 600- and 700- level courses.

PA 654 TAX POLICY (3)

This class is designed to provide students with an understanding of the theoretical and conceptual issues associated with the design and implementation of tax systems for state and local governments. Pre-requisite: PA 652.

PA 722 POLICY AND PROGRAM EVALUATION. (3)

This is a doctoral course concerning policy and program evaluation. Major emphasis will be given to specifying the relationship between evaluation and management functions, evaluation concepts and processes and research methods applicable to evaluation systems and processes. Pre-requisite: MKT 762 or PS 671, or equivalent and Ph.D. program status or consent of instructor.

PA 727 ENVIRONMENTAL ECONOMICS, REGULATION AND POLICY. (3)

This course takes a balanced practitioner approach to the problems of the environment and environmental regulation. Efficiency aspects will be developed carefully, so as to provide a background for an extensive coverage of various available alternative policies. Pre-requisite: PA 652 and MPA or economics program status or consent of instructor. (Same as ECO 721.)

PA 754 ADVANCED TOPICS IN PUBLIC FINANCE, (3) Principles of taxation and expenditure; applications to federal, state and local policy; fiscal federalism; international public finance. Pre-requisites: PA 752, ECO 701 or permission of instructor. Offered biennially.

Residency Credit

PA 767 (2) DISSERTATION RESIDENCY CREDIT

Residency credit for dissertation research after the qualifying examination. Students may register for this course in the semester of the qualifying examination. A minimum of two semesters are required as well as continuous enrollment (fall and spring) until the dissertation is completed and defended.

PA 775 SPECIAL TOPICS IN HEALTH ADMINISTRATION. (1-3)

PA 785 INDEPENDENT STUDY IN HEALTH ADMINISTRATION. (1-3)

Supervised individual research on a topic related to health administration selected by the student. May be repeated to a maximum of six credits. Pre-requisite: Consent of instructor. (Same as HA/HSM 785.)

PA 795 SPECIAL TOPICS IN PUBLIC ADMINISTRATION. (1-3)

Analysis of specialized topics in public administration of particular interest to practitioners. May be repeated to a maximum of six credits. Pre-requisite: MPA program status or consent of instructor.

PA 796 INDEPENDENT STUDY IN PUBLIC ADMINISTRATION. (1-3)

Tutorial course of directed readings, discussion, and analysis of special topics on public administration. This is a class where the work is completed one-on-one with a faculty member meeting as arranged rather than as part of a regular class. Students must complete an *Independent Study Proposal* (Appendix 1) documenting the plan of study, criteria for evaluation and grading, arrangements for meeting with the instructor, and projected time for the course. After the instructor signs the proposal, indicating his or her agreement to the plan, it is given to the Director of Graduate Studies to review and sign. This contract must be turned in by the student to the Student Affairs Office BEFORE the student will be allowed to register.

If the course is to substitute for a required course or to fill a specific requirement this must be clearly stated on the proposal so that it is documented that the student has met the requirement. Students should plan on taking the core courses when they are regularly offered and not request these courses through independent studies except under exceptional circumstances. If a grade is not assigned at the end of the term when the student registers for the course, an "I" grade will be assigned. As with other courses, the student has one calendar year from the end of the term when they register to complete the course or the "I" will turn into an "E" (failure). Extensions, though rarely given, may be requested using the form on the Graduate School web page: <http://www.research.uky.edu/gs/Forms/IncompleteExtend.pdf>.

REGISTRATION

Priority Registration for continuing students occurs in March and October. Students should consult their advisor for academic advising prior to registering. For specific course offerings and the time and dates of your registration window consult MyUK. Since there is a fee for returning students who do not priority register, it is important to register for at least one class during priority registration. Changes can be made later during the Add/Drop windows. **ROOM CHANGES MAY BE MADE – PLEASE CHECK THE WEB BEFORE GOING TO CLASS FOR THE FIRST MEETING!**

CROSS-LISTINGS: Many Martin School courses are cross-listed, that is listed under more than one prefix. For Example: PA 652, Public Policy Economics, is also Eco 652. The seats in this class are divided among the various numbers. So if you need to take PA 652, and discover that it is full, you need ECO 652. You can enroll in *any* of the cross-listed classes.

Independent Studies (PA 796) are controlled enrollment classes. An override to permit enrollment will be placed after the Independent Study Contract is turned into the Student Affairs Office. See course description **earlier in the handbook**.

Late Registration

Continuing students who failed to priority register and new and readmitted students who applied after the application deadline must late register during the first week of classes. There is a \$40 fee for all late registrations.

Add/Drop

Students may add or drop classes using UK VIP during the time periods specified in the Schedule book before classes begin. However, after the first week of classes, all ADD requests must be made at the Graduate School, in the Gillis Building. Generally, any request for a change in schedule that falls after the stated deadlines in the University Calendar must bear the signature of both the instructor and the Director of Graduate Studies. Before the mid-term deadline, a student wishing to withdraw from individual classes may do so MyUK

Leave of Absence

Effective fall 2009, if you are an enrolled graduate student at the University of Kentucky and you sit out for one or more semesters you will need to complete a new application and pay the application fee in order to be considered for readmission. In many instances you can avoid this requirement by requesting a "leave of absence". In addition to avoiding the application process, this status will allow you to priority register in preparation for your return.

Procedurally, you should contact your Director of Graduate Studies (DGS) to seek approval for the leave prior to the beginning of the semester in question*. If approved, the DGS will contact your Graduate School admissions officer who will modify your record accordingly. You may request no more than two consecutive and four total semesters in leave of absence status. Post-qualifying doctoral students are not eligible for the leave of absence.

International students considering a leave of absence are strongly encouraged to discuss their plans with the Office of International Affairs, Department of Immigration Services prior to making a formal request.

Withdrawing from classes

Students wishing to execute a full withdrawal, i.e. drop all courses for the term, must obtain Graduate School approval; the necessary “Authorization to Withdraw” card is available from the Graduate School or the registrar’s office.

After mid-term, a student wishing to drop a course or withdraw from the term must petition the Dean of the Graduate School. Such requests are approved only for “*urgent non-academic reasons*”, and typically require the unanimous approval of the instructor(s), the Director of Graduate Studies, and the Dean of the Graduate School. The ADD/DROP worksheet required for such requests can be found on the Graduate School web page.

Retroactive Withdrawal from classes

Students may request a retroactive withdrawal up to one calendar year from the last day of class for the semester for which the withdrawal is requested. Retroactive withdrawals are considered by the Retroactive Withdrawal Appeals Committee of the University Senate. To request a retroactive withdrawal, the student should Use the Request for Post-Mid-term Withdrawal form available on the Graduate School web site under “Forms”. <http://www.research.uky.edu/gs/Forms/AddDropWorksheet.pdf>. This form, accompanied by a letter from the student explaining the situation and memo from the professor of the relevant course, should be submitted to the Dean of the Graduate School, who will review the case and make a recommendation to the Committee. Cases are typically decided within 30 days after the submission of the petition.

Academic Load

The semester course load of a student is the sum of all credits and credit *equivalents* (e.g. graduate language courses, undergraduate courses, courses audited, etc.) being carried. The normal load of a graduate student during any semester is 9 credit hours or equivalent. Only with the approval of the Graduate Dean may it exceed 15 credit hours or equivalent. During the summer term, the maximum load for the eight-week term is nine credit hours, and the four-week intersession is four credit hours. The maximum load for any combination of the four and eight-week term is 12 credit hours.

Students undertaking short courses are subject to the term load limits outlined above. Also, two short courses of four weeks or less may not be taken simultaneously (see Graduate Bulletin).

Students wishing to request a credit overload should complete a Credit Overload request form, available on the Graduate School web page. Students must provide a detailed listing of all proposed registration, and must obtain the signature of the DGS. *Please note that requests for > 15 hours of registration in graduate coursework (i.e. all 400G level & above) are rarely approved.*

Students satisfactorily completing nine course credits, *or equivalent* (e.g. graduate language courses, undergraduate courses, courses audited, etc.), during a semester, are classified as full-time students. Students satisfactorily completing five course credits, or equivalent, during a summer term are classified as full-time. Students enrolled in PA 767 (2 credits) are also classified as full-time. Full-time students who fall below the minimum full-time equivalent as the result of dropping one or more courses are reclassified as part-time students for that semester. Please note that International students may be in violation of their visa conditions if they are not full-time.

For the student who is a full-time teaching assistant or whose service to the University requires approximately 20 hours per week, the academic load shall not exceed 10 hours. This maximum may be increased to 12 hours for students with lighter service loads upon recommendation of the Director of Graduate Studies and approval of the Dean of The Graduate School.

Grades

The official grades of graduate students are recorded in the Office of the Registrar.

The grading in graduate courses is done according to the following scale:

A – High Achievement 4 grade points per credit

B – Satisfactory Achievement	3 grade points per credit
C – Minimum passing grade	2 grade points per credit
E – Failure	0 grade points per credit
I – Incomplete	<i>see explanation, below</i>
S – Satisfactory	<i>see explanation, below</i>

“D” grades may not be assigned to graduate students.

Also, Graduate courses (400G - 799) may not be taken Pass/Fail.

I - Incomplete Grades

A grade of "I" (incomplete) may be assigned to a graduate student if a part of the work of a course remains undone and there is a reasonable possibility that a passing grade will result from completion of the work. Effective fall 1997 semester, all Incompletes ("I" grades) must be replaced by a regular final letter grade within 12 months of the end of the academic term in which the "I" grade was awarded or prior to the student's graduation, whichever occurs first. If an "I" grade has not been replaced within the allowable period, the University Registrar shall change the "I" grade to a grade of "E" on the student's permanent academic record and adjust the student's grade-point standing accordingly, unless otherwise approved because of exceptional circumstances by the Dean of the Graduate School on recommendation of the Director of Graduate Studies in the student's program.

It is the policy of the Dean of the Graduate School that extensions of “I” grades beyond the 12 month period will be considered only in exceptional circumstances, and will be limited to a period of one semester beyond the 12 month limit. In order to request the extension, the student must obtain the recommendation of both the course instructor, and the Director of Graduate Studies in the student's program. In addition, the instructor must specify the remaining work necessary for the satisfaction of the course requirements, and the time frame over which this work will be completed. All work must be completed, and the grade assigned by

the last day of final exams for the semester in which the extension is granted. Students wishing to petition for the extension of an "I" grade should obtain a petition form <http://www.research.uky.edu/gs/IncompleteExtend.pdf>.

Please note that there are certain courses (seminars, independent work courses, research courses) in which a grade of "S" may be more appropriate than an incomplete. The grade of "S" is not affected by the policy described above.

S - Satisfactory Grades

A grade of "S" (satisfactory work in progress) may be recorded for students in graduate courses which carry no credit and in graduate seminars, independent work courses, and research courses which extend beyond the normal limits of a semester or summer term. The grade may not be given to a student in a course carrying credit if the student has done unsatisfactory work or failed to do a reasonable amount of work. The project must be substantially continuous in its progress. When the work has been completed, a final grade will be substituted for the "S". Please note that students who show "S" grades in credit-bearing courses will not be permitted to sit for qualifying examinations or final examinations prior to the conversion of the "S" grade(s) to a final letter grade.

An overall average of "B" on all graduate work in the program must be attained before an advanced degree may be awarded. No student who is on academic probation may be awarded a degree. All graduate level courses (400G - 799) are computed in the graduate grade point average, with the exception of 400G courses in the student's program.

Once a grade (other than "I" or "S") has been reported to the Registrar's Office, it may not be changed unless an error was made at the time the grade was given and recorded. The grade may be changed then only upon the written unanimous approval of the instructor, the Registrar, and the Dean of the Graduate School.

Repeat Option

A graduate student may elect to repeat a graduate course and count only the second grade as part of the graduate grade point average. This action is not retroactive to a time prior to the fall, 1981. A student may exercise the Repeat Option only *once* in a particular degree program. The student must file a Repeat Option Form (available on the Graduate School web page) in the office of the Dean of the Graduate School. The student's request to repeat a course must be approved by his/her DGS. The Repeat Option form is held in the Graduate School and the change of grade is recorded when the course has been completed for the second time. The original grade does not figure in the GGPA.

A request to exercise the repeat option must be made prior to graduation from the program.

Please note that the repeat option cannot be used to remove an "E" grade assigned as the result of an academic offense.

Assessment of Good Progress for Doctoral Students

The Graduate Faculty of each doctoral program is required to define good progress toward completion of the doctoral degree. This information should be included in the program's Graduate Student Handbook (it is recommended that the consequences of lack of good progress are also included in the handbook). Each doctoral student's progress toward the degree will be reviewed (at least) annually by either the Graduate Faculty in the program, the doctoral advisory committee, or other graduate education committee. Each student will be informed in writing of the results of that meeting by the Director of Graduate Studies or the chair of the advisory committee, or their designee. These reports do not have to be forwarded to the Graduate School.

Formation of an Advisory Committee

In the second year of coursework, the student and advisor in consultation select other faculty members to serve as an advisory committee. The committee is typically composed of three faculty members from the Martin School and one from a related discipline. The committee is formally appointed by the Dean of the Graduate School upon recommendation of the advisor and the director of graduate studies, typically during the second semester of coursework. Changes in some students' programs may become necessary. However, any changes must be

approved by the committee and duly reported to the Graduate School using the procedure given above.

Changes in the composition of the advisory committee may occur if and when

- a) the student's interests or emphasis changes,
- b) a faculty member resigns from the committee, or

c) a faculty member resigns from the university or seeks a leave of absence. If the student wishes to make a change in the composition of the committee, close consultation with the advisor and affected faculty is required and the Director of Graduate Studies must approve the change. Once the committee has been formally appointed, the Dean of the Graduate School must also approve any changes. Replacements to the committee must be made through the normal appointive process.

It may not always be necessary to replace a committee member, particularly a chair, who is on leave. Special arrangements can be made for the committee member to perform some duties from a remote location.

Ph.D. Examination Process

Martin School doctoral students will take two program exams: a core exam and a qualifying exam. The core examination will be offered to students who have completed the Ph.D. core classes (PA 731, PA 742, PA 751 and PA 752) and will normally follow the completion of a doctoral student's first year of coursework. The qualifying exam will normally follow completion of the student's coursework.

Core Examination

The core exam is intended to evaluate the student's ability to integrate the material covered in the Martin school core Ph.D. classes. Upon completing the core courses, each student will take an examination over this material. This examination is typically given in May or June. The exam will include a written portion and an oral exam. The written examination, which lasts four hours and is administered by the Director of Graduate Studies, includes a series of questions developed by the faculty teaching the core courses. The oral examination is scheduled two –

three weeks later and administered by the Director of Graduate Studies and selected Martin School faculty. Students who fail the exam are allowed a second attempt. Those failing on the second attempt are terminated from the program.

Procedures for submission of Graduate School forms:

Most of the forms required by the Graduate School for doctoral students are submitted by the student on the Graduate Student on the Graduate School web site at:

http://www.research.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm

Advisory committee formation

Modifications to advisory committee composition

Request to schedule the Qualifying Examination.

Notification of Intent to Schedule the Final Examination

Request for Final Examination.

Each form must initially be completed by the student. Pressing the “Submit” button sends the form to the Director of Graduate Studies for review. If changes are required, pressing the “Reject” button will send an e-mail to the student asking them to consult with you. Pressing the “Submit” button forwards the form to the Graduate School for review. All subsequent correspondence from the Graduate School will then be via e-mail.

Students can access the forms through a password-protected portal that will be available under the “Current Graduate Students” drop-down menu on the Graduate School home page, entitled “Doctoral Degree Candidate Forms”.

Qualifying Examination: Written

The qualifying examination for the Ph.D. degree normally follows the completion of all program coursework and is designed to determine if the student is prepared to conduct and report on independent research in a competent and professional manner. The University requires that all Ph.D. students pass a qualifying examination before they can be admitted to candidacy for the degree. In the Martin School, the written qualifying examination consists of three papers on topics approved by the advisory committee. The papers should be completed in a manner that demonstrates integration of theory, policy issues and research capabilities, and should be of professional quality. This examination process is initiated only upon written certification by the Director of Graduate Studies that all Graduate School and Martin School requirements have been met.

The subject and nature of the three papers will be determined by the student and the student's advisory committee. Normally, the papers will involve (1) a literature review of a research area relevant to the student's area of concentration or associated with the content of the Ph.D. core courses, (2) a conceptual discussion of the issues and considered, and (3) a theoretical or empirical analysis of the research issue. The specific nature and design of the papers will be determined by the student and his or her committee as part of the student's program planning process. It is recommended that the student meet with his or her advisory committee shortly after completing the core exams to determine the nature and score of the three papers which will be developed for the qualifying exam.

The chair of the student's advisory committee will determine (in consultation with the advisory committee) when the student is prepared to schedule his or her qualifying exam. There is no predetermined date for such exams. When the student's committee chair and committee determine that the student is ready to defend the three papers in an oral exam, the chair and committee shall notify the DGS who shall determine whether all other Martin School and Graduate School pre-qualifying examination requirements have been met. If such requirements are met, the DGS will schedule the qualifying exam with the Graduate School. The "Qualifying Examination Recommendation Form" must be submitted to the Graduate School at least two weeks prior to the exam. Upon completion of the exam, the student's advisory committee chair will report the results to the DGS and the Graduate School. If the student's performance on the exam is not satisfactory, the student will be permitted to retake the exam at a future date. Failure to satisfactorily defend the student's three papers and/or respond to the oral exam of the student's area of concentration in the second exam will result in the student being terminated by the Martin School. Final copies of the qualifying papers must be presented to the faculty committee at least 3 days prior to the exam.

Qualifying Examination: Oral

An oral examination follows completion of the three approved papers. As the final part of the qualifying examination, all of the formal graduate school requirements for scheduling, reporting, and recording must be satisfied before the candidate can take the oral exam. Students must have completed the language and/or skills requirement, resolved all incompletes in course work and completed all pre-qualifying requirements.

Pre-Qualifying Residency Requirement

A minimum of three full years of graduate work (or its equivalent if some part-time is involved) is required for the Ph.D. degree. Doctoral students may satisfy this requirement in three ways. See the Graduate Bulletin for options. Students who hold an awarded master's degree from the University of Kentucky in the same discipline and have completed the full-time residency requirement while pursuing the master's degree may apply those semesters to satisfy the doctoral degree requirement.

Students first enrolled in a doctoral program in the fall 2005 semester and beyond will be required to enroll in a new 2 credit hour course after successfully completing the qualifying examination, PA 767; Dissertation Residency Credit. They will be charged at the in-state tuition rate plus mandatory fees. Students must remain continuously enrolled in this course every fall and spring semester until they have completed and defend the dissertation. This will constitute full-time enrollment, as registered. Students will be required to complete a minimum of two semesters of 767 before they can graduate. According to University rules, any student who was first enrolled in a doctoral program before the beginning of the fall 2005 semester, but who has not yet taken the qualifying examination, may opt to follow either the old or new post-qualifying residency rules. Doctoral students who opt for the old 769 rule must have maintained continuous enrollment in their program. Pre-qualifying students who are readmitted to a program after stopping out will be subject to the new rules. Post-Qualifying Residency

Advising

Each student's program of course work, individual studies and research should be carefully planned. Students plan their first and second semester's courses with the assistance of the director of graduate studies. After the first two semesters the student's program is planned with the aid and supervision of the advisor and advisory committee. Refer to the Program Planning form in the Appendix.

An advisor should be selected prior to the beginning of the second year of course work for full-time students and prior to the completion of 15 hours of work for part-time students. The student and advisor will work closely together throughout the student's career and the advisor will normally serve as chairperson of the advisory committee and of the dissertation final examination committee.

The advisor must be a full member of the graduate faculty, Should a student desire to work closely with a faculty member who is an associate member of the graduate faculty, special arrangements must be made, including the selection and close cooperation of a full member of the graduate faculty who assumes many of the committee chair duties. Such special arrangements are a matter of Martin School policy and must be worked out with the approval of the director of graduate studies and subject to all rules of the graduate school.

Assessment of "Good Progress"

The Graduate School requires that all Ph.D. programs regularly assess the progress of their Ph.D. students. The Martin School does this in several steps.

- 1) All students in the first year of coursework will be reviewed after the core exams. The Ph.D. faculty committee will provide a pass/fail decision for each of the core areas. Students who pass the exams will be advised to continue with coursework. As described in the handbook, students who fail have a second chance to pass before being dropped from the program.
- 2) After passing the core exams, students choose an advisory committee and that committee will then be responsible for annual assessments of the students' progress in the program. Students with more than 1 "C" or "E" in coursework will be considered in probationary status. More than 2 such grades will result in program termination. This assessment will evaluate progress in course work, the qualifying exams, and, finally, progress toward completion of the dissertation and receipt of the degree. The chair of each advisory committee will provide a written assessment for the student's file based on work that has been submitted. The advisory committee may recommend

continuation in the program or may recommend probation if there is lack of satisfactory progress. Upon two consecutive negative evaluations, the director of graduate studies can recommend to the Graduate School that students be dropped from the program.

Graduate degrees must normally be completed within eight years of the beginning of graduate study. Extensions require a request on the part of the director of graduate studies and approval by the Dean of the Graduate School.

The Dissertation

Within 90 days of successful completion of the qualifying examination, the student should defend a dissertation prospectus. This proposal demonstrates the feasibility of the project and should be sufficiently detailed so as to demonstrate that the student understands the nature and implications of the proposed research. It should reveal decisions on the basic approach, fundamental and specific hypothesis, nature of instrumentation, and research methodologies. In short, the prospectus should be such that the actual research can begin immediately upon approval. It should contain the same level of detail that would be required in an application to a major granting agency.

While primary responsibility for supervising the preparation of the dissertation naturally falls on the advisor, the advisory committee nonetheless counsels the student as that document is readied. The committee must certify that the dissertation is ready to be presented for a final examination.

Each completed dissertation must be defended before a final examination committee that normally consists of the advisory committee and one outsider reader appointed by the Dean of the Graduate School.

The first step in scheduling the defense is filing the "Notification of Intent to schedule a Final Doctoral Exam form" eight weeks prior to the intended exam. This form triggers an audit of the student's academic record to identify any outstanding issues that need to be addressed, such as

missing or “I” grades, problems with the advisory committee, etc. and the assignment of the Outside examiner for the doctoral Final Examination. The exam must be scheduled with the graduate school and through the director of graduate studies at least two weeks in advance. All members of the examination committee must be provided with copies of the dissertation at that time and a majority of the committee must sign the “Dissertation Approval Sheet” indicating that they agree that the dissertation satisfies the requirements of the Graduate School and that the final examination should be scheduled. This form is on the web at: http://www.research.uky.edu/gs/Forms/doctoral_ETD_approval_form.pdf

The final examination or dissertation defense is oral and usually lasts about two hours. The dissertation defense must be completed and results reported no later than eight days before the close of the semester in which the student intends to take the degree.

ELECTRONIC THESES AND DISSERTATIONS (ETDs)

The Graduate School, in cooperation with University Libraries, provides graduate students with the option of submitting their master’s theses or doctoral dissertations in wholly electronic format. The submission of an electronic thesis or dissertation is optional; the student may still submit a traditional paper thesis or dissertation. The advantages of submitting and displaying an Electronic Thesis or Dissertation (ETD) on the web include much faster and wider access to the student’s work by the worldwide community of scholars and the possibility of enriched content provided by the inclusion of multimedia elements. Specific instructions are available at http://www.research.uky.edu/gs/CurrentStudents/theses_prep.html . To view the current collection of ETD’s, go to www.uky.edu/ETD.

Application for a degree

An application for a degree must be submitted in CM within 30 days after the start of the semester (15 days for summer session) in which the student intends to graduate. See the University Calendar or *Graduate Bulletin for the specific date*. Please check with the Student Affairs Office at the start of the term if you intend to graduate that semester.

Plagiarism and Cheating

PLAGIARISM and CHEATING are serious academic offenses. The minimum penalty for those academic offenses is final grade E in the course.

The University regulations pertaining to this matter can be found at <http://www.uky.edu/StudentAffairs/Code/>

Of particular relevance is Part II, SELECTED RULES OF THE UNIVERSITY SENATE GOVERNING ACADEMIC RELATIONSHIPS, Section 6.3 that can be found at <http://www.uky.edu/StudentAffairs/Code/part2.html>

These rules in particular say:

6.3.1 PLAGIARISM All academic work, written or otherwise, submitted by students to their instructors or other academic supervisors, is expected to be the result of their own thought, research, or self-expression. In cases where students feel unsure about a question of plagiarism involving their work, they are obliged to consult their instructors on the matter before submission.

When students submit work purporting to be their own, but which in any way borrows ideas, organization, wording or anything else from another source without appropriate acknowledgment of the fact, the students are guilty of plagiarism.

Plagiarism includes reproducing someone else's work, whether it be published article, chapter of a book, a paper from a friend or some file, or whatever. Plagiarism also includes the practice of employing or allowing another person to alter or revise the work which a student submits as his/her own, whoever that other person may be. Students may discuss assignments among themselves or with an instructor or tutor, but when the actual work is done, it must be done by the student, and the student alone.

When a student's assignment involves research in outside sources or information, the student must carefully acknowledge exactly what, where and how he/she has employed them. If the words of someone else are used, the student must put quotation marks around the passage in question and add an appropriate indication of its origin. Making simple changes while leaving the organization, content and phraseology intact is plagiaristic. However, nothing in these Rules shall apply to those ideas which are so generally and freely circulated as to be a part of the public domain.

6.3.2 CHEATING Cheating is defined by its general usage. It includes, but is not limited to, the wrongfully giving, taking, or presenting any information or material by a student with the intent of aiding himself/herself or another on any academic work which is considered in any way in the determination of the final grade. Any question of definition shall be referred to the University Appeals Board.

In completing their class work students are allowed to discuss ideas and are allowed to help others by explaining concepts and possible solutions. However, all the work that is submitted must be performed by student individually. Any sharing of electronic files, printouts and other materials developed by the students is not allowed. If any fragments of text appearing in books,

journals, conference proceedings, web pages, etc. are used, students must provide appropriate citations. Any help from others must also be acknowledged.

FINANCIAL ASSISTANCE

Financial support is usually awarded on an academic year basis with a semester-by-semester review. Qualified full-time students are selected on the basis of academic achievements, test scores, and financial need. A preliminary evaluation of all financial aid applicants is made early in the second semester of each year. Newly admitted and continuing students will normally be told whether they will receive assistance and the amount of assistance by March 15. Assistantships require that the recipients perform certain duties, e.g. assisting a faculty member with research. It is Martin School policy to assign assistantship duties that require about twenty hours of service per week. Fellowship recipients are not required to perform such duties.

There is no form for financial aid, students wishing to be considered for financial aid should notify the Director of Graduate Studies or the Student Affairs Staff Assistant.

Assistantships

Research assistantships are typically offered to all full-time, eligible Ph.D. students each year in mid-March. Whenever possible, Ph.D. students awarded an assistantship are assigned to research positions with Martin School faculty on the basis of common research interests. While certain faculty needs for graduate assistants with particular skills must be satisfied, a Ph.D. research assistant may request a change in assignment and supervisor if such a change is likely to serve their interests better. Normally, however, a graduate assistant is expected to remain in his or her assignment for the entire academic year.

Normally, Ph.D. students coming directly from a Bachelor's program are eligible for funding for 4 years. Students who have a master's degree are eligible for 3 years of support. R.A.'s are expected to work 15-20 hours a week. Continuing financial assistance is subject to satisfactory work on assigned tasks and satisfactory progress toward the degree as determined by the director of graduate studies.

Additional research assistantships are available through other research centers and programs on campus, such as Environmental Systems Program, the Sanders-Brown Center on Aging, and the Survey Research Center.

Graduate School Fellowships

There are several fellowships that are awarded by the Graduate School each year as a result of University-wide competition. Awards are made based primarily on academic excellence and research potential. Dependent on fellowship type, awards may be renewable for up to three years and carry stipends ranging from \$3,000 up to \$15,000. Some fellowships can be used to supplement Teaching or Research Assistantship stipends; others are designed to relieve students from a work assignment. In recent years Martin School have been recipients of The Presidential Fellowship, the Academic Year Fellowship, and the Academic Excellence Fellowship, and the Dan R. Reedy Quality Achievement Awards awarded by The Graduate School. Nominations are made by the Director of Graduate Studies to the Graduate School in February.

External Fellowships

<http://www.rgs.uky.edu/gs/fellowship/externalfellowships.html> The Graduate School keeps the above web site to list external fellowship opportunities. Students who receive external fellowships may receive a “bonus” award from the Graduate School. Notices concerning additional opportunities are sent out on the PhD student list serve.

Minority Student Scholarships, Fellowships, and Grants

The Lyman T. Johnson Academic Year Fellowship, the Southern Regional Education Board Minority Doctoral Fellowship, and The William C. Parker Awards are special opportunities for minority students. These are based on nomination by the Director of Graduate Studies and are obtained through the Office of Graduate Funding and Recruitment, The Graduate School, Gillis Building, 257-4555.

Graduate Student Support

The Graduate School administers programs that provide funding for graduate students to engage in travel to present at professional conferences, purchase research supplies, and conduct research at sites away from campus. Students may request funds from the Graduate School to help defray certain expenses relating to their graduate education. These awards of up to **\$350** per fiscal year are used for research-related travel, research expenses, or travel to professional meetings to present research results. This award is self-nominating, but must have approval of the Director of Graduate Studies. Deadlines are June 15, September 15, December 15, and March 15. Applications are available in the Fellowship Office on the Web at:

<http://www.research.uky.edu/gs/fellowship/supportfunding.html>

Dissertation Enhancement Award

These awards of up to \$3,000 are available to support post-qualifying graduate student doctoral projects that require research to be conducted at a site distant from the campus. Programs may nominate two students per academic year. Deadlines are September 18, 2000 for the 2000 Fall Semester, and February 16, 2001 for the 2001 Spring Semester. Applications are available in the Fellowship Office, 365 Patterson Office Tower, or on the Web at:

<<http://www.rgs.uky.edu/gs/fellowship/deaa.html>>.

Grant Funds

Faculty members who have research grants may make individual awards to graduate students. However, the making of such awards must be coordinated with the Martin School graduate programs committee and the director of graduate studies.

Appendix 1: Ph.D. Program Academic Plan

COURSEWORK

Courses Taken	Semester
Core (15 hours)	
PA 751	Fall Year 1
PA 742	Spring Year 1
PA 731	Fall Year 1
PA 752	Spring Year 1
PA 750	Fall Year 1
Core Exam	May – Year 2
Research Methodology (9 hours)	EX: PS 671, 772, ECO 603,703 or 706, STA 671, SOC 681
Theory (hours)	EX: PA 650 or ECO 601, ECO 602
	Fall Year 1
Area of Concentration (15 hours)	

Additional Coursework	
Qualifying Exam (Paper titles) Date:	NOTE: The <i>Recommendation for Qualifying Exam</i> must be turned in to the Graduate School at least 2 weeks before the exam!
1)	
2)	
3)	

DISSERTATION

Dissertation- topic and brief description:	
Dissertation Committee:	
Chair:	
Member:	
Member:	
Member:	
Dissertation Completion Timetable:	Date:
Finalize Dissertation Committee – file form	
First Meeting with Dissertation Committee	
Finalize Paper topics for Qualifying Exams	
Finalize methods Qualifying Paper, submit for review	
Write Theory Qualifying Paper, submit for review	
Write Literature review Paper – submit for review	
Revise/Edit papers – submit form	

Qualifying Exams	
Finalize Dissertation Proposal	
Dissertation proposal Defense	
Dissertation write-up	
Revise/Edit Dissertation	
Dissertation Defense – file forms	May-Aug. Year 3

Graduate School Deadlines

All forms mentioned are available on the Graduate School web site!

Two ***Application for Degree Cards*** must be submitted within 30 days from the beginning of the Fall or Spring semesters or 15 days from the beginning of the 8-week summer session in order to graduate in that semester.

Notification of Intent to Schedule a Final Doctoral Examination must be submitted a minimum of eight weeks before a doctoral student plans to sit for the Doctoral Defense. This will notify the Graduate School to appoint an outside examiner.

The Dissertation, ***Request for Final Doctoral Examination***, and ***Dissertation Approval Sheet*** must all be brought to the Graduate School at the same time at least 2 weeks before the date of the Examination. You or your representative must be present while the dissertation is being checked.

Two final copies of the dissertation, printed on white, 100% cotton paper must be submitted by 60 days after the defense. Once the final copy of the dissertation is submitted and approved, there is a fee to be paid in the Student Billings Office in room 18 Funkhouser Building. The fee is \$57.00 if the student chooses not to copyright the dissertation and \$92.00 if the student chooses to copyright.