

**UNIT SELF STUDY**  
**Ph.D. IN PUBLIC POLICY AND MANAGEMENT**  
**DANIEL J. EVANS SCHOOL OF PUBLIC AFFAIRS**  
**UNIVERSITY OF WASHINGTON**  
**SEATTLE CAMPUS**

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Daniel J. Evans School of Public Affairs

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**PART A**

**BACKGROUND INFORMATION FOR THE REVIEW COMMITTEE**

## **SECTION I: OVERVIEW OF MISSION, ORGANIZATIONAL STRUCTURE, AND RESOURCES**

### **Mission, Scope, Students, and Faculty**

The Daniel J. Evans School of Public Affairs was established as an independent School in 1961. Its long standing mission is as follows.

*We at the Daniel J. Evans School of Public Affairs are committed to:*

- *Improving the quality of public and nonprofit service*
- *Educating leaders to act with compassion, vision, analytic rigor, and practicality*
- *Pursuing research about “Ideas that Work” to strengthen public policy and management*
- *Serving the community*
- *Promoting thoughtful, civil public deliberation*
- *We value integrity, respect, and excellence in our institution, in our graduates and in the community.*<sup>1</sup>

The School enrolls about 368 Master of Public Administration (MPA) students, 74 Executive MPA students,<sup>2</sup> and offers graduate certificate programs in international development and nonprofit management, in addition to collaborating with other units in offering an environmental management certificate. The Evans School is not departmentalized. It has 29 faculty, all but one of whom are tenured or on the tenure track.<sup>3</sup> Among these are six jointly appointed faculty of whom two hold primary appointments in the Evans School. Presently, 12 Evans faculty hold adjunct status in other UW programs and 5 UW faculty hold adjunct status in the Evans School. In any given academic year, approximately 15 part-time lecturers, instructors and Affiliate faculty provide instruction in the professional Master’s degree programs. (See Appendix C for information about faculty members and their appointments.)

The PhD Program in Public Policy and Management enrolled its first class, of four students, in Autumn 2006. Within the context of the Evans School’s mission, the mission of the PhD program is to strengthen the School’s research capacity and to

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<sup>1</sup> Mission statement of the Daniel J. Evans School of Public Affairs. Available at: <http://evans.washington.edu/info/about/mission>

<sup>2</sup> The EMPA degree program is operated on a financially self-sustaining basis and has a curriculum and degree that is distinct from that of the MPA program. There are two partially overlapping cohorts of 36-38 students each.

<sup>3</sup> This faculty count excludes part-time lecturers and the like who are not involved with the PhD program.

broaden Evans' mission of service to the state and society in preparing graduates for public service by including preparation for advanced research and teaching careers. Upon completion of all requirements other than the General Examination and dissertation, students are eligible (since 2010) to receive the Master of Science in Public Policy and Management but there is no separate admission or curriculum for this degree.

The current doctoral enrollment (22 students) and the progression of enrollment over time is very close to the original plan approved by the University and the state in 2006. Over its five-plus years of existence, the PPM PhD program has enrolled entry cohorts of 3-6 students each year, selected from a fairly heavily prescreened pool of about 55-60 applicants (Table 1).

**Table 1: PhD in Public Policy and Management Admissions Data**

PhD in Public Policy and Management Five Year Review: Admissions Data							
Admission Year	Completed Applications	# of Admitted Students	Admitted Students as a % of Applications	Enrolled Students	Enrolled Students as a % of Admitted Students	Median Verbal GRE Scores	Median Math GRE Scores
2006	40	4	10%	4	100%	580	650
2007	66	9	14%	7	78%	630	750
2008	58	11	19%	6	54%	525	595
2009	37	6	16%	3	50%	700	740
2010	57	8	14%	4	50%	660	725
2011	54	5	9%	3	60%	650	750

With few exceptions, the entering cohort numbers have been dictated by the number of students who could be provided with financial support, including a few who have brought such support with them. On one or two occasions early in the program's history students who did not have guaranteed financial support were admitted. It is now firmly established policy to admit only full-time students who have adequate financial support. We believe such a policy is essential for attracting top-flight students and for ensuring that they can give full attention to their studies and complete in a timely fashion.

Selectivity is good, with the percentage of applicants admitted averaging 13.5 percent over the period and below 10% in 2011. We have been successful in attracting 50 percent or more of those we admit and the students we lose either enroll at other top public policy schools (e.g., Harvard, Berkeley, USC, Duke, NYU) or at other more specialized schools such as those in environmental affairs or international affairs, or they decline for personal reasons (i.e., family issues, geography). Median quantitative GRE scores of those who enroll are strong and

have been generally trending upward.<sup>4</sup> Applicant scores compare well to the general UW Graduate School scores as well as with top ranked doctoral programs in public policy and administration.

**Student progress-** Students have made good progress and the retention rate meets or exceeds our expectations. Including the 2011 entering class, a total of 27 students have enrolled in the PPM PhD program since its inception. Appendix L depicts the status and progress of each of the 27 entering students by year of entry. As shown, one of the 2006 entrants and two of the 2007 entrants have completed the PhD (in four years or close to it). Another of the 2006 entrants completed our certificate in PPM before transferring to the Department of Political Science, where she is a PhD candidate. The third student from this initial cohort is advanced to candidacy and on track to complete his dissertation in 2012. The fourth student from this cohort took a maternity leave for several quarters and now plans to take her general examination in Winter 2012.

Among the seven 2007 entrants,<sup>5</sup> two have completed the degree (one on December 9, 2011) and three are PhD candidates. All three of the latter are expected by their advisors to complete during 2012. (One of these is a finalist for a tenure track faculty position at UC Irvine and will interview in early January.) The two remaining students from this cohort are expected to take general examinations for advancement to candidacy in Winter 2012. One of these students was set back seriously by visa problems at the outset, which prevented him from arriving in time to take the three core courses offered in Autumn 2007, thus disrupting his sequencing of courses.

Among the 2008 entry cohort (six students initially), one student has been advanced to candidacy and three have credible plans to reach this milestone in Winter quarter 2012. One of the original six failed the first year qualifying examination.<sup>6</sup> The remaining student has completed course work but has difficult family circumstances that have necessitated his returning to his prior full time employment. He is enrolled for two credits and continues to make progress on his Major Area Paper.

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<sup>4</sup> Note that GRE scores nationally tend to run much higher on the Quantitative than the Verbal scale, by 70-80 points at the mean, and our applicant pool reflects this. It is interesting to point out that the quality of the admitted students compares well with the number one ranked PhD program at Syracuse University. GRE median verbal scores at Syracuse are 670; median quantitative GRE scores are 770 [[http://www.maxwell.syr.edu/PA\\_PhD\\_FAQs/](http://www.maxwell.syr.edu/PA_PhD_FAQs/)].

<sup>5</sup> One of the 2007 entrants was admitted with the 2006 class but deferred a year due to childbirth so is counted as a 2007 entrant.

<sup>6</sup> Upon failing our qualifying examination, this student transferred first to the MPA program, which he completed, and then to another PhD program within UW.

The 2009 cohort (three students) includes one student who completed her MAP in June 2011; one who completed course work but is still working on her MAP while taking a leave due to family circumstances; and one who withdrew from the program after the first year to take a very different direction in life. The four students in the 2010 entry cohort have all passed the qualifying examination and are progressing in their second year of course work. The most recent entry cohort, 2011, has just completed its first quarter of core course work.

In sum, students are making good progress toward degree completion, the attrition rate is low, and time to degree completion is averaging about what was planned.

## **Organizational Structure and Staffing**

Appendix A depicts the Evans organizational structure in which the PPM PhD program resides. Similar to other academic programs within the Evans School, the program is overseen by the School's Dean and faculty at large, with the faculty's Committee on Curriculum and Student Affairs and particularly its PhD (sub)committee paying closest attention to the curriculum of the program. The PhD Committee is chaired by the Faculty Coordinator (here FC, currently Professor William Zumeta) and includes three tenured or tenure track faculty, plus a PhD student representative. The Faculty Coordinator is appointed by the Dean and reports to the Associate Dean for Academic Affairs. The PhD committee members are chosen to balance disciplinary and methodological perspectives and also to draw upon faculty experienced in doctoral education and research. Membership has rotated over the years to broaden ownership of the program among faculty. The PhD students choose their representative to the committee. The PhD Program Coordinator, a staff position, attends the committee meetings and takes notes.

The PhD Committee oversees admission to the PhD program, provides advice to the Associate Dean on course staffing, deals with policies relating to the PhD curriculum, other requirements, and student matters, and provides advice as needed to the Faculty Coordinator. Significant policies, though, such as those laid out in the PhD Handbook (see Appendix E, Section I, especially pages 7-16), are ultimately decided by the faculty as a whole, based upon recommendations from the PhD Committee. As shown in Appendix A, the PhD Faculty Coordinator (FC) position is considered .20 FTE. The Program Coordinator position is .50 FTE. The individual in this position, Jared Eyer, is a full time employee of the School so is available throughout the week, a significant advantage.

## **Budget and Resources**

The PPM program was planned to be supported from a combination of existing School resources, incremental resources from UW, and extramural research funding. A five-year plan was developed at the outset that included resource



requirements. We are pleased that the expectations for funding have been fulfilled, although the initial promised investments from UW were not fully met.

As can be seen from Appendix B, the expenditures on the PPM program in 2010-11 (\$484,600) were slightly below the projection contained in the original plan for the program (\$505,800). Enrollments (20 students in 2010-11) were slightly above the initially agreed upon number of 18. Thus, per-student costs (\$24,179) were about 14% below the projected level of \$28,103. Increases in total Evans School expenditures over the period reflect both a planned shift in core course instruction over time to Evans School faculty as our faculty capacity increased; increased student financial support as the number of doctoral students increased; the additional cost of a course release to the FC beginning in 2008-09 as the program expanded; and changes in how State resources are allocated to units under the new Activity Based Budgeting (ABB) at UW. For example, the University's allocation of personnel benefits costs to academic units began in 2008-09 causing a jump in apparent costs that is merely an accounting change.

The increase in student financial support resulted not only from the additional number of students as cohorts matured but from an experienced-based policy shift to provide more uniform student support. Student stipends have not increased in several years in accordance with the campus-wide freeze on personnel salaries. The sizeable decrease in student support costs in 2010-11 is a result of several advanced students being supported from external awards or research assistantships during one or more of the years in which a School financial commitment was made. Enhancing extramural research support as the size and capacity of the Evans School faculty increased over the period was part of the initial plan. Some of these awards to Evans School doctoral students are to work on research projects based in other departments, which is a positive signal about the quality of our students.

As we expand enrollment (per plans discussed later), student support costs will grow commensurately but faculty and staffing costs will not, thus further reducing overall costs per student. Although PhD programs are not inexpensive, our steady state costs per student and per degree awarded compare very well with those in comparable fields on campus and nationally.

## **Section II: Teaching and Learning**

### **Student Learning Goals and Outcomes**

**Learning goals and methods of achieving them-** Our goal in the PPM PhD program is to produce scholars who are qualified to educate the next generation of

professionals for public service and to expand knowledge about public policy analysis and public management. The Evans School PhD provides a rigorous, interdisciplinary program of study of theories and application of policy analysis and public management. Graduates emerge as highly skilled in applied and policy-oriented social science capable of producing cutting edge research in public policy and/or public management. We want them to be well prepared to teach in schools like ours or, if they choose, as public policy or management specialists in specialized schools devoted to specific policy domains (e.g., environment/natural resources, education, social welfare, health, international affairs, etc.), as well as for work in high caliber public, for-profit and non-profit research organizations.

We ensure that these goals are met by offering a strong, eight course required core taught largely by Evans faculty, followed by ample opportunity for specialization. As reflected in the name of our PhD, we believe our faculty as a whole has particular strength and commitment to integration of public policy and public management thinking and scholarship, so this is reflected in the menu of core courses that are required (see Appendix E, which is reproduced from the PhD Handbook, page 13). Beyond the core, students may choose to specialize more on one side or the other of the policy-management spectrum but some continue to straddle this traditional divide and seek a creative integration, which we applaud and encourage.

Additionally, we believe that problems, particularly big, important complex problems, in public policy and management, often require skills in qualitative as well as quantitative research methods. This mind set is established at the outset in our first year Autumn core course in Research Design (PPM 502), which has recently been taught by our faculty specialists in mixed methods (Professors Thomas and Khagram). In addition, the core includes strong quantitative methods training. We require two quarters of graduate level statistics. We meet this requirement by utilizing the second and third quarters of the Department of Sociology's year-long graduate statistics sequence which very satisfactorily meets our expectations for this requirement. The Data Analysis Practicum course is an additional, second year core requirement in this area and students must take, as a minimum, at least two more research methods courses. One of these must be focused on qualitative methodology. The Evans School offers a qualitative methods course but students may elect alternative courses in other units as well (e.g., Political Science, Sociology, Forest Resources). Typically, PPM students complete more than two methods courses beyond the core.

On the quantitative methods side, there are many options on campus. The Evans School is a cooperating member of the UW's acclaimed Center for Statistics and Social Sciences (CSSS). CSSS offers a large array of cutting edge statistics courses and several of our students are pursuing a concentration in CSSS, which requires four CSSS courses beyond our core. (See Appendix F, which describes the CSSS concentration and the courses). Another student completed the econometrics sequence in the Department of Economics and was so certified. We generally

encourage students in their dissertations to show their skills in more than one type of methodology, often qualitative or mixed methods of some type, in addition to quantitative methods.

We also seek to foster a sophisticated interdisciplinary perspective in our students. The faculty teaching in the core are trained in various disciplinary perspectives (economics, sociology, political science) and a number have degrees (MPA/MPP or PhD) granted by public policy or similar schools. In any case, our faculty have chosen to teach in a public policy and management school because of their interest in applying their disciplinary tools to applied policy problems and many of them do this in an interdisciplinary way (often in collaborative projects). They are well versed in PPM-relevant intellectual developments across the relevant disciplines and bring this knowledge to their teaching. The courses on Institutional Perspectives on Management (PPM 504) and Policy Analysis (PPM 510) are explicitly interdisciplinary and the Research Design course (PPM 502) draws on examples that cut across disciplines. On the other hand, we also think that social science disciplines play an important role in advancing understanding and we welcome entering students who have a master's, or a strong undergraduate major, in a discipline. We encourage (but don't require) students to develop a disciplinary "cognate" during their course work here and many do this by building on a prior master's or undergraduate major. We think this generally helps in building a strong scholarly identity and enhances marketability for graduates, especially in the academic job market.

**The MS in Public Policy and Management-** In 2010, the University and State approved a Master of Science degree in Public Policy in Management to be awarded by the Evans School to PhD students who have completed all required course work, passed the qualifying examination, and had their Major Area Paper approved. Normally, this would take at least two years of full-time study and the requirements are identical to those of the PhD program up to that point. Thus, it is a strong master's degree and appropriately signifies significant intellectual accomplishment and research preparation. Yet, it is quite distinct from the professionally oriented MPA degree so merits the more appropriate Master of Science designation. While it is not intended in any way as a "consolation prize," the M.S. degree could be important for the career prospects of a student who did not complete the PhD dissertation for some reason. Three students have so far acquired the M.S. degree and all of them remain in the PhD program.

**Assessment of student learning-** Most of the core courses are small, with ten or fewer PhD students enrolled, which facilitates intimate classroom conversations and substantial written assignments that permit well-grounded faculty assessment of student progress and weaknesses. The exception is the two-course statistics sequence taught by Sociology (Soc 505-506), which enrolls 25-30 students from a variety of PhD programs on campus. In the other core courses, we encourage qualified PhD students from other departments to enroll to keep the class sizes from being too small. To enhance the attraction, we have created a four course

concentration in public policy and management for Ph.D. students in other departments. Students seeking the concentration designation must satisfactorily complete PPM 504, 506, 508, and 510. Nonetheless, the core courses taught in house are all designed around the needs of the Evans PPM students.

Core courses all have exams or substantial papers at the end and generally other assessable intellectual products are assigned during the term. (Please see the core course syllabi in Appendix G.) In several of the first year courses students are required to produce draft grant proposals, upon which they can later build. In September after the first year, a written qualifying examination is administered (closed book) in two 4-hour sittings. This exam seeks to test the student's grasp of both the content in the first year core courses and his or her ability to answer questions that cut across courses. For example, students may be asked to analyze both the economics and politics of policies designed to remedy a particular type of market failure or to interpret statistical methods used in a published article from the policy processes literature. Students must pass all six sections<sup>7</sup> of the examination to advance. Grading of individual questions is done by two faculty with relevant expertise with the process supervised by the FC. A December retake is permitted of up to two failed sections. The 2011 version of the first year qualifying examination is shown in Appendix H.

During the first year, the PhD Faculty Coordinator monitors the performance of individual students and keeps in touch with the core course instructors to learn early of, and troubleshoot, any emerging academic problems. Generally, these have been few in number. Where necessary the program has provided support for small amounts of tutoring for students having difficulties in core courses, usually by our own advanced students.

In the second year, students continue to take a full credit load of courses but only one of these is a required core course (PPM 512, Data Analysis Practicum, usually offered in Autumn). Thus, in an important sense, the main burden of student assessment in the second year shifts to the student's faculty advisor and advisory committee. The FC continues to monitor student performance in courses by reviewing end of quarter grades and assists, through the second year proseminar, in ensuring student progress on the Major Area Paper assignment (see Handbook, page 12 and below), but the advisor and committee are the ones primarily responsible for overseeing the student's MAP and providing specialized advice and oversight of the student's course-taking. Students are at this point taking quite diverse courses across the university designed to build their specialization and complementary methodological skills.

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<sup>7</sup> The six sections of the qualifying examination mirror the seven core courses. The two statistics courses are tested in the section on Interpreting Quantitative Research.

Beyond course-level assessments by diverse instructors, the key assessment device in the second year (and often into the third) is the Major Area Paper (MAP) assignment. As the PhD Handbook describes, this is a critical literature synthesis in the student's area of specialized interest completed under the direction of the faculty advisor and a second (and sometimes a third) committee member, with support from the FC through the second year proseminar. The assignment is designed to serve as a vehicle for exploring the latest questions, theories, and methods in the area of specialization and thus for identifying candidate research questions for the dissertation. Most students now take a 4-credit independent readings course (PPM 600) with their advisor during the second year to provide more credited time to focus on the MAP. Our goal is for students to have a near-complete MAP draft by June of the second year and, following faculty feedback delivered in writing and in a committee meeting, be able to submit a final version in September. In some cases, students have changed their thinking in midstream or required multiple drafts for other reasons so the MAP assignment has not always been completed on the target schedule, although recent performance has been better. (One second-year student last year had her MAP approved early, in June 2011.) In any case, the MAP assignment provides a vehicle for close faculty oversight from several faculty of the student's emerging thinking in her/his specialization.

With the MAP ideally approved early in the third year and designed to help a good deal in identifying a dissertation topic,<sup>8</sup> the goal is to move students through a proposal and defense during the third year. At this point, the student's committee is expanded and formalized with the Graduate School to include 4 (or 5) members, including at least one member from outside the Evans School. An outside-Evans member serves as the official Graduate School Representative (GSR), per graduate school policy. Thus, assessment of the student's work at this all-important stage is broadly based. Per the Handbook policies, the General Examination focuses on the dissertation proposal but normally includes considerable probing on the surrounding literature as well. Other Evans faculty (i.e., those not on the student's committee) and PhD students are invited to attend parts of the exam and such faculty may participate in the questioning.

Assessment at the dissertation stage is the work of the student's Supervisory Committee and particularly the Reading (sub) committee. Students may seek feedback from other faculty as well and are encouraged and supported to present parts of their dissertation work at scholarly conferences and to submit parts for publication. The Final Examination (dissertation defense) follows a similar format to the General Examination, generally involves the same committee, and is similarly open to participation by other faculty and attendance by students.

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<sup>8</sup> A list of student dissertation topics for the current PhD candidates and those who have completed is provided in Appendix L to convey a sense of student specializations.

We expect with the other benchmarks we have established that the dissertation phase would last about one year (i.e., the fourth year), or a bit longer to include adjoining summers. Our current guaranteed financial support policy has a four-year limit. Our first two graduates did indeed complete their degrees in four years and the third just completed in December 2011, in four years plus one quarter. Of course, students and their life circumstances vary,<sup>9</sup> as do the demands of dissertation topics (e.g., data access problems, time required for distant field work, funding issues). We know that not all students will be able to complete in four years although the four year PhD remains our normative standard. Our next group of graduates will likely finish in 5-6 years as this group includes many with demanding, and some unexpected, family circumstances. Beyond that, there are students in later cohorts who we expect will make the four year goal or be close to it, as well as others who are more likely to take five years or a bit more. We will continue to try to adjust policies and financial and other support arrangements to facilitate our targeted four-year schedule. We are reasonably satisfied with the performance of our early cohorts on the time-to-completion dimension. We have learned some things—as have the more recent student cohorts from their predecessors—that should help most students achieve this goal.

**Assessment of student satisfaction-** We have several methods of accounting for and addressing student satisfaction. One is the end of course student course evaluations, required in every course in the Evans School. These are reviewed by the Associate Dean for Academic Affairs and, as necessary, by the PhD Faculty Coordinator. Second, the first and second year proseminars led by the FC also provide an ongoing mechanism for identifying student concerns and responding to them. Third, the student representative to the PhD committee, who is selected by the PhD students, is a conduit for student ideas, views, and concerns. Fourth, the Dean meets three times a year with the PhD students for an hour or so to hear what they are concerned about. Fifth, the PhD students participate in the annual Evans Student Organization's Student Satisfaction Survey with results broken out by program and shared with the FC, the Dean, the Assistant Dean for Finance and Administration, and others as appropriate. (See Appendix I for Spring 2011 results.) Finally, we requested letters from our two recent graduates providing their appraisal of the quality of the training they received in our PhD program (See Appendix J.). We are in the process of designing mechanisms to follow our graduates over the course of their careers to provide important feedback at various stages of their progress.

**Program adjustments made in response to assessment of student learning and feedback-** Specific instructor changes in courses are described in the section on Teaching Effectiveness below. Here we mention several larger programmatic changes made in response to our assessment of student learning and feedback. First, after experimenting for several years with alternating teaching of our core course in

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<sup>9</sup> A number of our students have given birth to children while in the program or just prior to enrolling, which has slowed their progress.

Research Design (PPM 502) with another department, we elected to bring the course entirely in house. We determined that the students were getting material from the other unit that was too specialized to its concerns and not focused sufficiently on those of our students or on generic methodological questions in research design. We have thus taught this course within the Evans School since 2009-10, with good results.

A second instance is the evolution and refinement of our expectations and policies around the Major Area Paper (MAP). Initially, this assignment was called the Second Year Assessment Paper. The early cohorts' experience made clear that there were several impediments that made it difficult to complete the paper in the second year. First, there seemed to be insufficient support for some students in conceptualizing the paper and staying on track through the year while they were taking a full load of other courses and many were serving as TAs for the first time. Some students also complained of inconsistent faculty expectations about the scope of the MAP. We began encouraging students to take a 4-credit independent readings course (PPM 600) with their advisor in order to carve out substantial credited time for MAP work. We also evolved the second year proseminar in part to further support students and provide academic credit for MAP work (see also next paragraph). And, after PhD committee and faculty meeting discussion, we revised the Handbook to better specify expectations for the assignment and rename it, more meaningfully, the Major Area Paper. The revised Handbook language sets the following targets: (a) substantial draft of the MAP by June of the second year; (b) complete draft by the following September (which may turn out to be the final one); (c) final version approved not later than December of the third year. We hope these guidelines will make it possible for a higher percentage of students to complete the MAP assignment in a timely way so that they can move on to and complete the dissertation proposal in the third year.

A third case of program adjustment ties in with the second. It involved the creation of the second year proseminar (PPM 500B). In response to first year student requests at the end of 2007-08, a faculty member volunteered to run an occasional seminar in 2008-09 for the second year students to share their research work with each other. In response to emerging student concerns, she also began providing the then second-year cohort with some support in conceptualizing their MAP papers. We formalized these ideas into a year long, weekly (one credit per term) course (PPM 500B) in 2009-10 led by the FC. A primary goal is to facilitate and provide accountability for student progress on their MAPs beginning from the start of the second year. In addition to MAP-based assignments for the seminar, the instructor brings more advanced students in to reflect on their own MAP experiences and provide advice to those coming after. Also, the seminar provides a vehicle for sharing of student research, whether on the MAP or in connection with course papers, RA assignments, conference papers, journal submissions, grant proposals, and the like. Occasionally, the seminar also takes up other professional development topics as well (making the most of scholarly conferences, the ins and outs of publishing in leading journals in our field, etc.).

## **Instructional Effectiveness**

**Evaluation of instructional effectiveness-** In the Evans School all courses are required to have formal evaluations by enrolled students. In most instances these evaluations are done using the University's standard evaluation forms managed and scored by the Office of Educational Assessment. In addition to the numerically scored questions, students are asked to provide written responses to more open-ended questions. It is the responsibility of the Associate Dean for Academic Affairs to review these results, provide appropriate feedback to instructors, and, in consultation with the FC and PhD Committee, to make teaching assignments for the next year. [See Appendix K for core course teaching evaluations.]

The FC also leads a discussion in the first and second year proseminars at the end of each quarter about the students' experiences in core and other courses. Finally, the Evans School has a procedure for peer assessment of teaching in line with the university's requirements for this. Junior faculty must have their teaching assessed by a colleague each year and tenured faculty at least once every three years as part of the merit evaluation process. Where PhD courses are selected for this assessment, the faculty member has his or her classroom delivery, syllabus, assignments, examinations and the like assessed by a colleague, with both written and oral feedback provided.

**Changes in courses in response to feedback and assessment-** Courses have evolved to a greater or lesser degree in response to student feedback over the years since the inception of the PhD program. A summary of such changes in each of the core courses follows.

- **PPM 502, Research Design-** As described earlier, beginning in 2009-10, we have offered this course entirely in the Evans School. The instructors, as well as student feedback, indicate this has led to much more consistency from year to year and a sharper focus on our students' needs, e.g., there is more emphasis on the philosophy of knowledge that provides intellectual foundations for public policy and management research; attention is focused explicitly on mixed methods research designs; and students must now write a research proposal as a major requirement.

- **PPM 504, Institutional Perspectives on Management-** In response to the reactions of the students from diverse intellectual backgrounds who take this course in their first quarter in the program, the instructors have experimented with different ways of organizing this theoretically dense material, seeking to relate it to students' applied interests. The current manifestation focuses the first half of the course on the several theoretical perspectives that need to be presented (i.e., rational choice, historical institutionalism, sociological institutionalism, etc.), with the second part more devoted to applications and newer frameworks that seek to blend, integrate, and borrow across the core theoretical perspectives.



• **PPM 506, Advanced Microeconomics for Policy Analysis-** This course has evolved over the years to give greater emphasis to the theory, development, and application of welfare measures (e.g., willingness to pay). It has also expanded emphasis on the theory behind market failures and on the production side of microeconomics. These changes have meant less attention than in earlier iterations to behavioral economics.

• **PPM 508, Policy Processes-** For the first four years of our PhD program, this course was taught by Bryan Jones and then Peter May of UW's Political Science Department as a seminar also basic to their PhD specialty in American Politics. Due mainly to staffing limitations in Political Science, the course has been taught by Evans faculty (Professor Craig Thomas) since 2010-11. This has allowed us to refocus the course more toward the needs of students preparing for faculty positions in schools of public policy and administration while still emphasizing literature from political science which is the source of most theorizing about policy processes. The course has also been broadened in perspective so that some non-U.S. examples are brought in to provide context for testing the generalizability of theories developed by American scholars. Students are required to develop a term paper that brings evidence to bear to test aspects of the major theories and thus may have potential for later publication.

• **PPM 510, Public Policy Analysis-** The content and sequence of the seminar have evolved in several ways. There is now less attention to the history of policy analysis and to examining its utilization. Instead, the seminar provides a deeper treatment of the policy tools literature and the application of generic tools to diverse market and government failures. The material on alternative theories of and approaches to policy analysis has been moved from the end of the term to the middle, so that students can draw on these perspectives when discussing the last few weeks of readings. Empirical articles that apply key ideas of policy analysis and evaluation to a range of policy arenas are routinely updated.

• **PPM 512, Data Analysis Practicum-** This course is offered in the second year, after students have studied research design, statistics, and policy analysis/evaluation, in addition to the more theoretically-oriented courses on institutional perspectives on management and policy processes. It teaches hands-on data analysis and data management skills largely by drawing upon the instructor's (Professor Mark Long) extensive experience with econometric data analysis and recent empirical articles published in the public policy and management literature. Students are asked to critique these, reproduce their results (or variants) with the data sets, work on related data sets, etc. Assignments have evolved with the literature and with feedback from the students.

**Student opportunities for training in teaching-** Students normally serve as teaching assistants for at least three quarters during their years in the program as a condition of their financial support from the School. Where the student brings an extramural fellowship, the minimum requirement is one quarter as a TA. There is a provision for a waiver for students who have previously served in an equivalent TA

capacity or have served on a college or university teaching faculty. (Only two students have requested a waiver.) All TAs for a given year are required to enroll for the University's TA training workshop (one credit) offered prior to the beginning of classes each September.

In addition, we offer an optional teaching mentoring course, PPM 601 (two credits), in which a student selects a faculty member and MPA course where they would like to apprentice and interacts with the faculty member around syllabus and assignment design and pedagogy, attends some classes and debriefs with the faculty member, and also teaches one or two sessions or parts thereof with instructor feedback. Additionally, PhD students have regularly taught week long summer MPA preparatory courses in quantitative analysis and economics. Finally, for the first time this year two PhD students have been given full instructor responsibilities in sections of the MPA core, in Microeconomics for Policy Analysis (PA 516) and Quantitative Methods II (PA 528). If this pilot goes well and if the staffing need exists, more PhD students will be given such opportunities in the future. If the School begins undergraduate offerings in the future, more such teaching opportunities for advanced students should be available.

## **Teaching and Mentoring Outside the Classroom**

PPM PhD students are mentored from the outset outside the classroom setting. Each incoming student is assigned to a faculty research mentor who is normally but not always their academic advisor. A strong effort is made to match students with faculty whose intellectual interests are similar to theirs. During the first year, students learn about research largely by working with the mentor on his or her research projects. This initial mentorship has led to an extramurally funded project that has later employed the student as a funded Research Assistant in several instances to date and we would like to see this occur more often. In such cases students have benefited by taking some part in the grant writing process as well as in the research itself. Other collaborations have led to joint conference papers and publications. Where a funded project makes this desirable and feasible, we have allowed students to postpone (but not eliminate) their TA obligations to continue to work with faculty on such projects.

Another important form of mentoring outside of standard courses occurs in the first and second year professional development seminars (proseminars, PPM 500 A & B). In the first year seminar, students are introduced to all of the Evans faculty and their work, including a discussion of how the faculty member made the choices that got him or her to their present place intellectually and professionally. Other first year seminar topics include introductions to the work of pertinent research clusters/centers in the School and University; a class on policies and ethics regarding the use of human subjects in research; proposing to and making the most of attendance at scholarly conferences; an introduction to the ins and outs of scholarly publishing in public policy and management featuring the Evans-based

editors of the field's two leading journals; and other similar professional development topics, some by request of the students. The second year proseminar also takes up some professional development topics such as seeking grant support for dissertation work and beyond; recent graduates' experiences with the job search and on the job; and the like. On occasion, the two proseminars meet jointly.

Independent study courses (PPM 600 and, at the dissertation stage, PPM 800) also provide opportunities for individual mentoring of students by faculty. These are fairly common among our students who need guidance on specialized topics that are not well represented in the course catalogue. The teaching mentoring "course" (PPM 601) described above is another such individual mentoring opportunity outside of a standard course.

As already described, student progress is monitored by the Faculty Coordinator who keeps in touch with all of the students and their advisors, assesses student transcripts after each quarter, and keeps records about their achievement of the program's several requirements and milestones. Where necessary, he meets with students and advisors to troubleshoot problems, arranges for tutoring, seeks to facilitate any shift in advisors that might be desirable, and does whatever else is called for.

## **Student Recruitment and Admissions**

Table 1 (page 2) shows the year-by-year statistics on student applications, admissions, and enrollments. We have learned that most applications come from students aware of our faculty's national and international reputation in policy analysis and management scholarship. We recruit students in several ways. Of importance is our web presence, which we constantly update and to which we seek to direct prospective applicants via Google and Facebook search engine optimization. We advertise in the program of the annual research conference of the Association for Public Policy Analysis and Management (APPAM) and send an annual email letter about the program to a mailing list of more than 300 representatives of National Association of Schools of Public Affairs and Administration (NASPAA) schools and nonacademic APPAM members (the latter including research firms and the like that may have junior staff who would be good candidates). We also annually send a letter about the program to more than 600 individuals who recently took the Graduate Record Examination and indicated their field and degree interest was a doctorate in public administration/affairs/policy, etc. This method allows us to reach many candidates who have identified themselves as members of underrepresented groups.

Faculty receive inquiries throughout the year about the program. Students email or telephone expressing interest in applying. The program coordinator and the FC, as well as individual faculty, spend a good deal of time throughout the year (especially in summer and autumn) responding to such inquiries, directing students

to our web materials and faculty web pages, and conversing with and guiding them. We also do informational events during the fall for both our own MPA students and others in the Seattle area and nationally at research association conferences. Where the FC or faculty member decides from such contacts that a student is not a good fit for the program, the student is not encouraged to apply so the final applicant numbers reflect significant prescreening. In the past couple of years the quality and particularly the fit of the applicant pool has improved, with the final choices about which applicants receive admission offers becoming quite difficult.

The PhD committee does the initial screening of completed applications and presents the files of 15-20 of the highest quality applicants to the entire faculty for review and advice. Utilizing this input, the committee then makes the final selections as to which applicants will be offered admission. Once students are admitted, we do our best to recruit them with competitive support offers, ongoing conversations, and in many cases by hosting (and subsidizing) their visits to campus. The admitted students we lose generally go to the other top-rated schools in our field or sometimes to more specialized doctoral programs (e.g., environmental studies, international affairs). Final choices appear to be driven as much by specialized interests and personal considerations as anything else.

The gender and ethnicity profile of our students is fairly diverse, although we would like it to include more U.S. citizens from disadvantaged groups. Of the 27 students we have enrolled to date, one is a Native American; one identifies as African-American and biracial; and three are U.S. citizens of Asian ethnicity (two were born in Asia). The two non-citizens are from Palestine and Nepal. The others are Caucasian, one of whom is a native of Australia. All but one of the non-Caucasians are still enrolled. Fifteen of the 27 enrollees have been women. Of the 22 current students, 12 are women and 10 are men.

### **Section III: Scholarly Impact**

#### **Scope and Range of Intellectual Resources**

The Evans School is the oldest independent school of public affairs in a public institution in the U.S., celebrating its 50<sup>th</sup> year in 2011.<sup>10</sup> It is among the larger MPA programs and is ranked in the top 5 percent nationally by *U.S. News*.<sup>11</sup> The scope and scale of the School has grown substantially over the last decade and more to meet

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<sup>10</sup> The Master of Public Administration (MPA) at UW was actually initiated in 1932, by the Department of Political Science.

<sup>11</sup> Among 290 graduate programs in public administration/affairs/policy rated by *U.S. News and World Report's* reputational survey in 2010, the Evans School ranked 14<sup>th</sup> overall and fifth among schools at public universities (<http://grad-schools.usnews.rankingsandreviews.com/best-graduate-schools/top-public-affairs-schools/public-affairs-rankings>).

growth in demand. In 1998, the School had 21 tenure track faculty serving a total of 237 students, all at the master's level. By 2003, the scale and reputation of the faculty had grown substantially, external grant support was strong, and the School's ranking was on the rise. At this time we began to seriously plan for the PhD program. There were no other PhD programs in public policy and management in the region, in fact, none west of Chicago and north of California, with the exception of the small program at Portland State University (Oregon), which is not a comparable institution to UW or the Evans School. The demand from faculty and students (who inquired of us) for a PhD program was growing. New Dean Sandra Archibald, who took office in Autumn 2003, enthusiastically embraced this vision and planning and fund raising efforts began in earnest. The report of the Ten Year Graduate School Program Review of the School (June 2005) supported the planned growth in scope and scale of the academic program, including strong support for the development of the PhD program. In 2005 the University committed additional resources to help launch the program and final approval from the Board of Regents came in June 2006.

The scale and scope of the Evans School has continued to expand. As of Autumn 2011, total enrollment (including Executive MPA students) was 471 and the full-time tenure and tenure track faculty had grown to 28 plus one PhD level Senior Lecturer.<sup>12</sup> In short, the faculty size and scope of expertise, and the opportunities available for PhD student research and teaching participation that go with these, are more than ample to support the PhD program at its current and planned scale. The School's expansion was planned to maintain a good balance across faculty ranks as well as to achieve greater diversity in expertise, race and gender. Among the 29 current faculty, there are 12 Professors, 11 Associate Professors, 5 Assistant Professors (with one more to begin her appointment in Autumn 2012), and one PhD full-time Senior Lecturer. Since 2003, 12 tenure line faculty hires have included three faculty of color (two Latino/a, one to begin her appointment Autumn 2012), one Asian American, and one African American), all of whom participate in the PhD program. Five of these recent faculty hires have been women, with a sixth to begin her appointment next Autumn (see note 12), and the total number of women on the School's faculty is 13 (14), among the total of 29 (30). Women faculty are well represented among the PhD course instructors, advisors (committee chairs), and committee members.

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<sup>12</sup> In addition, Professor Maureen Pirog, of Indiana University and editor of *JPAM*, spends winter and spring quarters at Evans each year as a Visiting Professor on a 5-year contract. She teaches in the PhD program as well as the MPA program. In Autumn 2012 a new Assistant Professor will begin her appointment with us. She is an economist from Stanford, of Latin American origin, who will further strengthen our policy analysis and education/social policy area, in addition to providing further depth in analytical methods and an international perspective. Neither of these faculty are included in the above counts.

Faculty hiring has also made it possible for the School to broaden and deepen its strength in areas relevant to the PhD program and respond to the most recent intellectual and methodological developments in public policy and management. Over the last decade and a half, we have created strong faculty clusters in the nonprofit area (S. Smith, Gugerty, K. Smith); public management (spanning both public and nonprofit sectors and including financial management) (Bostrom, Thomas, S. Smith, Khagram, Page, Gugerty, Herranz, Evans, Marlowe, K. Smith, and McCann in addition to long time faculty member Dobel); and international development policy and management (Cook, Khagram, Gugerty, and Blake joining Anderson). We have substantially increased and deepened the School's historic strengths in policy analysis and applied, policy-oriented microeconomics (adding Bostrom, Layton, Long, Kleit, Cook, Hall, and Pirog) in addition to long-time faculty members Anderson, Cullen, Klawitter, Plotnick, Zerbe, and Zumeta); environmental and natural resources policy (Archibald, Bostrom, Layton, and Cook added to long time faculty members Cullen and Zerbe) and, since 2006, management and policy process studies in the environmental field (Thomas); and social policy and related management studies. This latter area includes strength in education policy (Hirschman, Long and Zumeta, plus Perez in 2012-13); aspects of health policy and management (McCann, S. Smith, Page, Cullen, Cook, Bostrom, Plotnick); poverty and related social policies (Hall, Klawitter, Kleit, Plotnick, and Pirog); and aspects of urban affairs and policy (i.e., community development- Herranz and Kleit; housing policy- Kleit; local government finance- Marlowe, K. Smith; workforce policy- Herranz, Klawitter and Zumeta).

The above arrays faculty interest in fairly traditional categories in the public policy and management field. Other faculty clusters of strength not fully captured by these categories include:

- risk and decision analysis (Bostrom, Cullen, Hall, Anderson)
- benefit-cost analysis (Zerbe, Cook, Layton, Long, Plotnick)
- policy and program evaluation (Gugerty, Kleit, Klawitter, Pirog, Plotnick, Zumeta)
- policy processes (Thomas, Evans, McCann, Zumeta)
- collaborative and network management (Herranz, Page, Thomas, Khagram, Gugerty, Dobel)
- public ethics (Dobel, Blake)

Our faculty are truly national leaders in benefit-cost methodology, the applications of behavioral economics and psychology to public decisionmaking, risk analysis, cross-sector network management (e.g., public-private partnerships), and public ethics.

In short, students in the PPM program have opportunities to develop a broad range of specializations spanning many aspects of management and policy and multiple policy fields, as well as to work with faculty representing a range of disciplinary perspectives. On the latter point, our faculty's CVs (see Appendix C)

show that, while economics and political science are the most common disciplines represented (as in most public policy and administration schools), we also have two public policy PhDs, three public health PhDs (two of these are focused on environmental health), two urban affairs/planning PhDs, a social psychologist, two sociologists, and a PhD in accounting. Students also take full advantage of diverse courses and faculty resources across the vast and distinguished UW-Seattle campus. The internal conversation across these diverse disciplines and areas of interest is rich and PhD students are often at the center of it as they form their own perspectives and ways of integrating ideas in the course of carving out intellectual niches for themselves.

## **FACULTY PRODUCTIVITY AND COLLABORATIVE RESEARCH**

The *sine qua non* of effective doctoral education is of course the quality and research standing of the faculty. The table in Appendix N, reprinted from the most recent available report (2007 data) by Academic Analytics, Inc., a nonprofit organization that compiles credible comparative data on academic productivity, demonstrates the Evans School's high standing among the leading U.S. schools of public affairs and policy that they studied. Only Harvard's Kennedy School of Government scored significantly higher on AA's summary index of faculty scholarly productivity (first column of top panel of table), while the Evans faculty's score was virtually indistinguishable from that of the public policy programs at Duke, Berkeley, and Michigan, ranking third overall. This is excellent company. Our faculty ranked first in the percentage of faculty (71%) with a "journal publication cited by another work" and second in the percentage with a journal publication (76%) in the year examined.

The School compiled some more recent research productivity data for the University's 2010-11 Program Evaluation effort conducted by the Provost's office. These data (through 2009-10) are depicted in Appendix O. Total publications per faculty member in most years are in the 2.5 to 3.0 range and citations show a strong upward trend.

Further indication of the scholarly standing of the School's faculty is given by the fact that nine (see Appendix M for list) are or have recently been editors of leading journals or presidents of major scholarly associations in their fields of specialization. The list includes the Association for Public Policy Analysis and Management, the Society for Benefit-Cost Analysis, the Society for Risk Analysis, the Association for Research on Nonprofit and Voluntary Agencies, and the Association for the Study of Higher Education, among others. The Evans School thus continues its long reputation for providing intellectual leaders for the field.

The School is presently the editorial home of both the *Journal of Public Administration Research and Theory* (JPART) and, jointly with the School of Public and Environmental Affairs at Indiana University, the *Journal of Policy Analysis and*

*Management* (JPAM). These two journals had the highest impact factors in our field, as measured by citations, in 2010, according to Thomson Reuters. Over the last five years JPART ranked first and JPAM third by this same index. The *Journal for Benefit-Cost Analysis* launched successfully in 2010 from its Evans School base as a strong new journal in the field. Our PhD students have the opportunity learn about the work of these top journals intimately as their editors teach in the core and JPART employs one of the students as an editorial assistant.

In 2010 Evans School graduate students initiated the *Evans School Review*, an online journal edited and managed by graduate students. Doctoral students have become instrumental in guiding Master's students in this endeavor and contribute to its content regularly. Additionally, the graduate students developed two years ago an annual Research Symposium featuring Evans School student research. Again, doctoral students are instrumental in providing intellectual guidance.

Evans faculty are successful in securing extramural financial support for their research and the support of PhD students. New grant and contract awards involving Evans faculty totaled about \$2.5 million in fiscal 2011, some of which involved collaboration with other academic units. PPM PhD students are supported from many of these grants. The School has employed various incentives to encourage faculty to write even more grant proposals that would fund PhD students including providing small seed grants for this purpose from the endowment, employing a grant researcher/writer, reducing the course buyout rate for the first course bought out by a grant, and encouraging faculty to develop grant proposals during students' initial fellowship-funded year under their mentorship.

Examples of students supported by extramural grants based in Evans are:

- The Benefit-Cost Analysis Center (Professor Zerbe) has supported students Reynolds, Davis, Masuda, Scott, and Singh at various times.
- Grants held by Professor Ann Bostrom have supported Reynolds, Scharks, Bodanyi, Childers, and Buffardi.
- The Community Vitality Project led by Professor Rachel Kleit has supported Chrisinger and Meijer-Irons. A new research contract just secured by Professor Kleit will likely support a PhD student for two years beginning in 2012.
- Grants held by Professor Joe Cook have supported Masuda, Fricke, and Hsueh.
- A grant held by Professor Mark Long has supported Fumia.

Although many others could be cited, the most prominent example of a collaborative grant involving Evans faculty and PhD students is the CREST (Collaborative Researchers in Education Sciences Training) interdepartmental, predoctoral training program in education policy housed in UW's College of Education. The Evans School provided seed funding for the FC to initiate the interdisciplinary effort that led to securing this grant and has provided some matching funds for student tuition annually. The FC serves as Co-director of this program along with two COE faculty. Three Evans PhD students are supported



generously by CREST for four years, as are 15 students from Education, three from Sociology, and one from Economics. The CREST program is funded by a \$4.8 million training grant from the U.S. Department of Education's Institute of Education Sciences over 2009-14.

Evans faculty are also highly collaborative in their research, both across faculty teams within the School and in working with colleagues in other UW units as was noted recently in the Vice Provost for Research's memo entitled, *Collaborative Activities Map* (<http://www.washington.edu/discover/leadership/provost/initiatives/2y2d/fostering-collaboration/maps/#evans-school-of-public-affairs>).

Research partnerships are numerous. Some of these are briefly described below.

- A number of Evans faculty and PhD students are affiliates of the Center for Studies in Demography and Ecology (CSDE) and are thus exposed to a wide variety of CSDE projects; Professors Hirschman and Plotnick have each served as Director of CSDE.
- Professors Plotnick, Klawitter, and Hall have all been involved in joint projects with faculty in the School of Social Work and the West Coast Poverty Center, a joint venture with Evans that is based in SSW; Professor Plotnick served as WCPC chair for a year and PhD student Jason Williams is currently a WCPC Social Policy Fellow.
- Professors Kleit and Herranz hold adjunct appointments in the Department of Urban Design and Planning within the College of Built Environments and their courses are typically cross-listed. Both have had collaborative projects with CBE faculty. Professors Bostrom and Zerbe have served on the oversight committee for the Urban Design and Planning PhD program and Bostrom and other faculty have worked with UDP Professor Marina Alberti on various research projects.
- Professor Cullen has long collaborated with faculty in the School of Public Health, as have Professors Cook and Kleit. Newly arrived faculty member, Pamela McCann holds a PhD in public health (joint PhD with political science) and is exploring collaboration possibilities in that unit.
- There are a number of faculty collaborations with the College of the Environment and its constituent units. Alison Cullen has long been part of the UW's Program on the Environment and has collaborative research relationships with the Climate Impacts Group. Ann Bostrom, Joe Cook and recently graduated PhD student Travis Reynolds have all been involved with CIG as well. David Layton works with faculty in both Forest Resources and Marine Affairs and Richard Zerbe has long worked with Marine Affairs faculty.
- Mary Kay Gugerty has co-edited two books with Political Science Professor Aseem Prakash and continues to work with him. She also plays a leading role in the University's African Studies program.

Many more examples could be listed. Appendix P provides a list of recent extramural grants run through the Evans School that also involved researchers from other units.

Within the School, there are a number of joint research projects and publications. Probably the broadest ranging example of intersecting faculty interests and projects is in the area of financial decision-making among low-income populations, both in the U.S. and the developing world. Professors Anderson, Gugerty, Klawitter, Cullen, and Hall have worked together to understand empirical variations in risk preferences and savings and other financial behaviors among low-income populations across countries, genders, ethnicities, and the urban-rural spectrum, with an eye to illuminating policies to better promote economic advancement among disadvantaged groups. This effort has produced several joint publications. Students Buffardi, Singh, and Dietz have been involved. Another example is the joint and collaborative work around the MacArthur-sponsored Benefit-Cost Analysis Center involving Professors Zerbe, Cook, Layton, Long, and Plotnick as well as the students mentioned earlier. Professors Cook and Gugerty have worked together, with PhD student Yuta Masuda, on a project evaluating the impact of the introduction of within village wells in Ethiopia on time use by village women and girls. This project is generating new methods for collecting time use data from populations that are not literate or numerate and some of the data will form the basis for Masuda's dissertation. A paper on which Masuda is lead author was just accepted for journal publication. Another example is the collaboration between Professors Kleit and Page to understand management dilemmas and behavior of public housing managers.

## **STUDENT PRODUCTIVITY**

Five years from the initiation of a PhD program is too short a period to demonstrate substantial scholarly impact from our graduates but we believe the early indicators are quite positive. First, we are pleased with the success of our initial graduates in the job market. The first graduate, in 2010, secured a tenure-track assistant professorship in the Department of Planning, Public Policy and Management at the University of Oregon. The second graduate, in summer 2011, is now a tenure-track assistant professor of environmental studies at Colby College (Maine). As part of their faculty duties, these individuals will be conducting research and publishing for broad dissemination in ways that reflect their preparation here and we are confident they will be productive. The third graduate (December 2011), has accepted an offer of employment as a research design and evaluation consultant for a leading international development organization where she will also have opportunities for impactful intellectual leadership and publication. The person who is likely to be our fourth graduate, during 2012, will assume an assistant professorship in public administration at Birzeit University in his native Palestine, where he will have the opportunity to be an intellectual leader at an early stage. Another of our PhD candidates was recently notified that she is a finalist for a tenure-track assistant professor position in public policy at UC Irvine. We are pleased with this record of graduate placement and prospects at this stage. All of the students secured positions that met their first choice in terms of career focus, and intellectual preferences

The students have generated an impressive number of scholarly publications over the 5+ years of the program's existence, as is shown by the following data compiled from their CVs. During their time here, our PhD students have published (including co-authorships) 29 journal articles and book chapters and 35 other types of publications. They have presented 68 times at conferences and similar venues, which implies much promise for their professional visibility. As mentioned, the students are placed in research mentorships with faculty from the outset and learning to propose, present and publish are strongly emphasized. There is clear evidence that this effort is working.

### **Section IV: Future Directions**

The guiding vision for the future is for the Evans School is to be recognized as a global leader in public affairs education and research. Our goals toward this end for learning, discovery and service include: (1) producing students prepared to manage and lead at all levels of today's complex public and nonprofit sectors; (2) generating research that moves the field of public policy and management methodology forward; (3) serving as a center for policy advice and dialogue on local, national and international policy issues and solutions.

We plan to achieve this ambition using our integrated learning-discovery-service model which is strongly interdisciplinary, spans the public and non-profit sectors and blends theory and practice in real ways. Our goal for students is to provide them with the theoretical and analytical foundation in public policy and management needed to lead the field in the future. Our goal for faculty and doctoral students is to provide them the opportunities to create new knowledge through scholarship in public and policy and management and to develop curriculum to guide the next generation of public and nonprofit professionals. With our research and scholarship we expect to influence the direction of policy design, implementation and evaluation to have measureable impacts on management and leadership in the public and nonprofit sectors. The PhD program is integral to these several goals.

Again, the Evans School remains the only comprehensive school of public policy and management program north of San Francisco and west of Indiana. It is also situated at the gateway to Asia and enjoys extraordinary demand for its academic programs from this region of the world. For all of these reasons, we see no reason not to aim to strive to achieve the strongest intellectual reputation possible, rivaling that of Harvard, Syracuse, UC Berkeley, USC, NYU, Michigan and Indiana in both master's and doctoral education. The strength of the University of Washington, a global public institution with its well-documented strength in research and interdisciplinary education, provides a strong foundation for our vision.

The Evans School Five Year Strategic and Financial Plan, *The Path to Excellence*, was developed in 2011 in response to Interim President Wise's 2Y2D

and sustainable academic planning and budgeting initiatives. It provides a set of feasible strategic paths the School can pursue over the next five years (2011-2016) to achieve our vision and implement our goals within the University's funding model and priorities.

The Evans School, to achieve its vision to become among the top public policy and management program among public institutions in the US, has plans for expanded academic program offerings, a larger research footprint and a larger role in policy advice and dialogue. Demand from MPA students—and increasingly from undergraduates with relevant analytical and management skill sets—combined with growing demand for PhDs in PPM and increased demand for policy research provide a strong basis for this future.

We believe that a slight expansion of the MPA program from (150 FTE per entering class to 160 FTE (from 180-200 headcount) is desirable. National and international demand for the MPA program continues to be strong. We see continued demand into the future based on the growing reputation of the Evans School nationally and internationally coupled with continued career opportunities in the public and non-profit sectors. Approximately 40-50 percent of the public service workforce is at retirement age or beyond. All workforce projections, even in the face of reductions in government expenditures, see a larger number of jobs for public managers with professional analytical and technical education. In addition, there is an amazingly strong demand from international students for graduate professional education in public policy and management that the Evans School has capacity to meet. We believe that as the premier public policy and management school in the Northwest and with our ranking among the top programs nationally, combined with the strength of UW and the attractiveness of the Northwest, places the School in a good position to grow the MPA program slightly. The Evans School's academic model, which is designed to assure a quality affordable graduate education, makes use of doctoral students as teaching assistants and teaching associates which assists us in keeping the MPA affordable while providing professional opportunities for PhD students.

The 5-year strategic plan proposes to increase the scale of the PhD program in PPM from its present size of 22 enrolled students to 40 (from 4 to 9 entering students). This increase is desirable for several reasons. There is strong demand for scholars in public policy and management as the faculty in these programs reach the age of retirement and policy research expands in all sectors. As we have shown in this self-study, job market demand for our PhD graduates thus far has been strong. Increasing the size of the PhD in PPM program would reduce current program costs per student and bring the program to a scale consistent with peer institutions. This would assure that the Evans School has a larger impact on scholarship and teaching in the field. We are confident that our strong innovative curriculum will continue to produce scholars capable of leading the profession in the future. Additionally, having a larger number of PhD students would provide teaching capacity needed to support an expansion in the MPA program or the

initiation of an undergraduate major. Importantly, having additional research capacity will further the goal of the Evans School to expand its research scope supporting a larger faculty research agenda.

While there is general agreement among the faculty that a larger PhD program is desirable, there has been discussion about the best approach to take to do so. The faculty agree that the PhD in PPM is innovative for multiple reasons: the strong core in analytical research methodology; its integrative interdisciplinary policy and management curriculum; the clear focus on research and scholarship; and the opportunities for students to teach graduate professional students. Based on the success to date in student quality, student success in completion, and good academic placements, coupled with the clear evidence of growing demand, the appropriate path is to expand the PPM program. Another path to expansion argued by some is to develop joint degree programs with relevant disciplines (e.g., economics, political science, and sociology) to both enjoy even stronger ties to these disciplines intellectually and to produce a group of scholars who can bring the integrative interdisciplinary competencies offered by Evans School faculty to these foundational disciplines, thus strengthening faculty preparation in them and broadening the market for PhD graduates.

The Evans School has also discussed over the last decade the desirability of initiating an undergraduate major in public policy. Demand for the competencies embodied in an undergraduate major in public policy is strong. Currently, 77 percent of programs in public policy and management nationwide provide undergraduate major access to courses or majors in the field and increasingly undergraduate students seek access to Evans School course offerings. Evans is one of the few programs ranked in the top 25 without an undergraduate program. Historically, the scale of the School did not allow for the development of an undergraduate major but with *The Path to Excellence* strategic plan, it is an opportunity the School is seriously considering. An undergraduate major would provide additional teaching and support opportunities for more doctoral students.

As was described earlier, the Evans School enjoys a strong and well recognized research reputation. We plan to continue our progress in moving the scholarly productivity of the faculty to the top nationally. A strong PhD program is fundamental to continuing our quality scholarship and reputation and the size and strength of the faculty is more than sufficient to support a larger doctoral program. Moreover, a top quality PhD program is a strong factor in our ability to continue to hire first rate faculty.

A goal of the strategic plan is to increase faculty extramural research funding. Having a larger pool of doctoral students will allow the faculty to expand their capacity, thus further expanding the impact of our faculty scholarship and expanding the pool of research produced by the School. We have seen evidence of this synergy since establishing the PhD program five years ago.

The Evans School submitted a sustainable financial plan to the Provost in 2011, which is based on the budgeting assumptions explicit in the University's current funding model, Activity Based Budgeting. Within the incentives and central financial aid and administrative "tax" policies, the Evans School's financial plan assumes the School will be required to be sustainable with a mix of funds from student tuition, fee-based programs (e.g., executive education and training), extramural research, indirect cost recovery revenues, gifts, and endowment income. Given the uncertainty surrounding the underlying financial and planning parameters, the Evans School's financial plan outlines several alternatives for achieving its vision and goals. These alternative "paths" explore the impacts of variations in revenues and costs from different academic program mixes and scales, tuition pricing schemes, growth in endowment income, increase in research support dollars and other income sources.

At its present program scale and configuration, (300 FTE MPA, a 35 FTE fee-based Executive MPA program and a 20 FTE PhD in PPM, 30 faculty) the Evans School receives a relatively small "supplement" from central funds as the University transitions to ABB. That is, the School presently generates 80 percent of its FY2012 budget base from tuition revenues. State funds represent 36 percent of total school revenue from fee-based programs, gifts, endowment income, and indirect cost recovery. Assuming that the tuition schedule implicit in UW's FY2012-2013 plan is realized and all else holds true, the "supplement" will be close to zero by FY 2013 and the Evans School will be nearly self-sustaining. If the aggressive scenario in the Five Year Strategic Plan is realized which includes modest growth in the MPA, a doubling of the Executive MPA, a relatively small (100 per year) undergraduate major, modest research growth and endowment increases, the Evans School will generate substantial additional revenues, providing resources to increase faculty capacity, student financial aid and greater institutional capacity. In sum, all of the options presented in the *Five Year Strategic Financial Plan*-- growth in MPA enrollments, expansion of the Executive MPA, initiation of an undergraduate major, more aggressive pricing of the MPA and an increase in extramural research—provide additional resources at the margin that can be used to support the planned growth in the PhD in PPM program.

## **BENEFIT AND IMPACT**

In Section III of this self-study ("Scholarly Impact") and in Appendix L (see the two right-hand columns) we have documented the job placements, publications and other intellectual products, and in-progress research projects of our PhD students and of faculty in collaboration with them. The students, and the faculty working with them, are addressing a broad range and rich mix of policy and institutional design problems of regional, state, national, and international significance and potential impact.

As a program focused on public policy and management, the relationship of our work to real world problems is generally fairly direct and clear. To illustrate using the students' dissertation projects (see Appendix L), there are four projects of clear international significance: "Hidden Aid: Faith-Based Organizations in the Palestinian Territories;" "International Influence: The Role of International Donors in Shaping Development Goals, Implementation, and Effectiveness;" "Institutional Determinants of Project Outcomes among Forestry-Based Carbon Sequestration Projects in Sub-Saharan Africa;" and "Private Regulation as a Global Governance Tool." In addition, another student who will likely be advanced to PhD candidacy in the current (Winter 2012) quarter is working on a study of the effects of the introduction of nearby clean water on family use of time (time released from the need to spend hours daily to travel to water supplies) in rural Ethiopian villages. This study has already produced an accepted journal article explaining its innovative methodology for surveying time use in populations lacking literacy and numeracy that may have wide implications in development studies. Another student likely to be advanced to candidacy soon is working on a study of processes of participation of indigenous peoples in international treaty negotiations affecting their rights. Some of these projects also have relevance for U.S. foreign (and even domestic) policy.

Three dissertation projects and a fourth coming to advancement to candidacy shortly can be classified as primarily national in scope. These are: "Crafting a Performance Culture: Informal Institutions and Education Reform;" "The Race for Education: Estimating the Effect of Class, Gender, and Incarceration on Racial Disparities in Education;" "Private Regulation on the Environment: Voluntary Agreements in U.S. Toxic Chemicals;" and, the fourth, a study of the necessary elements of effective policies related to reducing incidence of childhood obesity. All of these have local and regional implications as well. The students working on performance cultures in education and childhood obesity policies in particular have strong local connections in their portfolios of work. Finally, our first graduate's dissertation, entitled "The Impacts of Workforce Development and Wage Policies on the Economic Well-Being of Low-Income Individuals and Families," was based primarily on administrative data from Washington state agencies and is directly relevant to state policymakers (who cooperated in the study), as well as having potential national significance.

Using graduate placements as an additional early gauge of program impact, we find one graduate teaching at the University of Oregon (regional impact), one at a prestigious east coast college (a form of national impact), and one about to begin a job with a well known international NGO based in Europe (international impact). The next two likely to complete this year have, respectively, a teaching job in hand at a university in Palestine (international impact), and a strong prospect for a faculty position at the University of California Irvine (national impact if it comes to fruition). Judging from the interests and aspirations of our more recent student cohorts, we will continue to see the students addressing research topics of significance for public policy and management that represent a rich mix of potential

local/regional, national, and international impact, and often cut across these categories.

We expect that our plans to expand the student cohort size modestly will enhance the impact of our PhD program at least proportionately. Our PhD students have already made important contributions to the School's research and teaching productivity and more students will add to this. More graduates will not only enhance the reputation of the School and University but should also produce greater cumulative impact with their research and teaching that will reflect the unique training they receive in our PPM PhD program.

## **PART B**

### **UNIT-DEFINED QUESTIONS**

These questions derive from the analysis of the PPM PhD program and vision for its future provided in Part A of the Self Study.

We believe that we have accomplished the goals set out in our initial five-year plan to establish a competitive PhD program in Public Policy and Management and that we have demonstrated our accomplishments in this Self Study. Our vision is to position our doctoral program among the top ten programs in the country in public policy and management.

We see the program's core strengths as residing in (a) its relatively large and multidisciplinary set of core courses; (b) its attention to intellectual grounding in both public policy and public management as well as their integration; (c) its emphasis on research design and rigorous methodological foundations from the outset; and (d) its utilization of Evans faculty strengths, and Evans' connections across the University, to permit students to customize their development of specializations. We see these elements as important to the effective preparation of students for the types of interdisciplinary, problem-oriented intellectual opportunities and jobs likely to present themselves to graduates in this field in the future. We are interested in the review committee's assessment of these goals and our efforts to achieve them and would benefit from its input on the following specific questions.

- 1. Growth in scope and scale of the program-** We believe the regional, national and international market advantage enjoyed by the Evans School and the University of Washington allows us to consider an increase in the size of the doctoral program. We believe that an increase in the entering class size to 7-8 per year (approximately 40 enrolled students in total) would provide us the scale and scope needed to be competitive with other top institutions.

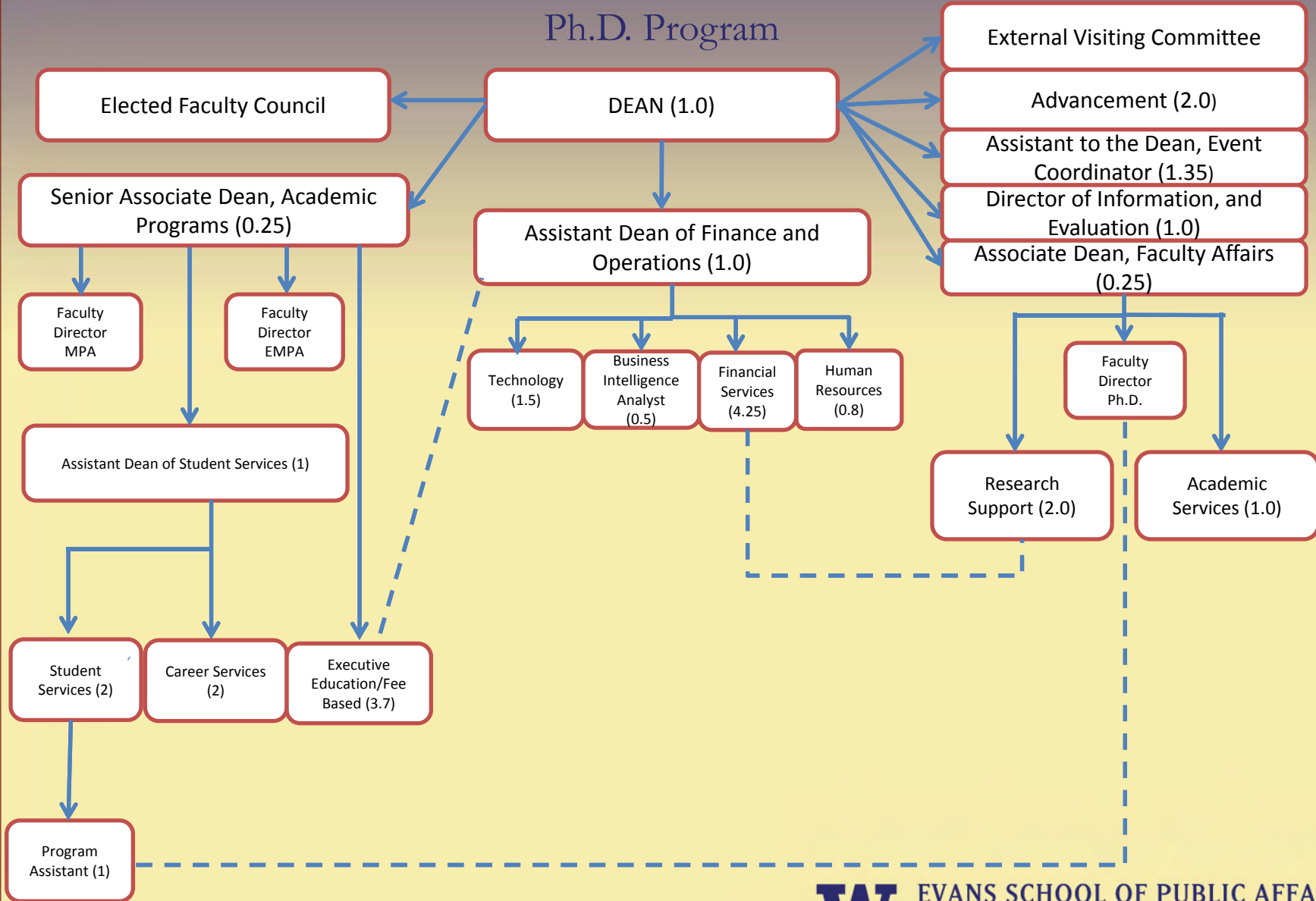


- 2. Strategies for Growth-**We see two strategies available for increasing the scope and scale of the PPM program. We see advantages and disadvantages to both and seek advice on these options. One strategy is to develop joint degrees with disciplinary departments (e.g., political science, economics, sociology, etc.) following the model of the School of Public and Environmental Affairs at Indiana University, which offers both a doctoral degree in Public Affairs on its own and a doctoral degree in Policy Analysis that is joint with IU's political science department. (Another model is the Michigan's Ford School which has multiple joint degrees but no PhD of its own.) A second strategy would be to grow the PPM program to scale without explicit joint degrees. We see advantages in the strategy of joint degrees in that it grows disciplinary ties, continues to build PPM strengths, fosters collaboration, new research opportunities, and greater choice for students and perhaps provides a broader market for graduates. Growth in the PPM degree alone builds the unique signature of the Evans School and allows us to build greater capacity in policy and methods specializations. This strategy requires a larger base through expansion of professional masters programs, a larger research base, or a move to an undergraduate program.
- 3. Disciplinary cognate-** We don't anticipate that all students would elect joint PhD programs in any case but we remain attracted to the idea that students should build from a disciplinary base. At present we recommend but do not require that students develop strong grounding in a single social science discipline (i.e., economics, political science, psychology, sociology). Some students do this—typically those who come to us with a strong disciplinary major or master's degree in a discipline—but others choose to take elective courses across disciplines and professional schools. Should we strengthen the disciplinary cognate recommendation to make it a requirement? We should note that there is not a consensus within our faculty about this nor would there be among current students.
- 4. Possible adjustments to the core curriculum-** We think we have a strong core and one that is quite substantial and broad-gauged compared to other PhD programs in public policy and administration. Yet, ideas for improvements are always worth considering. Two candidates might be additional explicit core coursework in public management (beyond PPM 504) and additional explicit core coursework in microeconomics (beyond PPM 506). Yet, there are good reasons to be cautious as well about expanding what is already a substantial required core of courses, especially if we take the joint programs route to expansion. We would benefit from the committee's assessment of the adequacy and breadth of our PhD core.
- 5. Need for further adjustments to the Major Area Paper assignment?** As described in Part A of the Self Study, we have made several adjustments to the specifications and management policies for the MAP assignment, mainly directed at getting students deeply into it sooner (i.e., early in the second year) and thus through it sooner—the more realistic target is now completion in Autumn of the

third year. The results are not yet fully clear. Does it appear to the outside review committee that additional steps or changes should be made at this time? Note: it does seem that the MAP assignment has served the key purpose of aiding students in identifying meaningful and workable dissertation topics.

- 6. Elective offerings-** Elective offerings pose a problem for small PhD programs since almost by definition fewer of our students will be attracted than to mandatory core courses. Thus, we have largely avoided offering electives in specific topical or policy areas since these would attract only a subset of students. (Students can pursue such interests via courses in other departments, independent readings courses with relevant faculty, or by taking MPA courses on specific topics with negotiated special PhD-oriented readings and assignments.) Our electives have been offered in topics that cut across policy area interests, such as program evaluation; discrete choice methods; risk analysis and risk communication. Still, enrollments have been small (the discrete choice course excepted). Eventually, joint programs and bigger cohorts will help with this but we would welcome other ideas for addressing this problem in the mean time since we would like to offer at least a few electives regularly.
- 7. Student recruitment strategies-** While our student cadre is reasonably diverse on a number of dimensions, we would benefit from the committee's advice about additional diversity recruitment strategies we might employ, especially related to the successful recruiting of U.S. citizens from underrepresented groups.
- 8. Student financial support-** We have experimented with various types of financial support guarantees to students. Early on, students were guaranteed only 2-3 years of support and a few were admitted without support. We have found these types of offers to be generally uncompetitive for the top-flight students that we want to attract and that they pose difficulties in the later years for the unsupported students. The most recent cohorts have been guaranteed 4 years of support (for working in RA and TA roles but financial resources must be produced to fund these). We could benefit from the committee's sense of what the market requires here in the way of student support and how students can be best encouraged to help generate their own grant support.
- 9. Student travel support-** We have been able to offer modest travel support to our PhD students (except those supported as CREST Fellows who have generous travel funding), conditioned on the student's having a paper or poster accepted. Partly based upon the CREST students' experience, we suspect that earlier and more substantial travel support (i.e., before the student could reasonably be expected to have a paper accepted) could be beneficial for students' confidence and early professional development. Discretionary resources are of course very tight. We wonder what the committee's views might be as to the priority we should attach to finding additional resources for this purpose.

# Evans School of Public Affairs Ph.D. Program



Appendix B: Budget Summary

**Ph.D. in Public Affairs Evans School Summary of Program Costs**

	Budget Per Plan*					
	Year N	2006-07	2007-08	2008-09	2009-10	2010-11
Faculty Instructional Costs (salary & benefits)	\$ 170,029	\$ 78,009	\$ 103,813	\$ 139,922	\$ 155,398	\$ 181,175
Fellowship Costs						
Students stipends, tuition and benefits	\$ 274,542	\$ 54,396	\$ 126,279	\$ 298,113	\$ 378,981	\$ 256,031
Operation Costs	\$ 61,278	\$ 64	\$ 23,052	\$ 34,357	\$ 47,693	\$ 46,377
<b>TOTAL COSTS</b>	<u>\$ 505,849</u>	<u>\$ 132,469</u>	<u>\$ 253,144</u>	<u>\$ 472,393</u>	<u>\$ 582,072</u>	<u>\$ 483,583</u>
FTE Students	18	4	10	16	18	20
Total Cost per Student	<u>\$ 28,103</u>	<u>\$ 33,117</u>	<u>\$ 25,314</u>	<u>\$ 29,525</u>	<u>\$ 32,337</u>	<u>\$ 24,179</u>

Footnotes

Benefits	Began being charged to the Units on state funds in 2009-2010
Tuition	Began being recorded as lost revenue to the Units on state funds in 2009-2010
one course came in house	Beginning in 2008-2009
2nd courses came in-house	Beginning in 2010-2011
Director began receiving a course release	Beginning in 2008-2009
50% FTE staff person added	Beginning in 2007-2008
Added operations allocation for PhD travel	Beginning in 2009-2010